CNS Chair's Handbook

Index

11. Non Tenure-Track Faculty
    a. Hiring and offer letter template
    b. NTT guide for department chair and faculty

12. Undergraduate and graduate teaching
    a. Course scheduling, projections, and capacity
    b. Academic integrity issues
    c. TAs and graduate student support
    d. Student grievances
    e. Teaching awards

13. Budget
    a. Department budget process
    b. Instructional budget
    c. Administrative budget
    d. Faculty salary budget
    e. Endowment budgets

14. Facilities management and space
    a. Allocating Space
    b. Renovation and repair
    c. Managing department research cores and facilities

15. Staff
    a. Hiring
    b. Evaluation
    c. Staff grievances
    d. Staff awards
    e. Separations and dismissals
    f. CNS staff committee

16. Family Friendly Policies
    a. Sick leave and sick leave pool
    b. Family medical leave
    c. Parental Leave
    d. Extension of probationary period (5e)
    e. Modified instructional duties (10b)
    f. Dual career hiring (3e)
    g. Child Development Center

17. Endowments
    a. Use of departmental endowment funds and list of endowments
    b. Endowment reporting

18. Fundraising
    a. Staff and organization
    b. Fundraising priorities
    c. Annual fund
    d. Major giving 101
    e. Endowment overview for department
    f. Students-alumni experience, events based on departmental content

19. Service
    a. Commencement and awards ceremonies
    b. College-level committees

20. Communication and governance
    a. Department governance templates
    b. Roles of the Chair, Associate Chair, and Budget Council or Executive Committee
    c. Faculty meetings
    d. Incorporating NTT faculty into the department

21. Safety
    a. Campus safety
    b. Laboratory safety and training

22. Compliance and ethics
    a. Americans with Disabilities Act (ADA)
    b. ADA accommodation request form
    c. EEO and sexual harassment
    d. EEO reports
    e. Required compliance training
    f. Sponsored projects
    g. Reporting research expenditures
    h. Misconduct
    i. Entertainment expense policy

23. Problem solving and conflict resolution
    a. Immediate help
    b. Employee Assistance Program
    c. Campus Ombuds
    d. Other resources

The Role of the Department Chair

Responsibilities

- **Department governance**
- **Faculty recruitment, hiring, promotion, tenure, retention, evaluation and mentoring**
- **Curriculum and program development** (instruction, research, service, planning, scheduling, department assessment, accreditation and program review and graduate dissertations)
- **Student recruitment and retention**
- **Communication** with internal audiences: faculty, department staff, students and the dean's office
- **Communication** and fund raising with external audiences
- **Management** of budget and staff
- **Building relationships** with other departments
- **Short and long term team planning**
- **Promotion of diversity** in the faculty, staff and student body
- **Facilities management**
- **Promotion of diversity** in the faculty, staff and student body

Communication

The department chair plays a crucial leadership role in the College and promotes excellence in teaching, research and service. The department chair is the key link between the administration and faculty. Communication must flow in both directions through the chair, and the chair must be able to explain and persuade faculty members, the dean and administrators of what is best for both the department **and** the institution.

Influence

Personal power and influence is perhaps the chair's best tool. A well-respected chair, who is perceived as open, honest and credible, can ask for and receive faculty cooperation. This personal power must be earned. It is based on a high level of credibility with many constituencies (faculty members, the Dean, administrators) a good reputation in one's discipline and the proven ability to advocate for the department. Strong interpersonal communication skills are also necessary for personal power and influence. Chairs with low personal power and credibility will encounter resistance to their ideas and are ineffective change agents for the institution.

Impact

Chairs have the ability to influence the department's climate and culture, the opportunity to shape the future of the department and the responsibility to guide department dialog in positive and fruitful directions. A chair, using personal power, influence and leadership has the ability to set the tone and invigorate the department for the benefit of the individuals, the department as a whole and the institution. In this respect no other leadership role within the academy has as much direct impact on the quality and future of the institution as a department chair.

From Faculty Member to Department Chair

Many chairs are not prepared for the role shift from individual faculty member to department chair. John Bennett (1983)[1] identified three major transitions that new chairs experience.

1. Moving from being a specialist to functioning as a generalist.

A new chair must quickly acquire a grasp of the entire department and all its offerings. The new chair is responsible for understanding all the specializations, as well as a new range of duties that faculty members never have to perform.

2. The shift from functioning as an individual to running a collective.

Faculty are used to working independently, setting their own office hours and determining when to work on their research, course preparation and other duties. Chairs must impede this autonomy by orchestrating collective activity such as meetings, class times and events. In addition, chairs are called upon to gain consensus and cooperation from faculty on decisions affecting the department.

3. The shift from loyalty to one's discipline to loyalty to the institution.

Chairs must balance the needs of the discipline with the needs of the institution. They serve as spokespersons for the institutional perspective, as well as the communicator for departmental needs. Chairs who cannot shift to supporting the institution's perspective when necessary are not able to fulfill their leadership role.

[1]Bennett, John B. (1983). Managing the academic department: Cases and notes. New York: American Council on Education/Macmillan.

Adapted from: Hecht, Higgerson, Gmelch and Tucker (1999). ***The Department Chair as Academic Leader***. Phoenix, Arizona: American Council on Education Oryx Press.

Faculty Members Can Lead, but Will They?

Academeme needs a new breed of professors, who aspire to leadership roles

By Dennis M. Barden and Janel Curry

Article from:

The Chronicle of Higher Education (April 8, 2013)

Related articles also printed in The Chronicle of Higher Education:

The Education of a Provost (Curry, December 8, 2012)

Seeking a Different Sort of Leader (Barden, January 14, 2013)

www.chronicle.com

Colleges and universities looking to recruit leaders from within the faculty ranks will face more and more difficulty.

From our respective positions as a provost (Janel) and a search consultant (Dennis) we often hear senior executives in higher education say that building a new generation of faculty leaders will be a major challenge in the next decade. We hear the same thing from trustees and members of search committees seeking college and university leaders. At stake is the effective governance of the academy.

Not long ago, each of us wrote in these pages about provosts as leaders. Janel wrote of her journey from the faculty into the senior levels of administration and what she learned along the way (The Education of the Provost). Dennis focused on the plight of provosts (Seeking a Different Sort of Leader) in recent presidential searches. The juxtaposition of our two articles led to an extended exchange between us about the state of leadership emerging from the faculty and how to face that challenge. Here is what we concluded.

Institutional and faculty culture work against leadership development. All too often in academe, taking an appointment as department chair is seen as a demotion or simply a temporary term of service. Those who do become chairs are thought to be sacrificing what they want for what the institution decides it needs. At the same time, academic culture tends to be suspicious of faculty members who desire administrative responsibility.

It is also the case, of course, that institutions invest little money in actually training faculty members for leadership. Department chairs see themselves as mere paper-pushers rather than leaders. That represents a lost opportunity, because they are on the first crucial step toward leadership on campus.

Decision-making structures in higher education also contribute to limited leadership development for faculty members. Professors often have an imprimatur over many aspects of an institution, especially the curriculum, but their decisions are too frequently disconnected from costs and fiscal realities. The disconnect can lead some professors to avoid or be outright hostile to the business side of the institution.

So it's not surprising that the "black box" of executive accountabilities—such as fiscal management and fund raising—remains mysterious to faculty members. In extreme cases, they can perceive those responsibilities as counter to the mission of the college, so much so that curriculum development remains separate from strategic planning.

The recent influx of college and university leaders from outside academe is, in part, the result of a faculty culture that, at best, eschews administration and, at worst, denigrates those who aspire to executive leadership. Institutional structures often reinforce those attitudes. Faculty members who have the personality, acumen, and drive to lead are seldom, if ever, exposed to issues at the strategic level, leaving them largely unprepared for campus leadership when the opportunity presents itself.

Faculty members must accept that change is the norm. Higher education is going through significant changes at a fast pace. Some faculty members simply do not comprehend how challenging the times are. Governing boards may grasp that better, but they have difficulty understanding the decision-making culture of academe.

The question is: Can faculty members lead in this context of rapid change? The times demand a different sort of academic leader, one adept at strategy. Colleges and universities need leaders who can assess conditions on the ground, anticipate how trends will affect those conditions, persuade people to buy in to difficult decisions that will make others unhappy, and then execute those decisions and be held accountable for them.

Today's leader must be idealistic in terms of values and aspirations but pragmatic in terms of decision-making and execution. And whether faculty members like it or not, the modern leader must make decisions that are rational in regard to the long-term fiscal health of the institution—a leader must help the campus make choices about what it can and cannot afford. Strategic investments are crucial, and opportunities come and go quickly.

Today's institutional leaders must also create faculty structures that value dialogue, inclusive decision-making, autonomy, and collegiality. Faculty members tend to focus on first principles and philosophical positions as the basis for advocating a particular decision or direction. Presidents, provosts, and deans, however, are necessarily more Aristotelian in their approach: They work from the data on the ground. They focus on the very real limits on budgets, politics, and other factors. They build strategies based on those realities.

Every professor has the intellectual capacity to understand and embrace the elements of modern leadership necessary to guide institutions in today's higher-education marketplace. Certainly, sufficient numbers of faculty members aspire to leadership; national organizations and some institutions conduct training programs for future leaders that draw plenty of participants. Most traditional colleges and universities ascribe to a process of shared governance that provides opportunities for faculty to become knowledgeable about the challenges and opportunities facing academe.

In short, the knowledge is available, the environment promotes exchanging it, and those who might receive it have the intellectual capacity to embrace, interpret, and use it. So, assuming that faculty members can learn the essential elements necessary for leadership, the larger question is: Will they?

A quick glance through the comments that follow articles about administration on The Chronicle's Web site reveal the vitriol routinely directed at administrative leadership. Even traditional leaders—people who started out as faculty members and colleagues—are vilified for the very act of attempting to lead. Mentors regularly advise graduate students to avoid administrative responsibility. Even the service aspect of the tenure-and-promotion process is often derided in these pages. Peers regularly assume that those talented scholars who move into administration have given up on their intellectual aspirations.

It is not remotely unusual, during the early stage of a search process, to hear a faculty member say, "Why do we even need a dean/provost/president?"

Unfortunately, faculty members too often believe that thinking strategically is the opposite of shared governance. They deride strategic planning and instead think of higher education as a "build it and they will come" culture. That misperception is symptomatic of both the disconnect between budgets and decision-making and the polarization of the campus. People do their own thing with no coordination toward a common objective.

Yet a big part of any leader's job is to get everyone moving in one direction, to be mission-centered and say no to mission creep, to understand fiscal realities, and to think strategically—that is, to ask what comes first, what comes next, why, and what will happen as a result. Faculty members develop those skills as they build their own research programs, but they often reject the use of those skills at the institutional level.

The upshot of this culture: Faculty members want leadership that emerges from their ranks, yet they don't encourage (and often actively discourage) peers and charges to develop the skills, knowledge, and desire to lead. If there are no people at this intersection, institutional boards in particular will seek leadership solutions elsewhere.

Thus, while professors love to think that trustees want nontraditional candidates only because they want colleges and universities run "like a business," the fact of the matter is that boards look seriously at non-traditional candidates because they exhibit the qualities of effective leadership. And boards have trouble finding those qualities in a shrinking pool of traditional candidates who come from the faculty. "Scholar-leaders" with the necessary knowledge, ability, and mind-set to think strategically and act boldly are becoming increasingly rare.

Can this culture be changed? We believe it can, but it will take intentional action on the part of the faculty and those in administration. Structures need to be developed that provide professors with meaningful opportunities to learn vision-setting, strategic planning, and budgeting at the departmental level. But it will also take a change on the part of faculty. We need a breed of professors who will not nurture antipathy toward leadership. Maybe the immediacy of the leadership dilemma will galvanize faculties and administrations alike to re-examine their prejudices.

Then again, maybe this culture is too entrenched, and higher education will have to continue looking beyond the traditional faculty for its leaders.

Either way, one thing is clear: Faculty members can lead. Everything they need is available to them. The future of leadership in the academy, then, turns on that latter question: Will they?

Do Your Job Better

10 Suggestions for a New Department Chair

Article from:

The Chronicle of Higher Education (April 8, 2010)

www.chronicle.com

By Michael C. Munger

On June 30, just three months from now, I will finish my third term as a department chair at Duke University. When people ask if I might continue, I paraphrase Chief Joseph: "I will chair no more forever." Of course, one of my law colleagues responded with a paraphrase of Chief Justice Holmes: "Three chairmanships of an imbecile are enough."

Few academics get a Ph.D. looking to go into administration, most likely because we would be terrible at it. I took a Myers-Briggs test back when I was an assistant professor, in the 1980s, and have never forgotten the result: "Dear INTJ: You are poorly suited for management." But there was a footnote: "Unless you are a university professor. You may be qualified for academic management because your colleagues are worse."

Universities are not very intentional or coherent in training administrators. Most of the rewards, and all of the prestige, go for publication and securing grants. And raises are more likely to reward those who receive outside offers, not the person who redesigned the undergraduate curriculum.

Nonetheless, the department chair's job is a crucial one. Our best hope, in a world where the position rotates, is to be able to pass on folk wisdom, to help the next generation avoid the mistakes that the old folks made. In that spirit, here are 10 things I wish I had known before I became a department head:

1. You will never have more friends than you have right now.
When you first take over as chair, you should connect with members of the department you may not know well, or have considered aloof or even unfriendly. Don't make enemies by assuming they are not friends. Once you have lost a friend, it's hard to get that person back. Above all, never choose short-run gains at the cost of making enemies.

2. It's just lunch.
Have lunch (or some other extended gathering) with every member of your department once a year, even with the ones who don't like you. If you want them to rise above petty dislikes, you need to do the same.

3. How can I help?
Ask questions, and listen to the answers. Some of the responses will be simple kvetching, but even there your faculty will appreciate the fact that you listened. After you listen, ask, "What one thing could I do to make your work better, and your life easier?" There are lots of little problems that you as chair can fix in less than five minutes. There is a reason why successful politicians spend resources on constituency service.

4. Pay with honor.
Most of us want respect from our colleagues. Giving out honors, rewards, and simple recognition has a bigger effect than it would in a more money-focused environment. Recognize book prizes, significant grants, or even interesting opinion essays written by your faculty members. Cultivate an atmosphere in which contributions to the collective good are honored, and you will get more contributions to the collective good.

5. If you take the job, do the job. If you can't make yourself do the right thing, resign. If you don't resign, do your job. That might mean firing that toxic staff person, the one who knows all the rules and constantly makes everyone miserable. Sure, firing someone can take six months of concentrated work, keeping track of things and talking to administrators. But the second biggest contribution I made to my department (faculty hiring was the first), in 10 years, was firing four toxic staff members at different times.

6. Never, ever say, "I am the chair, you know." Because they do know. You become the chair by acting like the chair. Departments that use a chair system are democracies. You cannot force through policies that faculty members oppose, and it's a mistake to try. If you are calm in the face of criticism, and run meetings fairly and transparently, you are likely to get people to vote the way you want because they want to have a leader who can get things done.

7. Think like a farmer. I grew up on an orange farm. It took six to seven years between planting young trees and harvesting fruit. At the end of each day of work, thinking about how much work was left would be depressing. That's why farmers never think that way. Instead, look back and think how much you accomplished (and make sure you did achieve something). Structure your day, and priorities, so that you accomplish many small things and at least one large thing every day.

8. An urgent matter is not necessarily an important one. And an important one is not always urgent. Naturally, your top priority as chair is to deal with matters that are both urgent and important. Find a way to delegate issues that are neither urgent nor important to make sure they still get done. Use your discretion to delegate matters that are urgent but unimportant.

Finally, and critically, make time for tasks that are important but not urgent: Guiding junior faculty members, coordinating grants, working with the development office to explain your long-term plans for fund raising, and other executive functions are the heart of your job. Do your job, and do not get distracted by minutiae.

9. We should talk. Extinguish e-mail flame wars. Somebody has to be the grown-up; why not you? Some days I get 250 new e-mail messages. More than a few of them make me angry, and I often type an angry response. Then I delete it and write, "We should talk." This is an invitation, as well as a demonstration of authority. Few people will say in person the horrible things they say in an e-mail message. Furthermore, angry e-mails are written records of your mistakes. Don't get trapped into an angry, poorly thought-out response you will regret two minutes after you hit send.

10. Histamines. One of the problems of being a chair is that you are bombarded by messages, calls, and visitors, all of which are saying the same thing: "You must care about this matter that I care about!" The burden of having to care will build up, like histamines in your bloodstream. Histamines cause a cumulative inflammatory response, and all that caring has the same effect.

Hearing about one more parking problem or conflict in next semester's schedule may inflame you: "I don't care! I just don't care." The problem is that you have to care; that's most of the job. If you really don't care at this point, reschedule the meeting for tomorrow. If you can't reschedule, take notes and practice active listening ("Yes?" "Ah, OK." "That must have been hard for you!" "Well, I see what you mean.")

In closing, I would quote James Brady, President Reagan's press secretary, who was shot in the Hinckley assassination attempt in 1981. Later, after a reception in which Brady was retiring as press secretary, he turned to leave. One of the members of the press yelled out, "We'll miss you!"

Brady turned back to the microphone in his wheelchair, and with a huge grin said, "I'll miss some of you!" I think every retiring chair knows that feeling.

For Chairs, the Seat's Gotten Hotter

With new demands for fund raising and assessment, academe's middle managers feel the pressure

Article from:

The Chronicle of Higher Education (December 2, 2013)

www.chronicle.com

By Audrey Williams June

When Domenick J. Pinto first became a department chair, more than 25 years ago, it was a different job than it is today.

Mr. Pinto, who still heads the department of computer science and information technology at Sacred Heart University, created the schedule of classes, advised students, hired adjuncts, evaluated faculty members, and reviewed the curriculum.

"It was a very academic post back then," he says. "We were thought of as faculty members with managerial responsibilities."

Now Mr. Pinto and department chairs everywhere have become more like managers who happen to work in academe. He and his peers were once uninvolved in budgetary matters, but now they often swim in spreadsheets. They have become fiscal overseers and fund raisers, student recruiters and public-relations gurus.

Their roles are important because they are increasingly critical to a department's success and its professors' morale. A strong department chair can expand the unit's stature and improve its performance by recruiting top faculty members, attracting more students to its majors, creating a climate in which professors can excel at their jobs, and revising curriculum to keep up with new scholarship. But if a chair doesn't woo enough donors, faculty members may not be able to travel to as many conferences as they would like, or do as much research. If a department's leader fails to promote the group's work and convey its importance, deans and provosts might overlook the department when deciding where to allocate limited dollars. And if a chair is ineffective at mediating conflicts between colleagues, the simmering tensions can disrupt day-to-day work and undermine collaboration.

Yet, even though the job is becoming more pivotal, it remains a role for which few faculty members are properly trained. "I was just handed this job," says Mr. Pinto of his transition from professor to administrator. "Most people are."

And that's when it becomes most evident that the skills most professors have honed to become strong teachers and researchers aren't the ones they'll flex as they run a department, says Jeffrey Buller, dean of the honors college at Florida Atlantic University. In short, what attracted faculty members to academic life in the first place—the autonomy, the camaraderie of colleagues, opportunities to teach and do exciting research—isn't the stuff that department-chair appointments are made of.

"Chairs are put in this difficult position where they are held accountable for documenting that their programs are succeeding, that their faculty are succeeding, and that they're staying in budget," says Mr. Buller, author of several books on academic administration. "We're seeing a professionalization of higher- education administration—and that's not such a bad thing. Because the faculty position itself has changed and because we have an accountability culture in higher education, you need people who have managerial training to serve as chair."

It's in the best interests of universities, he says, to provide the training faculty need to lead their departments or run the risk of half-hearted and ineffective leadership.

"A lot of people, they're just glad to be done with it," says R. Kent Crookston, a former department chair who is now associate director of Brigham Young University's Faculty Center and has done research on department chairs. "And people who haven't done the job are thinking, Well, I could do it, but should I?"

Joan Piroch, a professor of psychology at Coastal Carolina University, wasn’t sure she could be a good chair, but at a colleague's request she gave it a try. She took on the role in 1987 and ended up serving as chair of the psychology-and-sociology department for 22 years. When she stepped down, in 2009, the job had a different pace and feel than it did in the beginning, she says.

Recruiting students no longer fell solely to admissions officers at her university but had become a task shared by department chairs. Scheduling classes became more of a time burden as the number of students served by the department grew, along with the number of faculty members, when psychology and sociology were combined.

And there was the paperwork, which is now attached to nearly every task, as chairs sign off on an increasing number of faculty and student activities and generate any number of reports in response to requests from administrators.

"In the early days of my tenure as chair, you could make a phone call and things would happen. Or you could send an email to a person and get something resolved," Ms. Piroch says. "Now you can't even get chairs in a classroom without paperwork."

Growing emphasis on assessment is one reason paperwork is increasing. Department chairs are typically responsible for overseeing the process of documenting what students are learning.

When the calls for assessment began, Ms. Piroch called department meetings to discuss the best way to measure and track learning. Professors would collect data, a group of faculty would analyze them, and then she would write a report about the findings.

But over time, she says, "the rules for assessment kept changing." Administrators cycled through with different ideas about what to measure and how, and her colleagues eventually distanced themselves from the process.

Ms. Piroch says she would spend a couple of weeks at the end of every academic year on assessment efforts, sometimes coming into the office before dawn to fine-tune various parts of her report. "But I was never really satisfied with the assessment plans that came out of our department."

Near the end of her stint as chair, Ms. Piroch was also unhappy with how little time she was able to spend with new faculty members, a key group in the growing department. When Ms. Piroch became chair, there were six professors in the psychology department and 100 majors, she says. By the time she stepped down, there were 16 faculty members and about 600 majors in the combined department.

At first, Ms. Piroch said, she would work closely with new faculty members, meeting with them to talk about expectations and observing how they taught their classes. That changed during the second half of her tenure as chair. "The kinds of things that I had to do as chair on a daily basis kept me from doing what I thought was important," she says.

Despite the frustrations, she says she enjoyed her manager role over all. "I really, really liked working with the faculty," she says. She does have more free time now. She can go to the gym in the morning and leave campus during daylight hours. She has also rediscovered her love of teaching.

Ms. Piroch taught a senior research course while serving as chair, but she says she felt bad that her duties as chair prevented her from devoting as much time to her students as she wanted.

Now students get more of her attention, and she is teaching courses, like one on sensation and perception, that she hadn't taught in a long time. "I've forgotten how much fun it was."

Department chairs land in their roles in various ways. At some institutions, everyone in the department takes a turn as chair. At others, the chair is appointed by the dean or elected by colleagues. Sometimes academics are hired from the outside.

Carol Anne Costabile-Heming, for example, moved to the University of North Texas last year to head its department of world languages, literatures, and cultures. She had already served as a department chair at Northern Kentucky University.

Running a department as an "outsider," even with previous administrative experience, is different from serving as chair at a place where you have long worked as a faculty member.

"When you come in from the outside, you have no friends, but you also have no enemies," says Ms. Costabile-Heming, who manages 33 full-time faculty members and 27 adjuncts. "The biggest part of the job early on is information gathering. You have to learn the institutional context."

She suggests that faculty members serve as chairs only after they have become full professors. Otherwise, she says, the workload associated with the job forces faculty members to put their scholarship on hold—a move that is likely to keep a promotion to full professor out of reach.

"I've seen people whose careers basically get put on hold for the time they're serving as chair, and it's hard to catch up," says Ms. Costabile-Heming, who went to North Texas as a full professor.

She has developed tactics for easing the crush of duties that regularly befall department chairs. For example, she goes out of her way to keep at least one day—Tuesdays—free of meetings. Ms. Costabile-Heming mostly uses that time to analyze data, write reports, or plan for the following week, she says. But she might also use the uninterrupted time to focus on her writing and editing. "Your time is no longer your own. I have other people who control my calendar," she says. "You can get up in the morning and think, I have two hours to do this or that, and by the time you drive in in the morning, those two hours are gone."

Siva Vaidhyanathan knew that serving as department chair meant devoting big chunks of time to others' pursuits. He had wanted to wait to take on the job until later in his career. But in a department of a half-dozen professors, he had little choice.

"I knew it was my turn," says Mr. Vaidhyanathan, 47, a full professor who is near the end of a three-year term as chair of the media-studies department at the University of Virginia.

He discovered some of the downsides almost immediately. The hours he once spent reading copious amounts of literature in his field and writing books are now spent in meetings, fund raising, and promoting the department to people within the university and outside of it.

Mr. Vaidhyanathan also had to give up teaching seminars to small groups of students—one of his favorite activities—and, instead, teach a single required survey course of about 250 students that no one else could pick up.

"Being chair has not only made me teach less, it's made me a worse teacher," he says. "I'm just not working those muscles enough."

His disengagement from his identity as a professor has been particularly acute because of the digital work he does, says Mr. Vaidhyanathan, whose third book, The Googlization of Everything (And Why We Should Worry), was published just before he became chair. He estimates that he's about a year behind in the reading he normally does to keep up with his ever-changing field.

"I can't wait for this summer, when I'm done being chair," says Mr. Vaidhyanathan. "I'm going to spend the first month reading trying to catch up on all these important books that I haven't had a chance to read."

But until then, Mr. Vaidhyanathan has plenty to do, including meeting with potential donors. In a state that has sharply curtailed the amount of money it appropriates to higher education, Mr. Vaidhyanathan estimates that he spends as much as one-tenth of his time on alumni relations and fund raising.

One day in October, for example, he was planning to take some potential donors out to dinner, lengthening his work day until about 9:30 p.m. and squeezing out the chance to spend time with his young daughter.

"I will occasionally go to dinner with a millionaire who is a major figure in the media industry and has some connection with UVa," he says. "Anyone who has ever worked in development knows these relationships take a tremendous amount of time to build. It can be very frustrating to have committed so much time and seeing no money come in in the short term. But that just drives me to work harder at it."

Yet every hour he spends talking to potential donors is, he says, "an hour I'm not spending with the students or not reading a dissertation or not reading a book in my field."

Mr. Vaidhyanathan says he also spends a "substantial amount of time" doing public relations to keep the media-studies department in the spotlight. It's one of the smallest department at Virginia, which means other departments can easily overshadow it and gain a larger share of limited resources from the university.

There's only one way to keep that from happening, Mr. Vaidhyanathan says: "I'm always bugging the deans and the provost about my colleagues' accomplishments. This is a job of constant marketing and sales to the dean, to the donors, to the media."

It's also a job that many department chairs learn simply by doing. It became clear to Mr. Vaidhyanathan early on that his first year as department chair wouldn't be an easy one.

"Nothing in any of my previous training prepared me for half of the work that I do as department chair," he says.

Even now, with a steep learning curve behind him, he still worries about making a wrong move. Department chairs, after all, play a big role in whether faculty members are happy—and therefore productive—on the job.

"I do have the ability to really mess up somebody's life if I mess up," Mr. Vaidhyanathan says. "If I botch a tenure-and-promotion case, someone's life is ruined."

He believes, though, that he has managed to move the department forward. He has hired three assistant professors to add to the six who where there when he took over the department, and he has more than doubled the number of majors, to 100.

He managed to secure "just enough" money from donors, he says, to allow his colleagues to be able to go to conferences. He also revised the department's curriculum to include more digital- media courses and has mined his contacts in the media profession to get students internships and jobs.

Even when chairs have a vision for their department, they still have to find the time to carry it out. To get things done, department chairs should set priorities and take a break from technology each day, says Christian K. Hansen, who was mathematics department chair for eight years at Eastern Washington University and wrote a book called *Time Management for Department Chairs*.

"There are always going to be more things demanding your time than you can do," says Mr. Hansen, who is now associate dean of computing and engineering sciences. "If you try to do everything that comes to your desk, it's going to eventually burn you out and you'll get frustrated."

"It's becoming harder to delegate because there are fewer people to delegate to."

Another challenge for modern department chairs, he says, is that they tend to have fewer and fewer people to help them get things done.

"It's becoming harder to delegate because there are fewer people to delegate to," Mr. Hansen says. "With the budget crises that most universities have faced, there are fewer staff positions available, fewer people that are available for support functions, fewer tenured and tenure-track positions, and a larger proportion of faculty who are just there to teach and are not expected to do any service work."

Managing time is especially important, and challenging, for people who lead large departments.

With two years as English-department chair under her belt, Jackie E. Stallcup still struggles to get everything done during jampacked days at California State University at Northridge. Her department has about 600 undergraduate students majoring in English and 150 graduate students. There are 33 tenured and tenure-track professors and, on average, about 65 lecturers and 30 teaching assistants. Among them, they teach about 300 classes every semester.

For a department that size, a task like putting together the schedule—a painstaking process of matching faculty members and teaching assistants with the classes that need to be taught in a semester—can be a grueling activity.

Ms. Stallcup says she completes it in three phases, each of which take two to three days of "concentrated work." Between each phase she trades emails for at least a week with faculty members who want different class assignments or to correct mistakes.

"It's like a big puzzle," says Ms. Stallcup, who was working on the schedule for the spring 2014 semester in October. "It's fun, but it takes a lot of time."

Ms. Stallcup, however, is luckier than many people in her position elsewhere. She can turn to two associate chairs for some relief. The senior associate chair handles things like course substitutions, students' problems and complaints, and the department's bimonthly newsletter. The associate chair coordinates the department's assessment activities and certain types of undergraduate-advisement duties. The department has long had an associate-chair position but added the second one this academic year to provide more help to the chair and to give an additional faculty member experience in a leadership role.

Like most professors in the chair's job, Ms. Stallcup has a reduced teaching load. Instead of four classes a semester, she teaches just one, in children's literature. To make it work, she chose a time slot in the evening, which she says makes it easier for her to make the transition from administrator to professor.

"I close my door at 5 p.m., and my time as department chair is over at that moment," Ms. Stallcup says. "Then I can say, now it's time for me to teach. I love teaching, and I couldn't stand not doing it."

Navigating the role of department chair is something many people learn mostly by doing. And there's a lot they wish they knew how to do better, according to Mr. Crookston, of Brigham Young.

How to deal with problem professors was the top item cited in a survey Mr. Crookston conducted of nearly 3,000 department chairs. Not far behind was "guide department change" and "effectively manage time."

Some department chairs, though, are able to get good guidance from within their university or elsewhere.

Some higher-education associations, such as the Council of Independent Colleges and the American Council on Education, hold meetings to help department chairs learn the job. So do some scholarly associations.

Some universities are developing in-house training programs for chairs. An academic-chairpersons' conference conducted by Kansas State University draws a few hundred people each year. Meanwhile, some people learn by developing a relationship with someone at their college who can serve as a mentor.

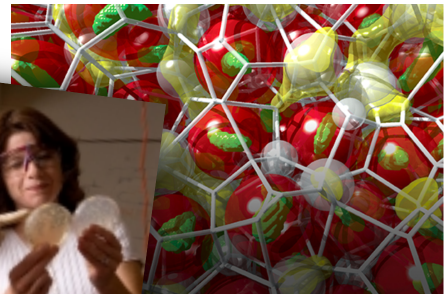
Ms. Stallcup was groomed for her position by the previous chair of her department, who encouraged her to serve in her first administrative position as graduate adviser and then mentored her during her stint as associate chair.

Ms. Piroch credits attending an department-chair conference held by the Association of Heads of Departments of Psychology with giving her the opportunity to network and learn from people who knew exactly what her job was like.

Despite the changes and challenges, some academics say they feel cut out for the job. Mr. Pinto spoke at the Kansas State chairpersons' conference in February and gave a glimpse into his nearly three-decade career as department chair. "I really do love the job. Every day is different," says Mr. Pinto, who still chooses to teach three or four courses a semester. "I try to keep teaching a major part of my job. I have a true love of teaching, and it is what I feel keeps me balanced as well as current in the field."

He also gave some advice at the conference. Constantly cultivate support from faculty members and administrators, he told attendees, and take time management seriously. In a nod to the job's all-encompassing nature, he told fellow chairs that they should adopt realistic expectations: Never assume, he said, that you will get to your office and have time to do anything other than solve problems.

Calendar



Important dates and deadlines 2014-15

18-19 Aug New Academic Administrators Workshop hosted by the Provost's Office

21 Aug Faculty Affairs New Faculty Orientation

22 Aug New Faculty Teaching, Learning and Orientation Seminar hosted by the Center for Teaching and Learning

26 Aug Chair's retreat

27 Aug Fall semester classes begin

27 Aug Fall Course Syllabi due

3 Sep Submit FRA reviewer names

12 Sep Estimated date to begin submission of FRA applications (Graduate School Online Awards System)

15 Sep Teaching Award Nominations due

22 Sep Promotion files due to Dean's Office

23 Sep CNS Town Hall Meeting

26 Sep Annual Fund follow-up email due

30 Sep Gather Comprehensive Periodic Review materials

1 Oct Submit course projections for next academic year

1 Oct Submit Faculty Activity Reports to Provost's Office

2 Oct Hall of Honor Event

3 Oct Advisory Council Business Meeting

8 Oct Collect assessment materials for Faculty annual reviews

13-14 Oct College Promotion and Tenure committee meets

14 Oct Certification letter due

15 Oct Faculty Endowment Thank You letters due

24 Oct Regalia rental orders and list of participating faculty due

30 Oct College Promotion and Tenure committee meets if necessary)

3 Nov Submit Rom Rhome International Professional Development Fund nominations to Dean's Office

3 Nov Preliminary 15-16 Course approvals to depts

7 Nov Balance review deadlines

13 Nov Service Center balance review deadline

14 Nov Submit Faculty Requests for Spring semester Leave to Dean's Office

17 Nov Dean's Office announces FRA Awards and Rom Rhome Awards

28 Nov Deadline to submit to the Provost's Office Faculty Leave Requests for spring semester

1 Dec (TBD) Submit Faculty Annual Review results to Dean's Office

4 Dec Effort certification due

5 Dec Last class day for Fall semester

7 Dec Fall commencement

10-13, 15-16 Dec Fall semester final exams

15 Dec Quarterly updates due

17 Dec President announces Promotion and Tenure decisions

19 Dec Summer 15 course projections and special equipment request due

12 Jan Pending Terminal appointments – Submit notice to the Provost's Office (copy Dean's Office) if faculty member wishes to submit final arguments

16 Jan Department Chair communicates to the faculty member in writing, stating the Faculty Annual Review rating category

20 Jan Spring semester classes begin

20 Jan Spring Course Syllabi due

30 Jan Deadline for faculty member to submit final arguments for terminal appointment decisions

30 Jan Deadline for faculty promotion candidates to submit requests to Committee of Council on Academic Freedom and Responsibility (CCAFR)

2 Feb Review list of faculty undergoing Promotion and Tenure Review in the following year (List provided by Dean's Office)

9 Feb March reclassification/increase

9 Feb Submit Comprehensive Periodic Reviews to Dean's Office

13 Feb Written development plans for Faculty receiving "Below Expectations" or "Unsatisfactory" due to faculty member and Dean's Office

16 Feb Submit final Tenured, Tenure-Track faculty assignments for next academic year

20 Feb Annual Fund letters due

2 Mar Budget Open

13 Mar FY 2013-14 "Non-OSP" Research Expenditures report due

16 Mar Review list of faculty undergoing Comprehensive Periodic Review and Third-Year Review in the following year (List provided by Dean's Office)

20 Mar Budget due (estimated date)

31 Mar Notify all Tenured Faculty members who are to undergo Comprehensive Periodic Review in the Fall of the following academic year – must be given individual notice of at least 6 months of intent to evaluate

1 Apr Deadline to submit to the Dean's Office faculty emeritus recommendations to be included in Commencement Program

3 Apr Dean's Honored Graduate nomination letters due

6 Apr Departmental Tenure Track Faculty Workload due

13 Apr Teaching awards due

15 Apr Deadline for continuing student scholarships

22 Apr Celebration of Excellence

23 Apr List of participating faculty and regalia orders due for commencement

27 Apr Faculty workload approvals sent to depts

1 May Recruitment deadline for Tenured and Tenure-Track faculty candidates holding positions at other US institutions of higher education

1 May Submit edits to list of faculty undergoing Promotion and Tenure, Comprehensive, and Third-Year Review to Dean's Office

11 May Depts submit 2015-16 NTT and AI funding requests

8 May Last class day for Spring semester

13-16, 18-19 May Spring semester final exams

15 May Initial date for Tenure-Track faculty to submit notices and/ or request to Dean's Office for extension of their probationary period for the next academic year

22-23 May Spring Commencement

29 May Final date for qualifying Tenure-Track faculty to submit notices and/or requests to EVPP for extension of their probationary period for the next academic year

4 Jun Effort certification due

12 Jun Submit Third-Year Reviews to Dean's Office

12 Jun All performance evaluations due (estimated due)

10 Jul Final date to update list of candidates undergoing Promotion and Tenure, Comprehensive Periodic Review, and Third-Year Review for next academic year

17 Jul Submit Faculty Request for Leave forms for Fall and Academic Year to the Dean's Office

27 Jul Depts receive preliminary instructional allocations for 2015-16

31 Jul Deadline to submit to the Provost's Office Faculty Leave Requests for Fall semester/long session

Dean's Office Contacts

College Leadership

Dr. Linda Hicke – Dean
512-471-3285 cnsdean@austin.utexas.edu WCH 3.104

Kathy Bartsch – Assistant to the Dean
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Dr. Dean Appling – Associate Dean for Research & Facilities
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Dr. Dan Knopf – Associate Dean for Graduate Education
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Dr. Shelley Payne – Associate Dean for Faculty Affairs
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Dr. David Vanden Bout – Associate Dean for Undergraduate Education
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Dr. Cathy Stacy – Senior Assistant Dean for Strategy and Planning
512-232-0697 cathy.stacy@austin.utexas.edu WCH 3.104

Kelsey Evans – Assistant Dean for Development
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Ricardo Medina – Assistant Dean for Business Services
512-475-7881 ricardo.medina@austin.utexas.edu WCH 3.118

Department Chairs

Dr. Dan Jaffe - Astronomy

512-471-3425	dtj@astro.as.utexas.edu	RLM 17.218

Dr. Stephen Martin - Chemistry

512-471-3915	chemchair@austin.utexas.edu	WEL 5.334

Dr. Bruce Porter – Computer Science

512-471-9590	porter@cs.utexas.edu	GDC 2.308

Dr. Debbie Jacobvitz – Human Development and Family Science

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Dr. Michele Forman – Human Ecology (Director)

512-232-5879	mforman@austin.utexas.edu	GEA 113

Dr. Bob Jansen – Integrative Biology

512-471-8827	jansen@austin.utexas.edu	BIO 212

Dr. Bob Dickey – Marine Science

361-749-6730	robert.dickey@utexas.edu	S06 211

Dr. Alan Reid - Mathematics

512-471-3153	areid@math.utexas.edu	RLM 10.172

Dr. Jon Huibregtse – Molecular Biosciences

512-232-7700	huibregtse@austin.utexas.edu	MBB 2.312

Dr. Dan Johnston – Neuroscience

512-232-6564	djohnston@mail.clm.utexas.edu	NHB 2.504

Dr. Molly Bray – Nutritional Sciences

512-471-3958	mbray@austin.utexas.edu	PAI 5.32

Dr. Linda Reichl – Physics (Interim Chair)

512-471-7253	reichl@mail.utexas.edu	RLM 7.222

Dr. Mike Daniels – Statistics & Data Science

512-471-4128	mjdaniels@austin.utexas.edu	GDC 7.510

Business Services

Business services performs a wide variety of administrative functions for the College of Natural Sciences.

The main responsibilities include:

- Budget preparation and monitoring
- Financial document processing
- Faculty appointments and financial support
- Human Resources administration
- Providing financial and appointment information
- Monitoring compliance with UT and College administrative procedures
- Facilitating UT and College administrative procedures
- Review of contracts and other documents for Dean's signature

Business Services Staff (WC Hogg 3rd floor)

Gail Davis – Senior Administrative Associate
512-232-1043 gld@austin.utexas.edu

Joanne Duffy – Receptionist and Administrative Assistant
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Aurora Flores – Administrative Manager
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Hanna Kim – Human Resources Manager
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Ricardo Medina – Assistant Dean for Business Services
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Adam Mena – Financial Analyst
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Salvador Rojas – Human Resources Coordinator
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Patty Romano – Assistant Director
512-232-4409 patty.romano@austin.utexas.edu

Communications and Media

The College of Natural Sciences Communications Office offers comprehensive writing, editing, video, presentation, design and media relation services.

The department goal is to promote public awareness of the college's programs, faculty, staff and students, and improve public understanding of science. The office works closely with the dean, the president's Communications Office, departmental communications professionals, and other communicators across campus.

Services at a Glance

- Media Relations & News Releases
- Feature Stories
- Social Media
- Brochures, Posters & Marketing
- Websites
- Video & Audio
- Scientific Illustration & Animation
- New Ideas

Communications and Media Contact information

Christine Sinatra – Director of Communications

512-471-4641	christine.sinatra@austin.utexas.edu	WCH 2.308

Marc Airhart – Communications Coordinator

512-232-1066	cnsnews@austin.utexas.edu	WCH 2.308

Office of External Relations

The College of Natural Sciences Office of External Relations supports and builds constituent and alumni relationships and philanthropic partnerships. Comprised of both Development and Constituent and Alumni Relations, the office creates engagement opportunities for alumni, friends, corporations, foundations, students, faculty and staff. In addition to facilitating gifts and pledges of all types, assisting donors with outright giving, endowments, and estate planning, the office of external relations also matches shared interests within the college to maximize the impact of investments.

Kelsey Evans – Chief External Relations Officer
512-471-6151 kelsey.evans@mail.utexas.edu

Development Staff

Donna Benson – Development Associate
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John Dennis – Assistant Director for Development
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Kristine Haskett – Director of Corporate and Foundation Relations
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Sarah Heier – Associate Director for Development
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Tyrone Jimmison – Associate Director for Development
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Lori Walker – Associate Director for Development
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Kim Willis – Communications Officer
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Jackie Wong – Gift Administrator
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Laura Yancey – Development Associate
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Constituent & Alumni Relations

Janis VanderBerg – Director of Constituent and Alumni Relations
512-232-1041 jvanderberg@austin.utexas.edu

Faculty Affairs

The Faculty Affairs Office serves the College of Natural Sciences and all of its academic departments by overseeing faculty matters and academic budgeting. The Faculty Affairs portfolio is broad, but focuses on strategic planning, faculty recruitment and retention, and faculty review. Our goal is to support the excellence in teaching and research in the College of Natural Sciences through support of our outstanding faculty.

Faculty Affairs Staff

Shelley Payne, PhD – Associate Dean for Faculty Affairs

512-471-1070	smpayne@austin.utexas.edu	WCH 3.126

Michelle Ramsey – Executive Assistant

512-232-9288	michelle@austin.utexas.edu	WCH 3.124

Christine Rosales – Coordinator for Faculty Affairs

512-232-0671	crosales@austin.utexas.edu	WCH 3.124

Information Technology

IT services are broken down into the following areas.

Help Desk Support
Handles all desktops, laptops, printer and email support.

Support Areas:
- Computer Support
- Email
- Hardware Rollouts
- Printers

Classroom Technology

Maintains and updates all technology in CNS classrooms.

Support Areas:
- Classroom Technology
- Lectures on Demand
- A/V Setup

Web Applications/Sites
Create and manage all Dean's Office level websites and applications.

Support Areas:
- CNS & Affiliated Websites
- Mainframe Applications
- Software Development

Networking & Systems
Support Areas:
- CNS Servers
- VOIP Systems

Information Technology Contact information

Mark McFarland – Director for Information Technology
512-232-1068 markmcfarland@utexas.edu WCH 2.322A

A general help request form can be found at
http://cns.utexas.edu/information-technology/help-request-forms/general-help-request

Research and Facilities

The Office of the Associate Dean for Research and Facilities functions as the clearinghouse for all matters relating to research activities, graduate and postdoctoral programs, and facilities projects in the college. Dean Appling and his group oversee and approve all college related renovations and building projects, which encompass faculty recruitment space needs, teaching and research labs, and shared facilities. On the research side, the office is responsible for oversight of graduate and postdoctoral programs across the college. They work closely with CNS faculty, departments, and ORUs to identify, develop, acquire, and manage multi-investigator center grants and training grants. This office also coordinates the nomination process for limited submission research awards throughout the year.

Research and Facilities Staff

Dean Appling, PhD - Associate Dean

512-471-4796 dappling@austin.utexas.edu WCH 3.128

Mary Mansfield – Executive Assistant for Research and Facilities

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Kathy Brooks - Facility Manager

512-495-4710 kathybrooks@austin.utexas.edu DPI 1.114D

Ann Harasimowitz – Director for Facilities and Safety

512-232-1064 ann.harasimowitz@austin.utexas.edu NHB 5.402A

Jennifer Lyon - Director of Strategic Research Initiatives

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Dr. Anne Tibbetts – Director for Postgraduate Education

512-232-1074 a.tibbs@austin.utexas.edu WCH 3.128

Postgraduate Education

The College of Natural Sciences Director for Postgraduate Education (Anne Tibbetts) works with the Associate Dean for Research and Facilities to provide oversight for all graduate and postdoctoral programs across the college. This includes development and oversight of initiatives that provide training and support for graduate students and postdoctoral scientists, development of methods to track graduate student and postdoc performance, and the analysis of policy issues affecting postgraduate scientists. The contributions made by graduate students and postdocs, both in research and undergraduate education, are critical to the success of the college. Our goal is to provide the services and resources necessary to prepare our postgraduate scholars to be the innovative researchers, educators and leaders of the future.

Postgraduate Education Staff

Dr. Anne Tibbetts – Director for Postgraduate Education

512-232-1074	a.tibbs@austin.utexas.edu	WCH 3.128

Strategic Research Initiatives

The College of Natural Sciences Strategic Research Initiatives office works with teams of college faculty to identify, develop, acquire and manage multi-investigator center grants and institutional training grants from external funding agencies.

Under the direction of Jennifer Lyon, Strategic Research Initiatives also represents the college's interests in cross-college and university-level matters related to research funding. Such matters include managing limited-submission proposal processes, fostering cooperation in cross-college pursuits of major funding, and establishing policies for grant-related issues.

Research Faculty is encouraged to contact Dr. Lyon for more information about how Strategic Research Initiatives can help secure a next major center grant.

Strategic Research Initiative Staff

Dr. Jennifer Lyon – Director for Strategic Research Initiatives

512-232-1059	lyon@austin.utexas.edu	WCH 3.128

Undergraduate Education

Under the leadership of Dr. David Vanden Bout, the CNS Undergraduate provides support for the college's mission to be a premier science education center. The Undergraduate Education Office oversees offices within the college that support student excellence, advising, degrees, teaching and curriculum. The undergraduate student dean also works directly with student organizations and student leadership in the college, and is available to help undergraduates with ideas they may have for the college or with issues they face while here at the University of Texas.

Offices within Dr. Vanden Bout's supervision include as the Associate for Undergraduate include:

- College Honors Center
- Office of Academic Advising
- Office for Research and International Study
- Office of Academic Initiatives
- Health Professions Office
- Career Design Center
- Texas Interdisciplinary Plan
- Quest web-based teaching resources
- College Admissions and Recruitment
- College-wide events
- Faculty teaching awards

Undergraduate Education Staff

Dr. David Vanden Bout – Associate Dean for Undergraduate Education

512-232-0677	cns-studentdean@austin.utexas.edu	WCH 2.222

Sharon Williams – Administrative Associate for Undergraduate Education

512-232-0677	sharon.williams@austin.utexas.edu	WCH 2.222

Faculty Recruitment

Our faculty recruitment efforts should allow us to continuously strengthen a vibrant community of teachers and researchers in the college. In addition to our traditional strengths within our departments, we can build interdisciplinary programs through targeted, joint searches among departments. We can also enhance the diversity of our faculty through inclusive recruiting practices.

a. CNS guidelines
b. Inclusive recruiting practices and promoting diversity
c. Draft offer template
d. Prior Approval Request (PAR)
e. Dual career hires
f. Interdisciplinary hires
g. STARS equipment funding requests
h. CPRIT applications
i. Use of endowed position funds
j. Child Care Center request form
k. Ad hoc P&T for tenured faculty
l. Getting new faculty started
m. Harrington Fellows

Recruiting Tenure-Track Faculty

1. Based on your three-year recruiting plan, determine the number of positions and the rank for each that you plan to recruit for the next academic year and send an email to Dean Hicke with the following information for each position:

- Rank
- Proposed salary range
- Start-up estimate

  Equipment

  Salaries

  Summer salary

  Moving expenses

  Supplies

  Other

- Office location

  Will any renovations be needed?

- Laboratory spaces

  Will renovations be needed? For estimation of renovations costs, contact Dean Appling. This should be done early in the process as it will take time to schedule the walk-through and prepare the estimate.

- Other potential costs
- Identify any departmental resources available for this position
- Other potential resources

  Likelihood of eligibility for STARS, CPRIT, other outside funding

2. Dean Hicke will provide each chair with written approval to recruit (with a copy to Shelley Payne, Dean Appling and Chris Rosales). The email will contain the following:

- *Approved level of hire (Assistant Professor, Associate Professor, Professor)*
- *Approved salary range*

3. Department administrative staff send draft ad to Shelley Payne for approval and then submit ad to the University's Faculty Recruitment website. Formal and informal advertisements of the positions should be done in a way that ensures a diverse pool of applicants (see section on inclusive recruiting practices).

4. The department accepts applications and follows the procedure established by their budget council/governance policy to identify the top candidates.

Interview process:

5. Departmental administrative staff will complete and forward to Associate Dean Shelley Payne the Applicant Pool Statistics (first line) and the Appointment Process Summary (Items 1-3) BEFORE inviting selected candidates for the first interview.

6. After receiving approval related to the applicant statistical information from the Associate Dean for Faculty Affairs, the department will identify and invite candidates for the initial interview. The department is responsible for the costs associated with candidate visits.

7. After the initial interview, the department's selection committee will identify the candidates to invite for a second interview.

8. If the selected candidates will be offered a tenure-track position (Assistant Professor), the departmental administrative staff will contact Michelle Ramsey to schedule an interview with an associate dean.

If the selected candidates will be offered a tenured position (Associate Professor or Professor), the departmental administrative staff will contact Kathy Bartsch to schedule an interview with Dean Hicke.

9. If renovations will be required, department should contact Ann Harasimowitz (512-940-2173) at least 2 weeks prior to the visit, to schedule a meeting with the candidate and Ann during the visit. Ann will need a list of the candidate's equipment needs, the candidate's CV, and candidate's research statement.

Putting together the draft offer and PAR

10. Departmental administrative staff will send forward a draft of the proposed offer letter to Shelley Payne and Chris Rosales. Faculty Affairs will work with the department to assure that all funding sources mentioned in the offer letter have been identified and approved. Faculty Affairs will notify the department chair and administrative staff involved with the recruitment of the approved offer letter.

11. If the position includes tenure, the candidate will need to have a college-level tenure review; copies of the following should be sent to Michelle Ramsey as soon as possible: candidate's CV, chair's letter, department's Tenure Assessment/Statement, Teaching Assessment with signature of preparer, two (2) years of teaching from home institution, and all letters of reference.

12. If STARS funding will be requested, the completed packet should be sent to Chris Rosales at the earliest opportunity. ONLY allowable items should be listed on the equipment spreadsheet. For information about allowable expenditures see the STARS funding policy.

13. Departmental Staff will create and prepare the Prior Approval Request Packet (PAR) in accord with the approved draft offer letter.

Recruiting Lecturers

Lecturer positions should be advertised nationally. The College of Natural Sciences expects each unit to hire and retain the best possible lecturers. Three-year contracts may be offered to new hires that have demonstrated teaching excellence. The recruiting and hiring process is the same as for tenure-track faculty.

The departments will set the NTT faculty salaries, with approval from the College. The lowest salary for full-time lecturers must be higher than the department's fulltime Assistant Instructor salary.

Lecturers and other non-tenure track appointments

With the exception of specific recruiting offers, appointments to faculty who are not on the tenure track will receive a one-year contract. One semester contracts are used occasionally but should be avoided unless the faculty member only plans to teach one semester per year. It should be explained to the faculty member that at the end of the contract period, renewal will depend on instructional needs and annual reviews. Instructional needs may fluctuate from year to year, leading to changes in appointments. This can include reduction from full-time to part-time or the contract may not be renewed. While it is impossible to guarantee permanent employment for non-tenure-track faculty, departments should make every effort to provide continuity for their core of highly qualified lecturers and to let any faculty member know well in advance of changes to future contracts.

Lecturer: initial appointments will be for 1 semester or 1 academic year. Whenever possible, appointments should be for the academic year.

Senior Lecturer: Appointments should be for 2 academic years. Three-year appointments should be made when feasible.

Distinguished Senior Lecturer: Distinguished senior lecturers should receive rolling 3-year appointments.

Details of such appointments will come in the form of a contract letter no later than the first day of class.

UT Division of Diversity and Community Engagement:
http://www.utexas.edu/diversity/

Inclusive recruiting practices are essential if we are to increase faculty diversity. There is a large body of research on the effects of bias and climate in diversity. We need to be aware of bias, of differences in how men and women or white and minority applicants present themselves in their applications, and of differences in how we write and view letters of recommendation for them. The differences may seem small but they add up and can adversely affect hiring decisions. There is a brief except from a lecture by Virginia Valian (Author of *Why So Slow? The Advancement of Women*) that is useful to watch:

http://video.mit.edu/watch/why-so-slow-the-advancement-of-women-virginia-valian-6901/

A publication that is important for recruiting committees to read is:
http://www.ncbi.nlm.nih.gov/pubmed/22988126

In this article published in PNAS in 2012 by Moss-Racusin et al., scientists were ask to review applications that were assigned either a male or female name. "Faculty participants rated the male applicant as significantly more competent and hireable than the (identical) female applicant. These participants also selected a higher starting salary and offered more career mentoring to the male applicant. The gender of the faculty participants did not affect responses, such that female and male faculty were equally likely to exhibit bias against the female student. Mediation analyses indicated that the female student was less likely to be hired because she was viewed as less competent. We also assessed faculty participants' preexisting subtle bias against women using a standard instrument and found that preexisting subtle bias against women played a moderating role, such that subtle bias against women was associated with less support for the female student, but was unrelated to reactions to the male student. These results suggest that interventions addressing faculty gender bias might advance the goal of increasing the participation of women in science."

Recognizing bias can help faculty recruiting committees assess applications based on factors other than gender or race.

Toolkit
The University has developed a toolkit (a copy follows) to help departments improve their recruiting practices. Excellent toolkits have also been developed by other institutions. In particular, the University of Michigan's Advance Program has developed a number of resources to improve recruitment, retention, climate and leadership to encourage supportive climates and promote diversity. The UM toolkit and a variety of other resources are available at:

http://sitemaker.umich.edu/advance/home

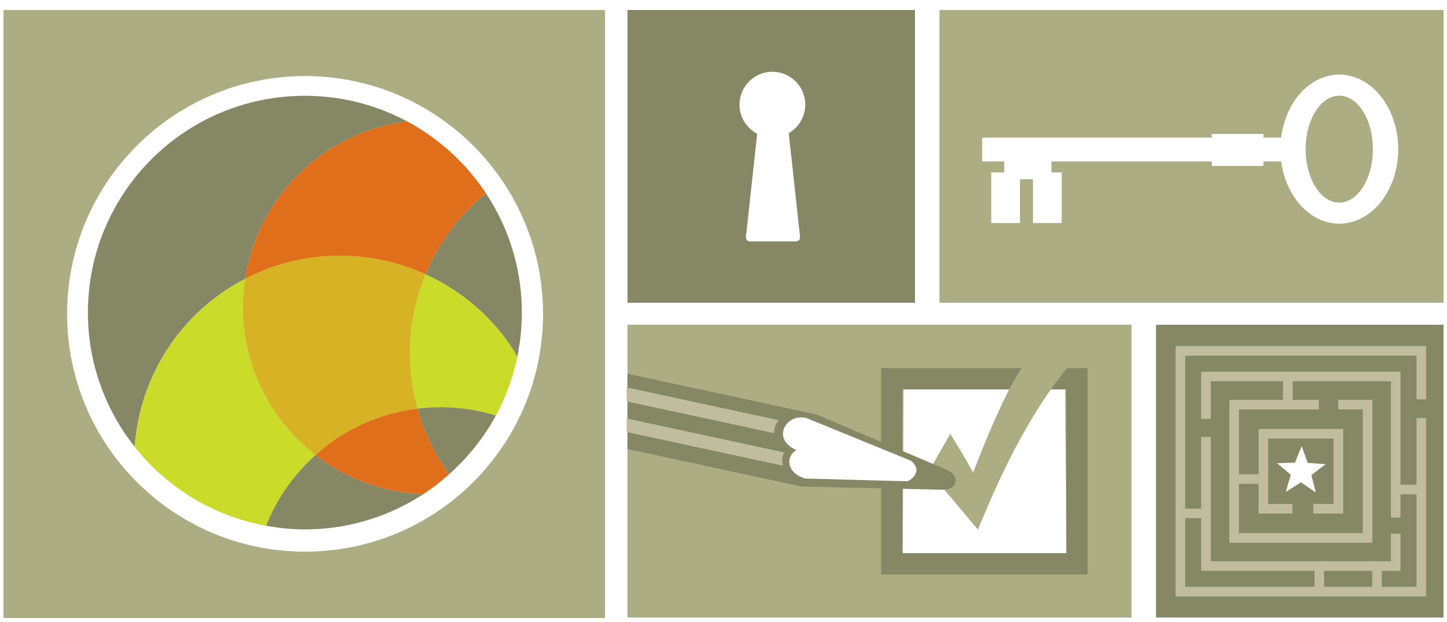
Some of these materials, including the handbook for faculty searches and the applicant and candidate evaluation forms are included here for your consideration.

THE UNIVERSITY OF TEXAS AT AUSTIN

DIVISION OF DIVERSITY AND COMMUNITY ENGAGEMENT

Inclusive Search and Recruitment Toolkit

FOR FACULTY, GRADUATE STUDENTS, AND POSTDOCTORAL FELLOWS



THE UNIVERSITY OF TEXAS AT AUSTIN
DIVISION OF DIVERSITY AND COMMUNITY ENGAGEMENT

Contents

Links to online resources highlighted in examples are included in the references and resources section.

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The University of Texas at Austin, Division of Diversity and Community Engagement

Introduction

Compiled by Strategic Initiatives (SI) in the Division of Diversity and Community Engagement (DDCE) at The University of Texas at Austin (UT Austin), the following comprehensive search and recruitment toolkit for faculty, graduate students, and postdoctoral fellows provides strategies and ideas drawn from best practices from across UT Austin, comparable institutions, and relevant research literature. SI and the Office of Institutional Equity (OIE) partner to provide consultations that enhance recruitment initiatives across campus. UT Austin fosters an environment of inclusive excellence in education, research, and public service that supports a diverse group of individuals with different perspectives, backgrounds, and experiences. The pursuit of excellence and diversity are intertwined and integral to achieving the university's mission and core purpose of transforming lives for the benefit of society.

A more diverse campus community comprised of students, faculty, and staff contributes to a richer and more welcoming teaching, learning, research, and work environment (see for example Chang, Milem, and Antonio, 2010; Hurtado, Alvarez, Guillermo-Wann, Cuellar, and Arellano, 2012; Reddick and Saenz, 2012). As President Bill Powers stated, "America draws much of its strength from its diversity—diversity of color, certainly, but diversity of culture, ideas, points of view, and skills as well. These things not only make America strong—they are the *sine qua non* of university life." In this toolkit, diversity is defined as demonstrating respect for all individuals and valuing each perspective and experience. Diversity includes but is not limited to dimensions of dis/ability, gender, gender identity and expression, international/national origin, race/ethnicity, religion, sexual orientation, socioeconomic status, and veteran status.

1 Before Recruitment Begins

In this section, we provide suggestions and practical examples of strategies academic administrators in departments, colleges, and schools can pursue and implement to help facilitate an inclusive search and recruitment process.

Utilize active recruiting strategies on an ongoing basis to establish pathways for potential new graduate students, postdoctoral fellows, and faculty members

- Encourage department members to make personal connections and generate potential candidate pools at professional meetings and conferences even when the department is not actively recruiting
- Send departmental representatives to discipline-specific conferences for diverse and underrepresented students and faculty

EXAMPLE: Faculty representatives from the Division of Pharmacology and Toxicology in the College of Pharmacy at UT Austin attend the Annual Biochemical Research Conference for Minority Students (ABRCMS), which attracts approximately 1,700 undergraduate students; 400 graduate students and postdoctoral scientists; and 1,200 faculty, program directors, and administrators each year. In addition, a faculty member within the division has been an active member of the Society for Advancement of Chicanos and Native Americans in Science (SACNAS), providing information during student recruitment sessions at the annual meeting.

- Seek out connections and collaborations at Texas institutions with diverse students and faculty members including but not limited to University of Texas at San Antonio, University of Texas at El Paso, University of Texas at Brownsville, University of Texas-Pan American, University of Houston, University of North Texas at Dallas, St. Edward's University, Texas State University, Huston-Tillotson University, Texas Southern University, Prairie View A&M University, Texas A&M University-Corpus Christi, and Texas A&M at Kingsville
- Create innovative programs to establish pathways and pipelines for graduate students, postdoctoral fellows, and faculty members

EXAMPLE: Dr. Marvin Whiteley, professor of molecular biosciences at UT Austin, and Dr. Patricia Baynham, associate professor of biological sciences at St. Edward's University, through several grants over the years (including a current grant through the USDA Agricultural Research Service), give undergraduate biology majors the opportunity to participate in a collaborative research experience between UT Austin and St. Edward's University. Students also have the opportunity to present their research at the Annual Biomedical Research Conference for Minority Students (ABRCMS).

EXAMPLE: The University of North Carolina at Chapel Hill's Carolina Postdoctoral Program for Faculty Diversity offers two-year postdoctoral appointments that focus heavily on research, which as stated on the program's site, are part of the university's "commitment to building a culturally diverse intellectual community and advancing scholars from underrepresented groups in higher education." Individuals carry a one-course teaching load per year.

- Articulate the department's commitment to diversity and develop a plan for increasing diversity
- Create a standard departmental presentation/overview that faculty, postdoctoral fellows, and graduate students can use when visiting other institutions that articulates the department's commitment to diversity
- Invite diverse guest speakers to campus or create a visiting scholars program
- Ensure an inclusive departmental climate and culture where all identities are respected and have a voice
- Consider partnering with SI to conduct a climate assessment within the college, school, or department to better understand the current climate and culture,

as well as to inform future efforts that will promote inclusivity and diversity

- Collect and share best practices, successes, and challenges related to recruitment of diverse individuals from peer institutions, aspirant institutions, the college and/or department with colleagues and students
- Track alumni from graduate programs and provide outreach to share potential opportunities at UT Austin

Establish policies, procedures, and practices that support faculty and student success including:

- Clear, transparent, and accessible policies and procedures for recruitment, evaluation, and promotion

> **EXAMPLE:** The College of Liberal Arts (COLA) maintains a website that outlines COLA recruitment procedures for faculty positions, as well as links to relevant policies.

- Mentoring resources and programs for junior faculty, postdoctoral fellows, and graduate students

> **EXAMPLE:** Professional development workshops are available to postdoctoral fellows through the UT Austin Postdoctoral Office.

Track and share demographic and equity data within the department, specifically related to recruitment, hiring, and enrollment

- Determine the types of information currently collected by the department, college/school, and university
- Examine university-wide, college-specific, and departmental reports such as the Final Report of the Gender Equity Task Force (2008) or the Report of the UT Austin Graduate School Climate Study (2011)
- Reflect upon additional types of information that might be helpful, such as looking at the intersectionality or multidimensionality of identities (for example, the intersection of race and gender), or collecting new information

> **EXAMPLE:** Data might include the number of women and faculty of color that were interviewed and hired in past searches, the distribution of tenured/tenure track/non-tenure track faculty by gender and race/ethnicity, the number and percentage of women and faculty of color in leadership positions, and salary equity information. Other information might include the number of students of color applying to and accepting admission offers, information on first-generation students in the program, institutions typically recruited from, and retention/graduation rates by gender and race/ethnicity.

Coordinate departmental opportunities for inclusive diversity education with appropriate campus offices which may include:

- Partnering with Services for Students with Disabilities (SSD) to ensure web and print materials, tours, and applicant inquiries are accessible
- Participating in ally training with the Gender and Sexuality Center (GSC) or inviting Peers for Pride to perform, a peer facilitation program utilizing theater techniques to conduct workshops that explore the lives of lesbian, gay, bisexual, transgender, and queer people
- Building awareness of social identities, developing an inclusive workplace, and exploring privilege in order to foster a climate of inclusive excellence with staff from DDCE. Participating in one of OIE's TX Classes, such as Hiring Talent for a Diverse Work Environment, which provides an overview of the processes, policies, and best practices for using UT Austin recruitment tools including compliance, fairness, competencies, interviewing, selection, and hiring

Identify departments or colleges in other universities that have been successful in generating robust and diverse applicant pools in order to examine potential models and expand best practices

END OF SECTION 1
Before Recruitment Begins

2 Planning the Search and Recruitment Process

This section provides information about ways to ensure the search committee has a proper foundation in search and recruitment practices that promote an equitable process. Examples range from creating the search or admissions committee to writing the position or program description to reviewing past searches. In addition, information about how to mitigate psychosocial and organizational barriers, myths, assumptions, and cognitive errors and biases is included to assist in fostering an equitable evaluation process for all candidates.

Creating the search or admissions committee

- Include a diverse group of individuals with different perspectives, backgrounds, and expertise, as well as a commitment to diversity and excellence
- Include committee members who will serve as advocates for underrepresented and/or underserved communities
- Be mindful of overburdening committee members with heavy service loads

Training search and recruiting committees

- Have the dean and/or department chair meet with the committee to reiterate and situate the importance of diversity and inclusion within the department and school/college, as well as the larger campus context
- Designate a diversity and equity liaison from within the department, the college/school, and/or DDCE to advise the committee on best practices in recruiting diverse candidates throughout the search process and to be a part of the post-search report process
- Establish a process for how the committee will actively recruit members from underrepresented and/or underserved communities

EXAMPLE: In order to maximize the audience, ensure the posting is distributed to diverse venues and networks managed by underrepresented communities (including list servs and periodicals), as well as to prominent underrepresented scholars and practitioners.

- Review and ensure compliance with applicable laws, policies, and procedures, as well as confidentiality, with OIE and the Office of Legal Affairs as needed
- Develop clear screening and selection criteria for candidates, as well as a process for evaluating candidate applications
- Ensure each candidate's file is read by multiple committee members
- Examine and implement best practices that address psychosocial and organizational barriers, myths, assumptions, and cognitive errors and biases that result in unfair evaluations, including but not limited to:

Psychosocial and organizational barriers – characterized by marginalization, avoidance/social distancing, discrimination, and the perpetuation of social stereotypes and privilege

- Messages that devalue and delegitimize applicants such as dismissing researchers who conduct research and publish on underrepresented communities
- Unequal callback rates during the process leading up to interviews based on the presumed race/ethnicity or gender of applicants
- Stereotyping and the perception of "fit" with the department for women and underrepresented candidates and applicants

Myths and assumptions – being aware of assumptions that may influence interviews

- Beliefs about child-rearing or family responsibilities affecting research or professional activities

- Assuming candidates will only be interested in research or professional activities tied to their identities
- Assuming only candidates from highly ranked graduate programs are worthy of consideration

Cognitive errors and biases –
cognitive processes and shortcuts for sorting through, interpreting, and reaching conclusions about information

- Tendency to rely on first impressions and make inferences based on personal values and preferences such as rating people who are like the interviewer higher than those who are least like the interviewer
- Channeling or self-fulfilling prophecy where interactions with the candidates are structured to support assumptions and myths such as setting up the interviews so that some candidates are highlighted in more positive ways
- Consider having committee members take one of Harvard University's Project Implicit online assessments and provide a reflective group discussion opportunity afterwards

- Develop a communications plan that will comprehensively articulate the department's commitment to diversity throughout the recruitment process, including but not limited to, writing inclusive position and program descriptions, developing marketing and advertising strategies, identifying approaches for broadening the applicant pool, and ensuring equitable interviews and campus visits for all candidates

Establishing the recruitment and/or search committee's charge

- Meet with the appropriate individuals to review the needs of the department and develop specific goals for the recruitment process
- Articulate goals and values clearly, such as maintaining equitable search practices, pursuing diversity and excellence as compatible and simultaneous goals, and establishing plans for actively recruiting a diverse candidate pool
- Avoid narrowing the recruitment and search to one specific research area, as a broader charge will increase the likelihood of a diverse candidate pool
- Consider new and emerging fields of research, including interdisciplinary initiatives
- Develop a realistic timeline for recruitment and be clear about the committee's role in the recruitment process

Writing the position or program announcement

- Consider possible implications of the job description that may exclude applicants, and define positions and program announcements in broad terms consistent with the department's needs to ensure a broad candidate pool
- Include as a qualification in the job description a reference to demonstrated experience teaching or working with diverse populations; examples might include mentoring activities, research interests, committee service, courses taught, recruitment and retention activities
- Interweave the importance of diversity throughout the job or program announcement

EXAMPLE: In a recent faculty position, the University of California Berkeley included the following text in the position announcement, as well as a link to Calcierge, a comprehensive online resource focused on the recruitment and retention of faculty offered through UC Berkeley's Office of the Vice Provost for the Faculty: "We are interested in candidates who will contribute to diversity and equal opportunity in higher education through their teaching, research, and service. UC Berkeley is committed to addressing the family needs of faculty, including dual-career couples and single parents."

Reviewing past searches with OIE and SI

- If members from underrepresented/underserved groups have been selected from recent recruitment efforts, consider asking the individuals and the committee how they were successfully recruited

- If members from underrepresented/underserved groups have not been selected from past recruitment efforts, consider evaluating the searches to identify opportunities for change in the process, including but not limited to:
  - Where were advertising and marketing efforts focused? For example, were advertisements placed in a broad range of publications?
  - Was the position or program announcement too specific and narrow?
  - Were candidates only selected from a small geographic area or from a few universities?
  - Were interviews and campus visits equitable and welcoming?
  - Are there best practices and successful recruiting strategies implemented by other departments on campus?
  - Would the department be willing to share or present the strategies?

END OF SECTION 2

Planning the Search and Recruitment Process

3 During Recruitment

During the actual recruitment process, marketing both the position and the department is an important first step. This section includes a number of suggestions to assist academic leaders in this phase of the search process. Suggestions range from information about expanding the marketing of the job posting to enhance the diversity of the applicant pool to setting up the interviews and campus visits to evaluating candidates following the interview process. A sample rubric used at a comparable institution to evaluate applicants is also referenced to assist in the creation of an inclusive review process.

Marketing the position and the department

- Consider creating a prospectus or information packet that highlights the diversity and equity successes within the department and college
- Develop guidelines and best practices for advertisement text that conveys a strong commitment towards diversity and inclusion that goes beyond the federally mandated regulations, such as (Note: examples are from a wide range of past search announcements from peer institutions):
  - The department seeks candidates whose research, teaching, or service prepared them to contribute to our commitment to diversity and inclusion.
  - The department is committed to a diverse and inclusive working and learning environment.
  - Candidates should describe and include specific examples on how their experience and commitment to diversity would contribute to the department's mission and values, including but not limited to their research, methodological and pedagogical approaches, teaching content, mentoring and recruiting activities, community engagement, interdisciplinary collaborations, experiences working with underrepresented communities on and off campus, etc.
- Advertise and market to a large audience
- Determine the professional networks, websites, and publications that will be utilized for marketing the position/program including existing departmental faculty and students; organizations or special interest groups within professional societies for underrepresented communities; journals, conferences, newsletters, and/or directories of prestigious fellowship programs that support diverse individuals, etc.
- Identify ways the campus community can assist with marketing, including a nomination process for potential candidates
- Place job description and program announcements on the department and/or college website, as well as relevant information such as the department's commitment to diversity, resources on work/life balance, quality of life factors, surrounding Austin-area community and resources, etc.

Evaluating and broadening the pool

- Develop a list of resources for identifying potential candidates, such as universities awarded National Science Foundation ADVANCE grants for the advancement of women in science and engineering, organizations or special interest groups within professional societies, directories of prestigious fellowship programs that support diverse individuals, and web portals and directories for underrepresented populations
- Create pathways for your own graduate students' career advancement
- Seek nominations for strong candidates from faculty, postdoctoral fellows, and graduate students in the department
- Actively seek and interview a diverse pool of candidates
- Broaden the range of institutions from which the department recruits to include Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities

- Include all committee members in the evaluation process and utilize screening and selection criteria established earlier in the process
- Review how the applicants' experience and commitment to diversity would contribute to the department, school/college, and university's missions, including but not limited to their research record, methodological and pedagogical approaches, teaching content, mentoring and recruiting activities, community engagement, interdisciplinary collaborations, experiences working with underrepresented communities on and off campus, etc.

Setting up interviews and campus visits

- Develop a consistent set of interview questions for each candidate
- Consider interviewing more than one person from an underrepresented group, as research shows that interviewers more fairly evaluate candidates when there is more than one in the candidate pool
- Ensure all candidates receive equal treatment and are welcomed on campus
- Ensure that during interviews and campus visits, people focus on the qualifications (scholarship, teaching, service, etc.) and potential academic roles of every candidate
- Allow all candidates the opportunity to talk with people from outside the committee and department about campus climate and culture
- Allow candidates to spend part of the interview day away from campus so that candidates can get a sense of life within the Austin area
- Utilize inclusive language and questions during interviews and campus visits
  - Be conscious of terms that assume identity or demographics, as well as psychosocial and organizational barriers, assumptions, myths, discrimination, and biases and cognitive errors that result in unfair evaluations
  - Provide faculty, staff, and students with opportunities for inclusive diversity education prior to the interview and campus visit process with appropriate campus offices which may include Office of Institutional Equity, Gender and Sexuality Center, and Services for Students with Disabilities
- Review policies and procedures for discussing information with candidates prior to interviews and campus visits with OIE, including illegal personal and work/life questions about age, gender, national origin, religion, marital status, dis/ability status, language, veteran status, etc.

EXAMPLE: Both the University of Washington's chart for fair and unfair pre-employment interview inquiries and Massachusetts Institute of Technology's interviewing policies and procedures offer suggestions.

- Provide information on relevant resources to all potential candidates through an accessible and comprehensive departmental website with critical information on dual career assistance, work-life balance policies and practices, disability accommodations, etc. so that candidates do not need to ask for or seek out the resources

END OF SECTION 3
During Recruitment

4 Evaluating the Recruitment Process

This final section of the toolkit includes suggestions about how to evaluate the search and recruitment process. Information gathered during the evaluation process can be used to make adjustments in future searches to create the most inclusive hiring process possible.

Collect written feedback from those that met with or interviewed candidates

Conduct a thorough and transparent debrief with the committee after the recruitment process concludes to identify what went well, as well as opportunities for improvement, with the diversity and equity liaison

- Document how the committee actively recruited members from underrepresented and/or underserved communities, as well as details about the applicant pool and overall recruitment process
- Provide an overview of the meeting as a part of the post-search report to the Executive Vice President and Provost's Office

Share best practices and opportunities for improvement with future recruitment committees

END OF SECTION 4
Evaluating the Recruitment Process

5 References and Additional Resources

The following section includes selected references and additional resources utilized to compile the toolkit. Information is current as of 3/25/14 and will be updated on an annual basis.

Links to online resources highlighted in the examples (in alphabetical order)

Calcierge
http://calcierge.berkeley.edu/

COLA recruitment procedures for faculty positions
http://www.utexas.edu/cola/business-affairs/manual/Faculty-Recruitment/Approval-to-Recruit.php

Collaborative research experience between UT Austin and St. Edward's University
http://academic.stedwards.edu/usda_grant/

Final Report of the Gender Equity Task Force (2008)
http://www.utexas.edu/provost/research/FinalReportoftheGende.pdf

Gender and Sexuality Center (GSC)
http://ddce.utexas.edu/genderandsexuality/

Harvard University's Project Implicit online assessments
https://www.projectimplicit.net/index.html

Massachusetts Institute of Technology's interviewing policies and procedures
http://hrweb.mit.edu/policy/2-5

Office of Institutional Equity (OIE)
https://www.utexas.edu/equity

Peers for Pride
http://ddce.utexas.edu/genderandsexuality/programs/

Report of the UT Austin Graduate School Climate Study (2011)
http://www.utexas.edu/ogs/about/climatestudy/

Services for Students with Disabilities (SSD)
http://ddce.utexas.edu/disability/

Strategic Initiatives (SI)
http://ddce.utexas.edu/strategicinitiatives

TX Classes
https://www.utexas.edu/equity/education/tx-class

University of North Carolina at Chapel Hill's Carolina Postdoctoral Program for Faculty Diversity
http://research.unc.edu/carolina_postdoc/applicants/

University of Washington's chart for fair and unfair pre-employment interview inquiries
http://www.washington.edu/admin/acadpers/admin/interviewing.html

UT Austin Postdoctoral Office
http://blogs.utexas.edu/postdoctoraloffice/

UT Austin Resources and Reports Related to Recruitment, Climate, and Culture

Office of the Executive Vice President and Provost **http://www.utexas.edu/provost/**

Diversity Mentoring Fellowships for Graduate Students
http://www.utexas.edu/ogs/funding/fellowships/diversity_recruit/

The merit fellowships help faculty recruit, mentor, and support outstanding new graduate students who will add to the diversity of the university's graduate programs.

Faculty Recruitment Policies and Resources
http://www.utexas.edu/provost/policies/

Family Matters: Work-Life Resources and Family Friendly Policies for Faculty
http://www.utexas.edu/provost/policies/family/

Final Report of the Gender Equity Task Force (2008)
http://www.utexas.edu/provost/research/FinalReportoftheGende.pdf

Office of Information Management and Analysis
http://www.utexas.edu/academic/ima/

Report of the Racial Respect and Fairness Task Force (2005)
http://www.utexas.edu/provost/research/racial/

Report of the UT Austin Graduate School Climate Study (2011)
http://www.utexas.edu/ogs/about/climatestudy/

Division of Diversity and Community Engagement **http://www.utexas.edu/diversity/**

Office of Institutional Equity (OIE)
http://www.utexas.edu/equity

OIE supports the University's commitment to the establishment of an inclusive and respectful workplace as well as furthers the commitment to diversity and equal opportunity for all members of the university community.

Strategic Initiatives (SI)
http://ddce.utexas.edu/strategicinitiatives

Strategic Initiatives (SI)—within the Division of Diversity and Community Engagement—provides leadership for the advancement of an equitable campus culture by engaging in and facilitating campus diversity planning, departmental and unit climate assessment, and divisional strategic planning and assessment. SI supports the Senior Vice Provost for Faculty Affairs on efforts related to advancing faculty recruitment and retention, gender equity, and mentoring. In addition, SI leads faculty, assistant instructors, and teaching assistants in discussions about strategies for creating and sustaining an inclusive classroom climate through the Inclusive Classrooms Leadership Seminar. SI staff members also collaborate closely with the leadership of the UT Elementary School and the UT Charter School in facilitating initiatives that advance the vision and mission of both schools. Throughout its areas of responsibility, SI actively partners across the university with academic deans, department chairs, faculty, students, and administrators to further the Division of Diversity and Community Engagement's mission.

Thematic Faculty Hiring Initiative
http://issuu.com/ddce/docs/fellows_pages_2014_final_low__1_

Since the inception of the thematic faculty hiring initiative in 2005, which utilizes unique partnerships among the Division for Diversity and Community Engagement, the Office of the Executive Vice President and Provost, and academic departments, colleges, and schools across campus, academic partners have been assisted with attracting and retaining faculty members in areas of scholarship that are underrepresented within the university. Academic partners have included the College of Liberal Arts, College of Fine Arts, College of Education, School of Law, College of Pharmacy, and School of Architecture.

For more information, contact DDCE staff members Susan Somers-Willett, associate director of communications and policy, at **susansw@austin.utexas.edu** and Helen Wormington, assistant to the vice president, at **kim.helen@austin.utexas.edu**

Office of the Vice President for Legal Affairs **http://www.utexas.edu/vp/irla**

Office of the Vice President for Research **http://www.utexas.edu/research**

Postdoctoral Office
http://blogs.utexas.edu/postdoctoraloffice/

Resources at Peer Institutions:

University of Michigan, ADVANCE Program
http://sitemaker.umich.edu/advance/home

The University of Michigan ADVANCE Program enhances the campus environment for faculty in four primary areas including recruitment, retention, climate, and leadership. Initially focused on increasing the representation of women faculty in science and engineering fields, the program has now broadened its approach to include strengthening institutional support for diverse faculty, postdoctoral fellows, and graduate and undergraduate students.[i]

The Ohio State University, The Women's Place (TWP)
http://womensplace.osu.edu/

Created in 2000, TWP supports and expands opportunities for women on campus, including addressing institutional barriers, creating a positive campus climate, developing leadership pathways, and publishing comprehensive reports on the status of women at OSU.[ii]

University of Washington, ADVANCE Center for Institutional Change
http://advance.washington.edu/

Like many other ADVANCE programs across the country, UW ADVANCE is focused on increasing the number of women in the STEM fields. The CIC provides leadership development workshops, pre-tenure workshops, and a mentoring for leadership lunch series, as well as serves as a clearinghouse for relevant resources on recruitment and retention.[iii]

University of Wisconsin-Madison, Women in Science and Engineering Leadership Institute (WISELI)
http://wiseli.engr.wisc.edu/

WISELI is a campus-wide entity studying gender equity for women in STEM. As a result of its research, WISELI develops and implements solutions, provides retention and recruitment workshops, as well as shares resources and best practices in gender equity programming and assessment.[iv]

National Associations, Organizations, and Programs

American Indian Graduate Center
http://www.aigcs.org/

The American Indian Graduate Center (AIGC) supports American Indian and Alaska Native graduate students across the country through fellowships, program services, magazine, and events.[v]

Asian and Pacific Islander American Scholarship Fund (APIASF)
http://www.apiasf.org/index.html

The fund provides resources, often in the form of college scholarships, to support Asian Americans and Pacific Islander students. In addition, the fund offers a higher education summit series, research reports, leadership opportunities, and mentoring resources.[vi]

Association of Public and Land-grant Universities' Commission on Access, Diversity and Excellence
http://www.aplu.org/page.aspx?pid=263

The Commission focuses on the development of a public higher education agenda as it relates to the expansion of access and opportunity, advancing student and faculty diversity, and creating mutually-beneficial partnerships between universities and communities.[vii]

The National Science Foundation's ADVANCE Program Portal
http://www.portal.advance.vt.edu/index.php

The National Science Foundation ADVANCE program portal houses resources and materials created by ADVANCE grantees that support the representation and advancement of women and underrepresented populations in STEM.[viii]

The Association of American Colleges and Universities' Office of Diversity, Equity, and Student Success
http://www.aacu.org/resources/diversity/index.cfm

Through the development of initiatives and publications grounded in best practices, meetings, institutes, resources, and toolkits, the office supports institutional change that advances diversity and equity in higher education.[ix]

Black Doctoral Network, Incorporated
http://www.blackphdnetwork.com/

Launched in 2011, The Black Doctoral Network serves as a conduit, creating pathways among scholars, disciplines, and universities. The Network serves over 4,500 members and operates with four primary functions as its focus: serving as a resource, a support system, a space of intellectual exchange, and a place to create connections.[x]

Compact for Faculty Diversity (Compact) and the Doctoral Scholars Program Scholar Directory
http://www.instituteonteachingandmentoring.org/Compact/index.html and http://dspdirectory.sreb.org/default.aspx?ReturnUrl=%2f&AspxAutoDetectCookieSupport=1

The Compact for Faculty Diversity focuses on increasing the number of underrepresented students with doctoral degrees who choose careers in higher education.[xi]

The Scholar Directory is a database that presents the vitae, profiles, research, and scholarship areas of more than 1,000 accomplished doctoral scholars and successful Ph.D. recipients.[xii]

Gates Millennium Scholars Program
http://www.gmsp.org/

Annually, the Gates Millennium Scholars (GMS) Program selects 1,000 talented students from underrepresented communities to receive a "good-through-graduation" scholarship to use at any college or university. In addition to academic support, Gates Millennium Scholars also receive personal and professional development through leadership programs.[xiii]

Higher Education Recruitment Consortium
http://www.hercjobs.org/about_herc/

HERC is a non-profit consortium of colleges, universities, hospitals, research labs, government agencies, and related non- and for-profit organizations dedicated to equity and excellence. HERC is well known for its work both on a regional and national level through higher education jobs websites, diverse job seeker pools,and networks of colleagues at campuses within close proximity who collaborate on dual-career hiring issues. HERC members also meet regularly for professional development opportunities.[xiv]

Hispanic Scholarship Fund (HSF)
http://hsf.net/

As the nation's largest not-for-profit organization supporting Hispanic American higher education, HSF has awarded over $400 million in scholarships to Latino students,as well as provided programs for students and their families.[xv]

Mellon Mays Undergraduate Fellowship (MMUF) Program
http://www.mmuf.org/

MMUF seeks to increase diverse faculty representation in higher education. The fellowship provides students with multiple types of support, including programming, faculty mentoring, stipends, support for research, and repayment of undergraduate loans of up to $10,000 provided that the student pursues doctoral study in designated fields.[xvi]

Minority Postdoc
http://www.minoritypostdoc.org/

Minority Postdoc is a web portal focused on the experiences of underrepresented graduate students and postdoctoral fellows. Highlighting the experiences of scholars in the STEM disciplines, the portal features job postings, articles, resources, professional development opportunities, and an internal contact list of over 1,100 diverse postdoctoral fellows.[xvii]

National Center for Faculty Development and Diversity (NCFDD)
http://www.facultydiversity.org/

NCFDD is a professional development, training, and mentoring community of over 40,000 graduate students, postdoctoral fellows, and faculty members. Programs and services offered include on-campus workshops, professional development training, and intensive mentoring programs that aid faculty in their career transitions.[xviii]

National Registry of Diverse and Strategic Faculty (The Registry)
http://www.theregistry.ttu.edu/Default.aspx

The Registry, supported by Texas Tech University, is a resource for tenure track/academic ladder faculty members from underrepresented groups and for colleges and universities actively working to recruit and hire highly accomplished and qualified candidates for faculty positions.[xix]

PhD Project
http://www.phdproject.org/

The PhD Project's mission is to increase the diversity of corporate America by increasing the diversity of business school faculty. The PhD Project's network helps underrepresented students attain their business doctorates, become business professors, and mentor the next generation of students.[xx]

End Notes

[i] ADVANCE University of Michigan. (2013). Retrieved October 10, 2013, from **http://sitemaker.umich.edu/advance/home**

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END OF SECTION 5

References and Additional Resources

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STRATEGIC INITIATIVES

INCLUSIVE SEARCH AND RECRUITMENT TOOLKIT

ADVANCE
university of michigan

Handbook for Faculty Searches and Hiring

ADVANCE
university of michigan

Handbook for Faculty Searches and Hiring

Please see the following URL for a continually updated version of this document:
http://www.umich.edu/~advproj/handbook.pdf

ADVANCE Handbook for Faculty Searches and Hiring

Table of Contents

For more information or additional copies of this resource, please contact the ADVANCE Program at (734) 647-9359, or advanceprogram@umich.edu, or visit the ADVANCE Program's Web site at http://sitemaker.umich.edu/advance.

I. Introduction

Efforts to recruit, retain, and promote diverse faculty in science and engineering have produced slow and uneven results. This has been the case both nationally and at the University of Michigan. Since the summer of 2002, under the auspices of the UM NSF ADVANCE grant, the Strategies and Tactics for Recruiting to Improve Diversity and Excellence (STRIDE) Committee has given presentations to search committees and other interested faculty and administrators aimed at helping with the recruiting and retention of women and other minorities under-represented among the faculty (e.g., racial and ethnic minorities, sexual minorities, people with disabilities). This handbook is designed to integrate and summarize the recruitment and hiring practices that have been identified nationally and by the STRIDE committee as effective, practical, and fair.

The STRIDE committee is composed of a diverse group of senior faculty who are able to advise individuals and departments on hiring practices aimed at increasing both the diversity and excellence of the faculty through presentations, detailed and targeted advice, or focused discussions as needed. Several times a year STRIDE offers a workshop for search committee members and other faculty entitled "Workshop on Faculty Recruitment for Diversity and Excellence." The PPT of the presentation is accessible at the following URL: http://sitemaker.umich.edu/advance/stride.

After several years of experience with the STRIDE committee's activities, ADVANCE is able to report real progress in the recruitment of women in each of the three colleges that employ the largest number of scientists and engineers at the University (College of Engineering, LSA Natural Sciences, and Medical School Basic Sciences). As a proportion of science and engineering tenure-track hires, 13% (N=9) of all new hires were women in AY2001 and AY2002 (the "pre-ADVANCE" years), as compared with 31% (N=71) in AY2003–AY2008 (a statistically significant increase).

While many factors no doubt contributed to departments' willingness and ability to hire more women, STRIDE is the intervention that most directly provided tools and ideas to aid in recruitment.

Moreover, some particular departments have reported especially rapid progress. For example, before the ADVANCE Program, the UM Chemistry Department's average representation of women in their applicant pool (1998-99 to 2002–03) was 10%. After the ADVANCE Program and the Department's adoption of "open searches," the average representation of women in the applicant pool rose to 18%. In the Department of Astronomy, the number of women on the tenure track increased from 0 in AY2001 to 5—or 33%—in AY2006. Both departments—which participated actively in ADVANCE programs and employed recommended hiring practices—have become nationally recognized for the outstanding quality and diversity of their faculty hiring during this period.

The larger context for faculty hiring activities includes both national and federal mandates, state legal constraints, and university commitments. As President Coleman stated in her remarks to the community after the 2006 passage of Proposal 2, "The University of Michigan embraces, promotes, wants, and believes in diversity." As was stated by Laurita Thomas, Associate Vice President for Human Resources, in a letter to the UM community:

The passage of Proposal 2 does not change our commitment, nor does it alter our employment practices or the protections and requirements of various federal and state laws including the Civil Rights Act of 1964, Title IX of the Education Amendments, the Americans with Disabilities Act, and Michigan's Elliott-Larsen Civil Rights Act, which prohibit a wide array of discrimination extending far beyond issues of race and gender.

We are encouraged to continue to work diligently to recruit and retain the best faculty and staff by creating a community that seeks, welcomes and defends diversity. We will do so in compliance with state and federal laws, and federal law requires that we continue to take affirmative steps (known as affirmative action) in our employment process in order to adhere to the equal employment opportunity and affirmative action provisions of Executive Order 11246 regarding race, gender, color, religion and national origin required of all federal contractors. Proposal 2 specifically states that it does not prohibit actions that are required to establish or maintain eligibility for any federal program, if ineligibility would result in a loss of federal funds to the state. Specifically, this means that:

- The University's nondiscrimination policy remains in full force and effect (see SPG 201.35 http://spg.umich.edu/pdf/201.35.pdf).

- A host of federal and state civil rights laws, including those discussed above, continue to be in effect and applicable to the University.

- The University must continue to adhere to all the requirements of Executive Order 11246.

- As it relates to the employment process, Executive Order 11246 requires all federal contractors, such as U-M, to take affirmative steps to ensure its employment process is fair and equitable and offers equal opportunity in hiring and employment. The types of affirmative steps required include a focus on recruiting and outreach, such as casting the widest net possible when conducting an employment search.

- Executive Order 11246 also requires that federal contractors not discriminate against job applicants or employees.

- The University's standard statement in employment ads, "A Non-Discriminatory/ Affirmative Action Employer" or similar language such as "Affirmative Action/Equal Opportunity Employer" is required by Executive Order 11246 and must continue to be used.

Further information regarding the University's nondiscrimination statement, diversity, or affirmative action can be obtained from the Office of Institutional Equity.
http://www.hr.umich.edu/oie

II. Initiating the Search Process

The composition of the search committee and its charge are factors likely to have consequences for the outcome of the search. It is important that issues of composition and charge be addressed deliberately and early. STRIDE committee members are happy to meet with department chairs or other decision-makers to help think through issues associated with the composition of, and charge to, the search committee.

Composition of the Committee

- Search committees should include members with different perspectives and expertise, and with a demonstrated commitment to diversity.

- Search committees should include women and underrepresented minorities whenever possible.

- It is often helpful to appoint some search committee members from outside the department. Note, however, that women and minorities are often asked to do significantly more service than majority males, so it is important to keep track of their service load, free them from less significant service tasks, and/or compensate them in other ways.

Initial Discussions of the Search Committee's Charge should:

- Verify that its charge includes particular focus on equitable search practices, and the goal of identifying outstanding women and underrepresented minority candidates for the position.

- Articulate the fact that diversity and excellence are fully compatible goals and can and should be pursued simultaneously.

- Identify selection criteria and develop the position description prior to beginning the search.

It may be helpful for the committee to view the videotaped lecture by Professor Virginia Valian, of CUNY, summarizing this research, and discuss it as a group. The lecture may be viewed at the following URL: http://video.mit.edu/watch/why-so-slow-the-advancement-of-women-virginia-valian-6901/

Also examine Professor Valian's interactive tutorial, which can be accessed at the following URL: http://www.hunter.cuny.edu/gendertutorial/

- Establish plans for actively recruiting women and underrepresented minorities prior to beginning the search.

- Review practices that will mitigate the kinds of evaluation biases that social science research has identified that result in unfair evaluations for women and minority candidates.

- Include discussion of how the plans to represent the school's or department's commitment to and strategies for hiring and advancing diverse faculty are integrated into the strategies. This may be of particular concern for departments that have few or no women or under-represented minority faculty. In these cases, it may be helpful to develop long-term strategies for recruiting diverse faculty. For example, the department might consider inviting women or minority faculty to give talks and then inviting them to apply for positions the following year.

- Remind committee members that STRIDE is available to consult as questions arise throughout the search process.

How to Avoid Having Active Recruitment Efforts Backfire

- Women and minority faculty candidates wish to be evaluated for academic positions on the basis of their scholarly credentials. They will not appreciate subtle or overt indications that they are being valued on other characteristics, such as their gender or race. Women candidates and candidates of color already realize that their gender or race may be a factor in your considerations. It is important that contacts with women and minority candidates for faculty positions focus on their scholarship, qualifications, and potential academic role in the department.

Defining the Position

- Define the position in the widest possible terms consistent with the department's needs. Aim for consensus on specific specialties or requirements, while planning to cast the hiring net as broadly as possible. Make sure that the position description does not needlessly limit the pool of applicants. Some position descriptions may exclude female or minority candidates by focusing too narrowly on subfields in which few specialize.

- Consider as important selection criteria for all candidates (regardless of their own demographic characteristics), the ability of the candidate both to add intellectual diversity to the department, and to work successfully with diverse students and colleagues.

- If women or minority candidates are hired in areas that are not at the center of the department's focus and interest, they may be placed in an unfavorable situation. It is important to carefully think about how the department will support not only the individual, but also the development of that person's area within the department. Consider "cluster hiring," which involves hiring more than one faculty member at a time to work in the same specialization.

• Establish selection criteria and procedures for screening, interviewing candidates, and keeping records before advertising the position.

• Make sure that hiring criteria are directly related to the requirements of the position, clearly understood, and accepted by all members of the committee.

• Get committee consensus on the relative importance of different selection criteria. Plan to create multiple short lists based on different key criteria. (See "Creating the Short List," in section IV, below.)

Language for Announcing Positions

• Proactive language can be included in job descriptions to indicate a department's commitment to diversity. This may make the position more attractive to female and minority candidates. Examples include:

- "The college is especially interested in qualified candidates who can contribute, through their research, teaching, and/or service, to the diversity and excellence of the academic community."

- "The University is responsive to the needs of dual career couples."

- "Women, minorities, individuals with disabilities, and veterans are encouraged to apply."

The Importance of Dual Career Considerations

While it is critical that women and minority candidates be treated first and foremost as the scholars they are, it is equally important that search committees and departments understand the importance of dual career considerations in recruiting women and underrepresented minority faculty in science and engineering. If your search committee and department chair are willing to do their best to help place qualified spouses and partners, you might consider including the following statement in the ads for positions: "The University is responsive to the needs of dual career couples."

At the same time, it is critical that all search committees recognize that it is inappropriate and illegal for individuals' marital or family status to affect evaluation of their application. Knowledge—or guesses—about these matters may not play any role in the committee's deliberation about candidates' qualifications or the construction of the shortlist. All committee members should recognize this and help maintain a proper focus in committee deliberations, but of course the committee chair has a special responsibility to ensure that the discussion excludes any inappropriate considerations.

The UM Human Resources and Affirmative Action Web site includes a chart comparing legal and discriminatory questions about:

- Family status
- Race
- Religion
- Residence
- Sex
- Age
- Arrests or convictions
- Citizenship or nationality
- Disability

Details are listed below and can be found at the following URL:
http://www.hr.umich.edu/empserv/department/empsel/legalchart.html

TOPIC	**LEGAL QUESTIONS**	**DISCRIMINATORY QUESTIONS**
Family Status	Do you have any responsibilities that conflict with the job attendance or travel requirements? Must be asked of all applicants.	Are you married? What is your spouse's name? What is your maiden name? Do you have any children? Are you pregnant? What are your childcare arrangements?
Race	None	What is your race?
Religion	None You may inquire about availability for weekend work.	What is your religion? Which church do you attend? What are your religious holidays?
Residence	What is your address?	Do you own or rent your home? Who resides with you?
Sex	None	Are you male or female?
Age	If hired, can you offer proof that you are at least 18 years of age?	How old are you? What is your birthdate?
Arrests or Convictions of a Crime	Have you ever been convicted of a crime? You must state that a conviction will be considered only as it relates to fitness to perform the job being sought.	Have you ever been arrested?
Citizenship or Nationality	Can you show proof of your eligibility to work in the U.S.? Are you fluent in any languages other than English? You may ask the sec ond question only as it relates to the job being sought.	Are you a U.S. citizen? Where were you born?
Disability	Are you able to perform the essential functions of this job with or without reasonable accommodation? Show the applicant the position description so he or she can give an informed answer.	Are you disabled? What is the nature or severity of your disability?

Regardless of candidates' personal characteristics (and without knowing anything about an individual's partner or family status), one feature of the University environment that is likely to be important and attractive to all candidates is policies that make it a humane work setting. As you provide that information to all candidates, keep a few notions in mind:

- While it is common for academics to be partnered with other academics, academic *women* are more likely to be partnered with other academics than academic men are. This means that disadvantages that affect two-career academic couples have a disproportionate impact on women.

- At the same time, recognize that there is variability among women in their personal and household circumstances. Do not assume one household type (e.g., a husband and children) applies to all women.

- Make sure everyone on the search committee has a good working knowledge of the UM's dual career support programs. Consult the Provost's Office for further information. Information is also available online at www.provost.umich.edu/programs/pfip.html. This site provides online resources for dual career partners seeking employment. In addition, the document, "University of Michigan Dual Career Program: Roles and Responsibilities & Steps in the Process," a resource for University administrators, is available by contacting the Provost's Office. Precise procedures vary in each school and college, so search committee chairs should consult their department chairs about the correct procedures they should follow.

- Provide all candidates with a copy of the flier, "Dual Career Program at the University of Michigan: A Guide for Prospective and New Faculty Members," which is also available online: www.provost.umich.edu/programs/dual_career/DualCareerBrochure9201.pdf

The ADVANCE Program can be reached by email at: advanceprogram@umich.edu or by web form request at: http://sitemaker.umich.edu/advance/contact

- Address perceptions that Ann Arbor, as a small city, offers limited opportunities for a candidate's spouse or partner. Make sure candidates know about the diverse employment possibilities their partners might find not only at the university, but also throughout Ann Arbor and in the larger Southeast Michigan area. The Dual Career office can provide helpful information about Ann Arbor and surrounding communities. (See contact information above).

- Identify someone in the department who can offer to have a confidential conversation (one not to be conveyed to anyone else in the department) with candidates about these issues. This person should be well-informed about all programs supporting faculty members' families, and willing to describe or discuss them with candidates, without transmitting information about the candidate's personal circumstances to the department or the rest of the search committee. Another possibility is to have this person come from outside the interviewing department. For example, the College of Engineering has a committee of senior faculty women who volunteer to serve as contacts for women candidates, and the Associate Dean for Academic Affairs (ADAA) requires that each female candidate meet with a member of this committee.

- If a candidate does mention having a spouse or partner who will need placement help, follow the procedures appropriate in your school or college to arrange interviews or other opportunities for the spouse or partner as early in the hiring process as possible. Your department chair is the best source on this, but it is always possible to get information and assistance from the Dual Career Coordinator in the Provost's office.

III. Committee Activity before the Search Begins

The search committee, and/or a larger group in the department, should engage in a relatively extended review of the wider disciplinary context, as well as the department's own past history of searching and hiring, before beginning a new search. The department is more likely to be able to achieve a different outcome from past outcomes if it has some understanding of factors that may have played a role in limiting past success in recruiting women and minorities.

Reviewing the National Pool

- Take steps to identify the national "pools" of qualified candidates for the field as a whole and for subfields in which you are considering hiring. Subfield pools are sometimes quite different from overall pools. ADVANCE Program staff are willing and able to assist you in identifying field and subfield pools.

- Identify any institutions or individuals that are especially successful at producing women and/or under-represented minority doctorates and/or postdoctorates in your field or the desired subfield. Recruit actively from those sources.

Reviewing Past Departmental Searches

- Find out how many women and under-represented minorities have applied for past positions in your department, as a percentage of the total applicant pool.

- Find out how many women and under-represented minorities have been brought to campus for interviews in your field in previous searches.

- If women or under-represented minority candidates have been hired in recent searches, ask the search committees, the department chair, and the recently hired faculty themselves how they were successfully recruited.

The Psychology Department at the University of Michigan successfully recruited faculty of color by maintaining a standing committee to develop information about potential candidates,and following up on that information as opportunities arose.

- If women or under-represented minority candidates have been offered positions but have turned them down, find out why they have turned them down. ADVANCE staff are willing and able to conduct confidential interviews with such candidates, if you think they might be less than candid in talking with colleagues in the same field. Be sure, in any case, to collect multiple accounts; individual stories often differ. Listen for potential insights into departmental practices that might have been a factor in candidates' decisions. Stories that appear to be highly individual at first may reveal patterns when considered in the aggregate.

- Find out what has happened to women and under-represented minorities who were not offered positions in previous searches. Where are they now? Does it appear that something interfered with the assessment of their likely success?

- If no women or under-represented minorities have been offered positions in recent searches, consider redefining departmental evaluation systems in ways that might better take strengths of female and under-represented minority candidates into account. Consider whether positions have been defined too narrowly. If candidates have been ranked on a single list, consider using multiple ranking criteria in the future.

IV. Recruiting Activities during the Search

Broadening the Pool

• Be aware that the University of Michigan's Provost's Faculty Initiative Program (PFIP) provides supplemental resources "to help the schools and colleges and other academic units to hire and retain faculty who contribute to the intellectual diversity of the institution, to assist the dual career partners of tenure track and tenured faculty, and to respond to unique opportunities." This program can often help you recruit and retain women and minority faculty. Consult the Provost's Office for further information.

• View your committee's task as including a process of generating a pool rather than merely tapping it. This may be accomplished by having committee members attend presentations at national meetings and develop a more diverse list of potential future candidates based on those meetings. Candidates identified in this way may be in any field, not necessarily the one targeted for a particular search. In fact, the department may consider creating a committee to generate women and/or minority candidates, who can then be considered for targeted recruitment outside of subfield-defined searches. In addition, the committee may consider issuing promising candidates invitations to visit UM informally to present research before those individuals are ready for an active search. Cultivating future candidates is an important activity for the search committee to undertake, and may require that the search have a longer time horizon than is typical.

• If your department is a significant source of qualified applicants nationally, consider setting aside the traditional constraint against "hiring our own." It may be important, if your department or related ones at UM is a significant producer of the pool, to avoid unduly constraining the search to those trained elsewhere.

• Keep in mind that some eminent universities have only recently begun actively to produce women and minorities Ph.Ds. Therefore, consider candidates from a wide range of institutions.

• Consider the possibility that women and under-represented minorities who have excelled at their research in departments less highly ranked than UM's may be under-placed and might thrive in the University of Michigan research environment.

• Beware of systems of evaluation that inadvertently screen out well-qualified applicants from minority-serving institutions.

• Be careful to place a suitable value on non-traditional career paths. Take into account time spent raising children or getting particular kinds of training, unusual undergraduate degrees, and different job experiences. There is considerable evidence that evaluations of men frequently go up when they have such work experience, while evaluations of women with the same kinds of experience go down.

• Keep in mind that when more than one woman and/or minority candidate is brought in for an interview, women or minority candidates are disproportionately more likely to be hired. Research indicates that interviewers evaluate women and underrepresented minorities more fairly when there is more than one woman in the interview pool. When there is only one woman or underrepresented minority, s/he is far less likely to succeed than women or minorities who are compared to a diverse pool of candidates, probably because of the heightened salience of his or her race or gender.

• Rank candidates separately on several different criteria, rather than using a single aggregate ranking list. This helps mitigate the tendency for “halo” effects that result from reliance on overall impressions rather than evidence-based judgments of particular criteria.

• Consider re-opening or intensifying the search if the pool of applicants does not include female or minority candidates who will be seriously considered by the search committee.

Using Active Recruiting Practices

• Advertise the position for at least thirty days before the application deadline.

• Use electronic job-posting services targeted at diverse groups such as minority and women’s caucuses or professional networks in your discipline. (Several resources are listed below)

• Make personal contacts with women and minorities at professional conferences and invite them to apply.

• Ask faculty and graduate students to help identify women and minority candidates.

• Contact colleagues at other institutions to seek nominations of students nearing graduation or others interested in moving laterally, making sure to request inclusion of minorities and women.

• Place announcements in websites, listservs, journals, and publications aimed specifically at underrepresented minorities and women.

• Identify suitable women and minority faculty at other institutions, particularly faculty who may currently be under-placed, and send job announcements directly to them.

• Contact relevant professional organizations for rosters listing women and minorities receiving PhDs in the field.

Using Active Recruiting Resources

Be aware that most fields have resources—listservs, email groups, etc.—that can help you identify or reach qualified women and minority candidates. Either seek these out on your own, or request assistance from advanceprogram@umich.edu in identifying them.

Recruitment Sources page at Rutgers lists several resources that can be helpful in recruiting women and minority candidates.
http://uhr.rutgers.edu/ee/recruitmentsources.htm

Faculty Diversity Office page at Case Western Reserve University provides links to many specific professional organizations and diversity resources for faculty searches.
http://www.case.edu/president/aaction/diverse.html

The WISE Directories publishes free annual listings of women and minority Ph.D. recipients, downloadable as pdf documents. http://www-s.cic.net/programs/DirectoryOfWomenInScienceAndEngineering/archive/ResourceList/WiseDir/main.asp
http://www.cic.net/Home/Students/DoctoralDirectory/Introduction.aspx

The Minority and Women Doctoral Directory "is a registry which maintains up-to-date information on employment candidates who have recently received, or are soon to receive, a Doctoral or Master's degree in their respective field from one of approximately two hundred major research universities in the United States. The current edition of the directory lists approximately 4,500 Black, Hispanic, American Indian, Asian American, and women graduate students in nearly 80 fields in the sciences, engineering, the social sciences and the humanities." Directories are available for purchase.
www.mwdd.com

National Science Foundation Survey of Earned Doctorates is published yearly. While it does not list individual doctorate recipients, it is a good resource for determining how big the pool of new women and minority scholars will be in various fields.
www.nsf.gov/statistics/srvydoctorates/

Ford Foundation Fellows is an on-line directory of minority Ph.D.s in all fields, administered by the National Research Council (NRC). The directory contains information on Ford Foundation Postdoctoral fellowship recipients awarded since 1980 and Ford Foundation Predoctoral and Dissertation fellowship recipients awarded since 1986. This database doesnot include Ford Fellows whose fellowships were administered by an institution or agency other than the NRC.
http://nrc58.nas.edu/FordFellowDirect/Main/Main.aspx

Mellon Minority Undergraduate Fellowship Program provides an on-line list of minority Ph.D.s and their dissertation, book and article titles in all fields.
http://www.mmuf.org/

The Faculty for the Future Project is administered by WEPAN (The Women in Engineering Program and Advocates Network), and offers a free forum for students to post resumes and search for positions and for employers to post positions and search for candidates. The website focuses on linking women and underrepresented minority candidates from engineering, science, and business with faculty and research positions at universities.
http://www.engr.psu.edu/fff/

IMDiversity.com is dedicated to providing career and self-development information to all minorities, specifically African Americans, Asian Americans, Hispanic Americans, Native Americans and women. It maintains a large database of available jobs, candidate resumes and information on workplace diversity.
http://www.imdiversity.com/

Nemnet is a national minority recruitment firm committed to helping schools and organizations in the identification and recruitment of minority candidates. Since 1994 it has worked with over 200 schools, colleges and universities and organizations. It posts academic jobs on its web site and gathers vitas from students and professionals of color.
http://www.nemnet.com

HBCU Connect.com Career Center is a job posting and recruitment site specifically for students and alumni of historically black colleges and universities.
http://jobs.hbcuconnect.com/

Society of Women Engineers maintains an online career fair.
www.swe.org

Association for Women in Science maintains a job listings page.
http://societyofwomenengineers.swe.org/

The CIC Doctoral Directory is a listing of doctoral degree recipients who are members of groups underrepresented in higher education and who are alumni of the universities of the Committee on Institutional Cooperation . The Directory is designed to increase the visibility of doctoral alumni who bring diverse perspectives and experiences to higher education.
www.cic.net/doctoraldirectory

American Physical Society Education and Outreach department maintains a roster of women and minorities in physics. It contains the names and qualifications of over 3100 women and 900 minority physicists. The Roster serves as the mailing list for The Gazette, the newsletter of the APS Committee on the Status of Women in Physics (CSWP), and is widely used by prospective employers to identify women and minority physicists for job openings.
http://www.aps.org/programs/roster/index.cfm

American Indian Science & Engineering Society maintains a job listings page (and a resume database available to Career Fair exhibitors).
http://www.aises.org

American Indian Graduate Center hosts a professional organization, fellowship and post-doctoral listings, and a magazine in which job postings can be advertised.
http://www.aigcs.org

National Society of Black Engineers seeks increase the number of minority students studying engineering at both the undergraduate and graduate levels. It encourages members to seek advanced degrees in engineering or related fields and to obtain professional engineering registrations.
http://www.nsbe.org

Society of Hispanic Professional Engineers is a leading social-technical organization whose primary function is to enhance and achieve the potential of Hispanics in engineering, math and science.
http://www.shpe.org

Creating the Short List

As you begin to evaluate applicants and candidates, be aware of the kinds of evaluation biases that psychological research has identified in both women's and men's judgments of job candidates. Read Virginia Valian's book *Why So Slow?* (or some key chapters), or view her videotaped lecture summarizing this research [http://mitworld.mit.edu/video/80], and discuss it as a group. ADVANCE Program staff will be happy to help you obtain this material.

The most important general point about the process of creating the short list is to build in several checkpoints at which you make a considered decision about whether you are satisfied with the pool of candidates you have generated.

- Get consensus on the multiple criteria that will be used to choose candidates for interviews. Notice that different criteria may produce different top candidates. Be sure to consider all criteria that are pertinent to the department's goals (e.g., experience working with diverse students might be one). In addition, discuss the relative weighting of the different criteria, and the likelihood that no or few candidates will rate high on all of them.

- Develop a "medium" list from which to generate your short list. Are there women or minority candidates on it? If not, consider intensifying the search before moving on to a short list. Consider contacting STRIDE for advice or help.

• Consider creating separate short lists ranking people on different criteria, such as teaching, research potential, collaborative potential, and mentoring capacity. Develop your final shortlist by taking the top candidates across different criteria. Evaluate this step before finalizing the list; consider whether evaluation bias may still be affecting your choices.

• Alternatively, review the top female and/or minority candidates in your pool. Consider whether your short list should be revised because the committee's judgments were influenced by evaluation bias (the tendency to underestimate women and underrepresented minority members' qualifications and overestimate those of white males).

• Evaluation bias is minimized if you interview more than one woman and/or under-represented minority candidate. As noted earlier, research indicates that interviewers evaluate women and underrepresented minorities more fairly when there is more than one woman in the interview pool. When there is only one woman or underrepresented minority, s/he is far less likely to succeed than women or minorities who are compared to a diverse pool of candidates, probably because of the heightened salience of his or her race or gender.

V. Handling Campus Visits

The campus visit is an important opportunity for the department to communicate three messages:

1. You are seriously interested in the candidate's scholarly credentials and work;
2. Michigan is a good place to come because it is intellectually lively, and committed to diversity in the faculty, staff and student body;
3. Michigan is a good place to come because it has a variety of humane, family-friendly policies in place.

How these messages are communicated can make a critical difference in recruiting women to departments in which they will be vastly outnumbered by male colleagues.

• Make it clear that you are interested in the candidate's scholarship and skills, rather than his or her demographic characteristics. It is generally not helpful to make a point with candidates that the department is eager to hire women and minorities.

• Consider how the department will represent the university as a whole as a place in which women and minority faculty can thrive.

• Distribute information about "family-friendly" policies (dual career, maternity leave, modified duties, etc.) to *all* job candidates regardless of gender, partner or parent status, and race or ethnicity.

• Consider how the department will represent *itself* as a place in which women and minority faculty can thrive. This may be difficult for departments that currently have few or no women and minority faculty members. Some things that may make the department more attractive to women and under-represented minorities are:

- Clear and public policies and procedures for evaluation and promotion

-Mentoring resources for junior faculty in general and female faculty in particular

- Development of some practices in evaluation and annual reporting that value mentoring of women and minority faculty and students

• Schedule interviews and events with consistency in achieving outcomes, recognizing that different means may be required. For example, white male candidates may automatically be meeting with white male faculty, given the composition of your department. When recruiting candidates with different race and/or gender characteristics, it will be equally important for them to meet people who share important demographic characteristics, but you may need to make particular arrangements to ensure that this happens. Race-ethnicity and gender are not the only personal characteristics that may be important to consider; if you learn that a candidate is particularly concerned with the availability of a community identified with a particular nationality, religion, family status, sexual identity or other characteristic, take steps to help them meet with appropriate members of that community. One option is to create opportunities for the candidate to meet with faculty members, including members of STRIDE, who can provide relevant information to candidates.

• Give the candidate a chance to interact with the department's faculty in multiple venues. Formal talks may not reveal every candidate's strengths. Consider including Q + A sessions, "chalk talks," and other less formal interactions.

• Be sure to offer information and access to faculty who might represent opportunities for interdisciplinary collaboration.

• Avoid leaving candidates alone with faculty who may be hostile to hiring women and underrepresented minorities. If a candidate is confronted with racist, sexist or homophobic remarks, take positive and assertive steps to defuse the situation. Be sure there is a practice in place in the department for dealing with the expression of racist, sexist or homophobic attitudes, and that the candidate is made aware of it, if the situation arises.

• Be sure to gather equivalent information from all candidates, so you will be able to evaluate them all in terms of the same criteria. This does not require use of uniform questions with all candidates, but does require care in obtaining comparable information.

• Introduce women and minority members of the department to all candidates, not just women and minorities. Moreover, if women and minority faculty members are expected to play an especially active role in recruiting new faculty, be sure to recognize this additional service burden in their overall service load.

• Focus on the candidate's ability to perform the essential functions of the job and avoid making assumptions based on perceived race, ethnic background, religion, marital or familial status, age, disability, sexual orientation, or veteran status.

• Ask faculty to provide feedback about specific facets of the candidate's potential, rather than just requesting generic feedback. Studies show that when people focus on particular issues of performance, they are much less likely to rely on implicit biases. A sample evaluation form follows; it can be modified to represent the key criteria for your search.

Candidate Evaluation Sheet

The following offers a method for department faculty to provide evaluations of job candidates. It is meant to be a template for departments that they can modify as necessary for their own uses. The proposed questions are designed for junior faculty candidates; however, alternate language is suggested in parenthesis for senior faculty candidates.

Candidate's Name: ______________________________

Please indicate which of the following are true for you (check all that apply):

- ☐ Read candidate's CV
- ☐ Read candidate's scholarship
- ☐ Read candidate's letters of recommendation
- ☐ Attended candidate's job talk
- ☐ Met with candidate
- ☐ Attended lunch or dinner with candidate
- ☐ Other (please explain):

____

____

Please comment on the candidate's scholarship as reflected in the job talk:

Please comment on the candidate's teaching ability as reflected in the job talk:

Please rate the candidate on each of the following:

	excellent	good	neutral	fair	poor	unable to judge
Potential for (evidence of) scholarly impact						
Potential for (evidence of) research productivity						
Potential for (evidence of) research funding						
Potential for (evidence of) collaboration						
Fit with department's priorities						
Ability to make positive contribution to department's climate						
Potential (demonstrated ability) to attract and supervise graduate students						
Potential (demonstrated ability) to teach and supervise undergraduates						
Potential (demonstrated ability) to be a conscientious university community member						

Other comments?

VI. Negotiating the Offer

• The way an offer is negotiated can have huge impact not only on the immediate hiring outcome, but also on a new hire's future career. Candidates who feel that chairs conduct negotiations honestly and openly, and aim to create circumstances in which they will thrive, are more satisfied in their positions and more likely to stay at the UM than are those who feel that a department or chair has deliberately withheld information, resources, or opportunities from them. Initial equity in both the negotiated conditions and in the department's follow-through on the commitments it makes are important factors in retention as well as recruitment.

• Women and minority candidates may have received less mentoring at previous career stages than their counterparts, and may therefore be at a disadvantage in knowing what they can legitimately request in negotiations. In addition, there is some evidence that women are less inclined to negotiate for themselves than men are. To ensure equity, aim to empower the candidate to advocate on his or her own behalf, by providing all candidates with a complete list of things it would be possible for them to discuss in the course of negotiations. This list will vary by field, and should include those items that will maximize the likelihood of candidate success in that field. For some fields these might include:

- Salary
- Course release time
- Lab equipment
- Lab space
- Renovation of lab space
- Research assistant
- Clerical / administrative support
- Attractive teaching opportunity
- Travel funds
- Discretionary Funds
- Summer salary
- Moving expenses
- Assistance with partner/spouse position
- Other issues of concern to the candidate

VII. Getting Off to a Good Start

• Consider appointing an advocate or mentor to help candidates throughout the negotiation process.

• Be sure to provide clear, detailed information about mentoring practices as well as all crucial review criteria and milestones such as annual reviews, third year reviews, tenure reviews, and post-tenure promotion reviews.

• If a candidate has a partner who will need placement help, try to help arrange interviews or other opportunities for the spouse or partner as early in the hiring process as possible. See the section on Dual Careers earlier, and be familiar with University resources to support these efforts. Consult the Provost's Office for further information.

VIII. Evaluating the Search

• If the department hires a woman and/or minority candidate, consider the factors that may have enabled it to do so and keep a record of good practices and successful searches for future reference.

• If the applicant pool was not as large, as qualified, or as diverse as was anticipated, consider:

- Could the job description have been constructed in a way that would have brought in a broader pool of candidates?

- Could the department have recruited more actively?

- Were there criteria for this position that were consistently not met by women or candidates of color?

• If women and/or minority candidates were offered positions that they chose not to accept, what reasons did they offer? Consider as many factors as you can identify. Are there things that the department could do to make itself more attractive to such candidates in the future? Be sure that any analysis and insight is shared with departmental decision-makers and is part of the process of initiating future searches. If you would like someone outside your department to help with a confidential interview of the candidate(s), please contact ADVANCE Program staff for help.

Appendix 1: Reading Lists

Readings on Gender, Race, Ethnicity, and Faculty Recruitment

Babcock, L. & Laschever, S. (2003). *Women don't ask: Negotiation and the gender divide. Princeton,* New Jersey: Princeton University Press.
Women don't ask shows women how to reframe their interactions and more accurately evaluate their opportunities. The book includes examining how to ask for a desired outcome in ways that feel comfortable and possible, taking into account the impact of asking on relationships. It also discusses how to recognize the ways in which our institutions, child-rearing practices, and unspoken assumptions perpetuate inequalities—inequalities that are not only fundamentally unfair but also inefficient and economically unsound.

Bauer, C.C. & Baltes, B.B. (2002). Reducing the effects of gender stereotypes on performance evaluations. *Sex Roles,* 9/10, 465–476.
This study is one of many showing (1) that people vary in the degree to which they hold certain stereotypes and schemas (2) that having those schemas influences their evaluations of other people; and (3) that it is possible to reduce the impact of commonly-held stereotypes or schemas by relatively simple means. In this study college students with particularly negative stereotypes about women as college professors were more likely to rate accounts of specific incidents of college classroom teaching behavior negatively, if they were described as performed by a female. In the second phase of the study students' reliance on their stereotypes was successfully reduced by providing them with time and instructions to recall the specific teaching behaviors of the instructors in detail. Thus, focusing attention on specific evidence of an individual's performance eliminated the previously-demonstrated effect of gender schemas on performance ratings.

Bensimon, E.M., Ward, K., & Sanders, K. (2000). *Creating mentoring relationships and fostering collegiality.* 113–137. Bolton, MA: Anker Publishing.
This section describes the department chairs' role in developing new faculty into teachers and scholars.

Bertrand, M., & Mullainathan S. (2004). Are Emily and Greg more employable than Lakisha and Jamal? A field experiment on labor market discrimination. *The American Economic Review* 94(4), 991–1013; "Employers' Replies to Racial Names." NBER Website. Thursday, August 31, 2006. http://www.nber.org/digest/sep03/w9873.html.
This is an empirical study demonstrating the impact of implicit discrimination by race, and not attributable to class.

Bertrand, M., Chugh, D., & Mullainathan, D. (2005). Implicit discrimination. *American Economic Review,* 95(2), 94–98.
This article is a reflective discussion of how and where implicit discrimination operates. Includes useful review of the literature, and fairly extended discussion of research needed.

Biernat, M. & Kobrynowicz, D. (1997). Gender- and race-based standards of competence: Lower minimum standards but higher ability standards for devalued groups. *Journal of Personality and Social Psychology,* 72 (3), 544–557.
Stereotypes may influence judgment via assimilation, such that individual group members are evaluated consistently with stereotypes, or via contrast, such that targets are displaced from the overall group expectation. T\vo models of judgment—the shifting standards model and status characteristics theory—provide some insight into predicting and interpreting these apparently contradictory effects. In 2 studies involving a simulated applicant-evaluation setting, we predicted and found that participants set lower minimum-competency standards, but higher ability standards, for female than for male and for Black than for White applicants. Thus, although it may be easier for low- than high status group members to meet (low) standards, these same people must work harder to prove that their performance is ability based.

Caffrey, M. (1997, May 12). Blind auditions help women. *Princeton Weekly Bulletin.* Based on Goldin, C & Rouse, C. (2000). Orchestrating impartiality: The impact of “blind” auditions on female musicians. American Economic Review, 90, 715–741.
A change in the audition procedures of symphony orchestras—adoption of “blind” auditions with a “screen” to conceal the candidate’s identity from the jury—provides a test for gender bias in hiring and advancement. Using data from actual auditions for 8 orchestras over the period when screens were introduced, the authors found that auditions with screens substantially increased the probability that women were advanced (within the orchestra) and that women were hired. These results parallel those found in many studies of the impact of blind review of journal article submissions.

Chesler, M. A. (1996). Protecting the investment: Understanding and responding to resistance. *The Diversity Factor* 4(3), 2–10.
This article discusses common barriers to successful implementation of diversity-related cultural change efforts, including both those that are intentional and unintentional. It also outlines strategies for addressing or dealing with these various forms of resistance.

Cole, J. R., & Singer, B. (1991). *A theory of limited differences: Explaining the productivity puzzle in science. In H. Zuckerman,* J. R. Cole, and J. T. Bruer, (Eds.), *The outer circle: Women in the scientific community.* (277–310). New York: W. W. Norton and Company.
This chapter proposes “a theory of limited differences” where even if the life events to which people are exposed have small short-term effects, over the life course these events have large cumulative effects. The authors suggest that the small disparities at every stage of a woman scientist’s career combine to create a subtle yet virtually unassailable barrier to success.

Dovidio, J. F. and S. L. Gaertner (2000). Aversive racism and selection decisions: 1989 and 1999. *Psychological Science* 11(4): 315–319.
This study investigated differences over a 10-yr period in Whites’ self-reported racial prejudice and their bias in selection decisions involving Black and White candidates for employment in a sample of 194 undergraduates. The authors examined the hypothesis, derived from the aversive-racism framework, that although overt expressions of prejudice may decline significantly across time, subtle manifestations of bias may persist. Consistent with this hypothesis, self-reported prejudice was lower in 1998-1999 than it was in 1988–1989, and at both time periods, White participants did not discriminate against Black relative to White candidates when the candidates’ qualifications were clearly strong or weak, but they did discriminate when the appropriate decision was more ambiguous. Theoretical and practical implications are considered.

Fiske, S. T. (2002). What we know about bias and intergroup conflict, the problem of the century. *Current Directions in Psychological Science* 11(4): 123–128.
This essay discusses what psychologists, after years of study, now know about intergroup bias and conflict. It is stated that most people reveal unconscious, subtle biases, which are relatively automatic, cool, indirect, ambiguous, and ambivalent. Subtle biases underlie ordinary discrimination: comfort with one’s own in-group, plus exclusion and avoidance of out-groups. Such biases result from internal conflict between cultural ideals and cultural biases. On the other hand, a small minority of people, extremists, do harbor blatant biases that are more conscious, hot, direct, and unambiguous. Blatant biases underlie aggression, including hate crimes. Such biases result from perceived intergroup conflict over economics and values, in a world perceived to be hierarchical and dangerous. Reduction of both subtle and blatant bias results from education, economic opportunity, and constructive intergroup contact.

Fiske, S. T., Cuddy, A. J. C., Glick, P., & Xu, J. (2002). A model of (often mixed) stereotype content: Competence and warmth respectively follow from status and competition. *Journal of Personality and Social Psychology,* 82(6), 878–902.
This article presents results of research proceeding from the theoretical assumption that status is associated with high ratings of competence, while competition is related to low ratings of warmth.

Included in the article are ratings of various ethnic and gender groups as a function of ratings of competence and warmth. These illustrate the average content of the stereotypes held about these groups in terms of the dimensions of competence and warmth, which are often key elements of evaluation.

Georgi, Howard. (2000). "Is There an Unconscious Discrimination Against Women in Science?" *APS News Online.* College Park, Maryland: American Physical Society.
This is an examination of the ways in which norms about what good scientists should be like are not neutral but masculine and work to disadvantage women.

Heilman, M. E., Wallen, A. S., Fuchs, D., & Tamkins, M. M. (2004). Penalties for success: Reactions to women who succeed at male gender-typed tasks. *Journal of Applied Psychology,* 89(3), 416–427.
This study investigated reactions of subjects to a woman's success in a male gender-typed job. The results showed that when women were acknowledged to have been successful, they were less liked and more personally derogated than equivalently successful men. The data also showed that being disliked can affect career outcome, both for performance evaluation and reward allocation.

Katznelson, I. (2006). When affirmative action was white. *Poverty and Race Research Action Council* 15(2).
This article proposes that many federal programs can be best understood as "affirmative action for whites" both because in some cases substantial numbers of other groups were excluded from benefiting from them, or because the primary beneficiaries were whites. It states the rationale for contemporary affirmative action as "corrective action" for these exclusionary policies and programs.

Martell, R. F. (1996). What mediates gender bias in work behavior ratings? *Sex Roles* 35(3/4): 153–169.
This paper shows that more effective work behaviors are retrospectively attributed to a fictitious male police officer than a fictitious female one—even though they are rated equivalently at first. Evidence in the study shows that this results from overvaluing male officers' performance rather than derogating females'.

McNeil, L., and M. Sher. (1999). "The dual-career-couple problem." *Physics Today.* College Park, MD: American Institute of Physics.
Women in science tend to have partners who are also scientists. The same is not true for men. Thus many more women confront the "two-body problem" when searching for jobs. McNeil and Sher give a data overview for women in physics and suggest remedies to help institutions place dual-career couples.

Mickelson, R. A. and M. L. Oliver (1991). Making the short list: black faculty candidates and the recruitment process. *The Racial Crisis in American Higher Education.* C. Kerr, State University of New York Press.
This is an examination of issues involved in recruitment of racial minorities to faculty positions, especially issues associated with the prestige of training institutions.

Nosek, B.A., Banaji, M.R., & Greenwald, A.G. (2002). Harvesting implicit group attitudes and beliefs from a demonstration web site. *Group Dynamics: Theory, Research and Practice,* 6, 101–115.
This article demonstrates widely-shared schemas, particularly "implicit" or unconscious ones, about race, age and gender.

Padilla, R. V. and Chavez, R. C. (1995). Introduction. *The Leaning Ivory Tower: Latino Professors in American Universities* (pp. 1–16). New York State University of New York Press.
This book includes 12 contributions from Latino and Latina professors and academics with experience in universities throughout the United States. The introduction provides an overview.

Porter, N. & Geis, F. L. (1981). *Women and nonverbal leadership cues: When seeing is not believing.* In C. Mayo & N. Henley (Eds.), Gender and nonverbal behavior. New York: Springer Verlag.
When study participants were asked to identify the leader of the group, they reliably picked the person sitting at the head of the table whether the group was all-male, all-female, or mixed-sex with a male occupying the head; however, when the pictured group was mixed-sex and a woman was at the head of the table, both male and female observers chose a male sitting on the side of the table as the leader half of the time.

Preston, A. E. (2004). *Leaving science: Occupational exit from scientific careers.* New York: Russell Sage Foundation.
Based on data from a large national survey of nearly 1,700 people who received university degrees in the natural sciences or engineering and a subsequent in-depth follow-up survey, this book provides a comprehensive portrait of the career trajectories of men and women who have earned science degrees, and addresses the growing number of professionals leaving scientific careers. Preston presents a gendered analysis of the six factors contributing to occupational exit and the consequences of leaving science.

Sagaria, M. A. D. (2002). An exploratory model of filtering in administrative searches: Toward counter-hegemonic discourses. *The Journal of Higher Education* 73(6): 677–710.
This paper describes administrator search processes at a predominately white university in order to explore whether searches may be a cause for the limited success in diversifying administrative groups.

Smith, D. (2000). How to diversify the faculty. *Academe,* 86, no. 5. Washington, D.C.: AAUP.
This essay enumerates hiring strategies that may disadvantage minority candidates or that might level the playing field.

Sommers, S. (2006). On Racial Diversity and Group Decision Making: Identifying Multiple Effects of Racial Composition on Jury Deliberations. *Journal of Personality and Social Psychology* 90 (4), 597–612.
This research examines the multiple effects of racial diversity on group decision making. Participants deliberated on the trial of a Black defendant as members of racially homogeneous or heterogeneous mock juries. Half of the groups were exposed to pretrial jury selection questions about racism and half were not. Deliberation analyses supported the prediction that diverse groups would exchange a wider range of information than all-White groups. This finding was not wholly attributable to the performance of Black participants, as Whites cited more case facts, made fewer errors, and were more amenable to discussion of racism when in diverse versus all-White groups. Even before discussion, Whites in diverse groups were more lenient toward the Black defendant, demonstrating that the effects of diversity do not occur solely through information exchange. The influence of jury selection questions extended previous findings that blatant racial issues at trial increase leniency toward a Black defendant.

Steele, C. M. (1997). A threat in the air: How stereotypes shape the intellectual identities and performance of women and African-Americans. *American Psychologist,* 52, 613–629.
This paper reviews empirical data to show that negative stereotypes about academic abilities of women and African Americans can hamper their achievement on standardized tests. A 'stereotype threat' is a situational threat in which members of these groups can fear being judged or treated stereotypically; for those who identify with the domain to which the stereotype is relevant, this predicament can be self-threatening and impair academic performance. Practices and policies that can reduce stereotype threats are discussed.

Steinpreis, R.E., Anders, K.A. & Ritzke, D. (1999). The impact of gender on the review of the curricula vitae of job applicants and tenure candidates: A national empirical study. *Sex Roles,* 41, 7/8, 509–528.

The authors of this study submitted the same c.v. for consideration by academic psychologists, sometimes with a man's name at the top, sometimes with a woman's. In one comparison, applicants for an entry-level faculty position were evaluated. Both men and women were more likely to hire the "male" candidate than the "female" candidate, and rated his qualifications as higher, despite identical credentials. In contrast, men and women were equally likely to recommend tenure for the "male" and "female" candidates (and rated their qualifications equally), though there were signs that they were more tentative in their conclusions about the (identical) "female" candidates for tenure.

Thompson, M. & Sekaquaptewa, D. (2002). When being different is detrimental: Solo status and the performance of women and minorities. *Analyses of Social Issues and Public Policy,* 2, 183–203.
This article spells out how the absence of "critical mass" can lead to negative performance outcomes for women and minorities. It addresses the impact on both the actor and the perceiver (evaluator).

Trix, F. & Psenka, C. (2003). Exploring the color of glass: letters of recommendation for female and male medical faculty. *Discourse & Society* 14(2): 191–220.
This study compares over 300 letters of recommendation for successful candidates for medical school faculty position. Letters written for female applicants differed systematically from those written for male applicants in terms of length, in the percentages lacking basic features, in the percentages with "doubt raising" language, and in the frequency of mention of status terms. In addition, the most common possessive phrases for female and male applicants ("her teaching" and "his research") reinforce gender schemas that emphasize women's roles as teachers and students and men's as researchers and professionals.

Turner, C.S.V.. (2002). *Diversifying the Faculty: A Guidebook for Search Committees.* Washington, D.C.: AACU.
Informed by the growing research literature on racial and ethnic diversity in the faculty, this guidebook offers specific recommendations to faculty search committees with the primary goal of helping structure and execute successful searches for faculty of color.

Valian, V. (1998). "Evaluating Women and Men." (Chapter 1 and Chapter 7.) *Why So Slow? The Advancement of Women.* Cambridge, Mass.: MIT Press.
In these chapters, Valian presents research that demonstrates that men and women who do the same things are evaluated differently, with both men and women rating women's performances lower than men's, even when they are objectively identical.

Wenneras, C. & Wold, A. (1997). "Nepotism and sexism in peer-review." *Nature,* 387, 341–343.
This Swedish study found that female applicants for postdoctoral fellowships from the Swedish Medical Research Council had to be 2.5 times more productive than their male counterparts in order to receive the same "competence" ratings from reviewers.

Wolf Wendel, L. E., S. B. Twombly, et al. (2000). "Dual-career couples: Keeping them together." *The Journal of Higher Education* 71(3): 291–321.
This paper addresses academic couples who face finding two positions that will permit both partners to live in the same geographic region, to address their professional goals, and to meet the day-today needs of running a household which, in many cases, includes caring for children or elderly parents.

Yoder, J. (2002). "2001 Division 35 Presidential Address: Context Matters: Understanding Tokenism Processes and Their Impact on Women's Work." *Psychology of Women Quarterly,* 26.
Research on tokenism processes is reviewed and coalesces around gender constructs. Reducing negative tokenism outcomes, most notably unfavorable social atmosphere and disrupted colleagueship, can be done effectively only by taking gender status and stereotyping into consideration. These findings have applied implications for women's full inclusion in male-dominated occupations.

Dual career and work-family issues

Boushey, H. (2005). *Are Women Opting Out? Debunking the Myth.* Center for Economic and Policy Research. Washington, DC, Center for Economic and Policy Research.
This analysis of the Current Population Survey's Outgoing Rotation Group data, a Bureau of Labor Statistics nationally representative survey, shows that the child penalty on labor force participation for prime-age women, aged 25 to 44, averaged -14.4 percentage points over the period from 1984 to 2004. This means that labor force participation by women in this age group with children at home averaged 14.4 percentage points less than for women without children at home. The penalty was 20.7 percentage points in 1984 and has fallen consistently over the last two decades, down to 8.2 percentage points in 2004.

Correll, S., Benard, S., & Paik, I. (2007). Getting a job: Is there a motherhood penalty? *American Journal of Sociology* 112(5), 1297–1338.
Survey research finds that mothers suffer a substantial wage penalty, although the causal mechanism producing it remains elusive. The authors employed a laboratory experiment to evaluate the hypothesis that status-based discrimination plays an important role and an audit study of actual employers to assess its real-world implications. In both studies, participants evaluated application materials for a pair of same-gender equally qualified job candidates who differed on parental status. The laboratory experiment found that mothers were penalized on a host of measures, including perceived competence and recommended starting salary. Men were not penalized for, and sometimes benefited from, being a parent. The audit study showed that actual employers discriminate against mothers, but not against fathers.

Goldin, C. (2006). Working it out. *The New York Times.*
Op ed article that counters the news and opinion articles claiming that women, especially graduates of top-tier universities and professional schools, are "opting out" in record numbers and choosing home and family over careers.

Kerber, L. K. (2005). We must make the academic workplace more humane and equitable. *The Chronicle of Higher Education,* 6.
This essay is a reflection by an academic historian both on the history of the academic workplace, and the ways in which it is currently an environment that is both inhumane and particularly difficult for women faculty.

McNeil, L., & Sher, M. (1999). "The Dual-Career-Couple Problem." *Physics Today.* College Park, MD: American Institute of Physics.
Women in science tend to have partners who are also scientists. The same is not true for men. Thus many more women confront the "two-body problem" when searching for jobs. McNeil and Sher give a data overview for women in physics and suggest remedies to help institutions place dual-career couples.

Radcliffe Public Policy Center (2000). *Life's work: Generational attitudes toward work and life integration.*
This paper reports on the results of a national survey of Americans' attitudes about work and family, economic security, workplace technology, and career development. The majority of young men report that a job schedule that allows for family time is more important than money, power or prestige.

Wolf Wendel, L. E., Twombly, S.B., et al. (2000). "Dual-career couples: keeping them together." *The Journal of Higher Education* 71(3): 291–321.
This article addresses academic couples who face finding two positions that will permit both partners to live in the same geographic region, to address their professional goals, and to meet the day-today needs of running a household which, in many cases, includes caring for children or elderly parents.

Background Readings on Scientific Careers

A Study on the Status of Women Faculty in Science at MIT. (1999). *The MIT Faculty Newsletter,* Vol. XI, No. 4. This is the original MIT report that has spurred so many other studies

Gannon, F., Quirk, S., & Guest, S. (2001). Are women treated fairly in the EMBO postdoctoral fellowship scheme? *European Molecular Biology Organization Reports* 2, 8, 655–657.
This article presents the findings from an analysis of the European Molecular Biology Organization Long Term Fellowship granting scheme in order to determine if gender bias exists in the program. When the success rate is calculated for the spring and autumn session for the years 1996–2001, the female applicants were, on average, 20% less successful than the males.

General Accounting Office (1994). *Peer Review: Reforms Needed to Ensure Fairness in Federal Agency Grant Selection.* 138.
GAO examined grant selection in three federal agencies that use peer review: the National Institutes of Health (NXH), the National Science Foundation (NSF), and the National Endowment for the Humanities (NEH). At each agency, GAO colected administrative files on a sample of grant proposals, approximately half of which had been funded. GAO then surveyed almost 1,400 reviewers of these proposals to obtain information not available from the agencies. In addition, GAO interviewed agency officials and reviewed documents to obtain procedural and policy information. GAO also observed panel meetings at each agency.

Hopkins, Nancy, Lotte Bailyn, Lorna Gibson, and Evelynn Hammonds. (2002). *An Overview of Reports from the Schools of Architecture and Planning; Engineering; Humanities, Arts, and Social Sciences; and the Sloan School of Management.* Massachusetts Institute of Technology. The overview of MIT's more recent study of all of its schools.

Etzkowitz, H., C. Kemelgor, and B. Uzzi. (2000). *"The 'Kula Ring' of scientific success." Athena unbound: The advancement of women in science and technology.* Cambridge: Cambridge University Press.
This chapter and book explore the ways in which the lack of critical mass for women in science disadvantages them when it comes to the kinds of networking that promotes collaboration and general flow of information needed to foster the best possible research.

Kulis, S., Chong, Y., & Shaw, H. (1999). Discriminatory organizational contexts and black scientists on postsecondary faculties. *Review in Higher Education,* 40(2), 115–148.
This article examines the role of various kinds of institutional discrimination in producing the under-representation of black faculty.

Long, J. Scott, ed. (2001). *Executive summary. From scarcity to visibility: Gender differences in the careers of doctoral scientists and engineers.* 1–8. Washington, D.C.: National Academy Press. This excerpt provides an overview of differences in the science careers of men and women.

Mervis, J. (2005). A glass ceiling for Asian scientists? *Science,* 310, 606–607.
This article documents the low rate of Asian and Asian American scientists at higher and leadership levels even in fields where they are relatively numerous at lower ranks.

Nelson, D. J., & Rogers, D. C. (2004). *A national analysis of diversity in science and engineering faculties at research universities.*
This report looks at the representation of women and minorities in the 'top 50' departments of science and engineering disciplines in research universities, as ranked by the National Science Foundation according to research funds expended. The report is based on survey data obtained from these departments and covers the years 1993 to 2002. The analysis examines degree attainment (BS and PhD) and representation on the faculty in the corresponding disciplines. The data demonstrate that while the representation of women attaining a PhD in science and engineering has significantly increased in this period, the corresponding faculties remain overwhelmingly dominated by white men.

Appendix 2: Active Recruiting Resources

Be aware that most fields have resources—listservs, email groups, etc.—that can help you identify or reach qualified women and minority candidates. Either seek these out on your own, or request assistance from advance@umich.edu in identifying them. Some fairly broad listings are included here.

"Guidelines for Recruiting a Diverse Workforce." Penn State University. Available online: www.psu.edu/dept/aaoffice/pdf/guidelines.pdf

"Faculty Recruitment Toolkit." (2001). University of Washington. Available online: http://www.engr.washington.edu/advance/resources/FacultyRecruitmentToolkit_20080205.pdf

"Recruitment and Selection of Faculty and Academic Professional and Administrative Employees Appendix A: Recruiting a Diverse Qualified Pool of Applicants" University of Minnesota. http://policy.umn.edu/groups/hr/documents/appendix/recruitfacpa_appa.pdf

"Massachusetts Institute of Technology Faculty Search Committee Handbook." (2002). http://web.mit.edu/faculty/reports/FacultySearch.pdf

"Search Committee Toolkit." University of California at Los Angeles. http://faculty.diversity.ucla.edu/search/searchtoolkit/docs/SearchToolkit071008.pdf

"Faculty Search Committee Guidelines." Case Western Reserve University. http://www.case.edu/president/aaction/Faculty%20Search%20Guide.pdf

"Recruitment and Retention: Guidelines for Chairs." (updated 2007). Hunter College, CUNY. http://www.hunter.cuny.edu/genderequity/equityMaterials/Jan2007/recruitretain.107.pdf

"Leap Recruiting Faculty Brochure." University of Colorado, Boulder. http://www.colorado.edu/facultyaffairs/leap/downloads/leap_recruiting.pdf

The WISE Directories publishes free annual listings of women and minority Ph.D. recipients, downloadable as pdf documents. http://www-s.cic.net/programs/DirectoryOfWomenInScienceAndEngineering/archive/ResourceList/WiseDir/main.asp
http://www.cic.net/Home/Students/DoctoralDirectory/Introduction.aspx

The Minority and Women Doctoral Directory "is a registry which maintains up-to-date information on employment candidates who have recently received, or are soon to receive, a Doctoral or Master's degree in their respective field from one of approximately two hundred major research universities in the United States. The current edition of the directory lists approximately 4,500 Black, Hispanic, American Indian, Asian American, and women graduate students in nearly 80 fields in the sciences, engineering, the social sciences and the humanities." Directories are available for purchase: http://www.mwdd.com

National Science Foundation Survey of Earned Doctorates is published yearly. While it does not list individual doctorate recipients, it is a good resource for determining how big the pool of new women and minority scholars will be in various fields.
www.nsf.gov/statistics/srvydoctorates/

Ford Foundation Fellows is an on-line directory of minority Ph.D.s in all fields, administered by the National Research Council (NRC). The directory contains information on Ford Foundation Postdoctoral fellowship recipients awarded since 1980 and Ford Foundation Predoctoral and Dissertation fellowship recipients awarded since 1986. This database does not include Ford Fellows whose fellowships were administered by an institution or agency other than the NRC.
http://nrc58.nas.edu/FordFellowDirect/Main/Directory.aspx

Mellon Minority Undergraduate Fellowship Program provides an on-line list of minority Ph.D.s and their dissertation, book and article titles in all fields.
http://www.mmuf.org/ (select Fellows Update from the menu bar on the main page)

The Faculty for The Future Project is administered by WEPAN (The Women in Engineering Program and Advocates Network), and offers a free forum for students to post resumes and search for positions and for employers to post positions and search for candidates. The website focuses on linking women and underrepresented minority candidates from engineering, science, and business with faculty and research positions at universities. http://www.engr.psu.edu/fff/

IMDiversity.com is dedicated to providing career and self-development information to all minorities, specifically African Americans, Asian Americans, Hispanic Americans, Native Americans and women. It maintains a large database of available jobs, candidate resumes and information on workplace diversity. http://www.imdiversity.com/

Nemnet is a national minority recruitment firm committed to helping schools and organizations in the identification and recruitment of minority candidates. Since 1994 it has worked with over 200 schools, colleges and universities and organizations. It posts academic jobs on its web site and gathers vitas from students and professionals of color. http://www.nemnet.com

HBCU Connect.com Career Center is a job posting and recruitment site specifically for students and alumni of historically black colleges and universities. http://jobs.hbcuconnect.com/

Society of Women Engineers maintains an online career fair. www.swe.org

Association for Women in Science maintains a job listings page. www.awis.org

American Indian Science & Engineering Society maintains a job listings page (and a resume database available to Career Fair exhibitors). http://www.aises.org

American Indian Graduate Center hosts a professional organization, fellowship and post-doctoral listings, and a magazine in which job postings can be advertised. http://www.aigcs.org

National Society of Black Engineers http://www.nsbe.org

Society of Hispanic Professional Engineers http://www.shpe.org

American Physical Society Education and Outreach department maintains a roster of women and minorities in physics. It contains the names and qualifications of over 3100 women and 900 minority physicists. The Roster serves as the mailing list for *The Gazette,* the newsletter of the APS Committee on the Status of Women in Physics (CSWP), and is widely used by prospective employers to identify women and minority physicists for job openings.
http://www.aps.org/programs/roster/index.cfm

Recruitment Sources page at Rutgers lists several resources that can be helpful in recruiting women and minority candidates. http://uhr.rutgers.edu/ee/recruitmentsources.htm

Faculty Diversity Office page at Case Western Reserve University provides links to many specific professional organizations and diversity resources for faculty searches.
http://www.case.edu/president/aaction/diverse.html

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ADVANCE Program
advanceprogram@umich.edu
http://sitemaker.umich.edu/advance
734 647-9359

1214 S. University Ave.
2nd Floor, Suite C - Galleria Building
Ann Arbor, MI 48104-2592

Applicant Evaluation Tool

The following offers a method for department faculty to provide evaluations of job applicants. It is meant to be a template for departments that they can modify as necessary for their own uses. The proposed questions are designed for junior faculty candidates; however, alternate language is suggested in parenthesis for senior faculty candidates.

Applicant's name:

Please indicate which of the following are true for you (check all that apply):

- ☐ Read applicant's CV
- ☐ Read applicant's statements (re research, teaching, etc.)
- ☐ Read applicant's letters of recommendation
- ☐ Read applicant's scholarship (indicate what): ______________________

Please rate the applicant on each of the following:	excellent	good	neutral	fair	poor	unable to judge
Evidence of research productivity						
Potential for scholarly impact / tenurability						
Evidence of strong background in [relevant fields]						
Evidence of [particular] perspective on [particular area]						
Evidence of teaching experience and interest (including grad mentorship)						
Potential to teach courses in core curriculum						
Potential to teach the core curriculum on [particular area] (including creation of new courses)						

Other comments?

For more information or additional copies of this resource, please contact the ADVANCE Program at (734) 647-9359 or advanceprogram@umich.edu, or visit the ADVANCE Program's Web site at http://sitemaker.umich.edu/advance.

Candidate Evaluation Sheet

The following offers a method for department faculty to provide evaluations of job candidates. It is meant to be a template for departments that they can modify as necessary for their own uses. The proposed questions are designed for junior faculty candidates; however, alternate language is suggested in parenthesis for senior faculty candidates.

Candidate's Name: ____

Please indicate which of the following are true for you (check all that apply):

- ☐ Read candidate's CV
- ☐ Read candidate's scholarship
- ☐ Read candidate's letters of recommendation
- ☐ Attended candidate's job talk
- ☐ Met with candidate
- ☐ Attended lunch or dinner with candidate
- ☐ Other (please explain):

____

____

Please comment on the candidate's scholarship as reflected in the job talk:

Please comment on the candidate's teaching ability as reflected in the job talk:

Please rate the candidate on each of the following:

	excellent	good	neutral	fair	poor	unable to judge
Potential for (evidence of) scholarly impact						
Potential for (evidence of) research productivity						
Potential for (evidence of) research funding						
Potential for (evidence of) collaboration						
Fit with department's priorities						
Ability to make positive contribution to department's climate						
Potential (demonstrated ability) to attract and supervise graduate students						
Potential (demonstrated ability) to teach and supervise undergraduates						
Potential (demonstrated ability) to be a conscientious university community member						

Other comments?

____

____

Date: Attachment #1a to 3.127

TENURED AND TENURE-TRACK FACULTY APPOINTMENT PROCESS SUMMARY

Department:

Title of Position:

Recruitment Period:

(academic year)

1. Summary of non-discriminatory criteria for this position:

2. Please provide an explanation of where departmental responsibility for the recruiting of applicants for this position was placed. If a selection committee was involved, supply the names of its members. Specifically, list any women and/or minorities involved in the recruiting of applicants.

3. Please provide an explanation of methods and techniques utilized in assuring that a representative applicant pool was collected. (a) List the names of all journals, periodicals, etc., where job vacancy notice was placed. (b) Attach a <u>copy</u> of job vacancy announcement as it appeared in the journals. (c) Cite any other recruiting channels utilized, i.e., personal contacts, letters to other departments, professional meetings, etc.

4. Please describe the interviewing process carried out for this position. How, where, when, and by whom were candidates interviewed for this position? For example, were second interviews conducted?; were candidates invited to this campus?; was the decision to extend a job offer made after each interview or after all screened applicants were interviewed? List any women and/or minorities involved in the hiring decision for this position.

5. Please indicate the basis used for the evaluation of candidates. List the specific reasons why the successful applicant was selected.

Date: Attachment #1b to 3.127 – page 1

TABLE: Applicant Pool Statistics

Department:

Position:

Recruitment Period:
(academic year)

	-- MALE --							-- FEMALE --						
Comp of applicant pool *	Ttl Male	White	Black	Hisp	Asian	AI	Unknown	Ttl Female	White	Black	Hisp	Asian	AI	Unknown
Comp of applicants interviewed														
Comp of offers made & refused														
Comp of offers made & accepted														

Final appointment in this position in terms of sex and ethnicity:

Name of successful candidate(s):

Please indicate if more than one individual was hired from this applicant pool.

* Sex and ethnicity of applicants to be the best of your knowledge–use a category of unknown for applicants not identified.

FACULTY PLACEMENT GOALS*

For the Recruiting Period

September 1, 2013 through August 31, 2014

FACULTY STATUS/RANK	Total Projected # Openings	TOTAL FEMALES	TOTAL MINORITIES
Tenured			
Tenure Track			
Non-Tenure Track			
TOTAL			

*The establishment of a "Placement Goal" does not amount to an admission of impermissible conduct. It is neither a finding of unlawful discrimination nor a finding of a lack of good faith affirmative action efforts. Nor does the establishment of a Placement Goal permit unlawful discrimination. Rather, the establishment of a "Placement Goal" is a technical targeting term used exclusively by affirmative action planners who seek to apply good faith efforts to increase, in the future, the percentage utilization of minorities and women in a work force.

Faculty hired during this recruitment period begin Fall 2014/Winter 2015

SAMPLE OFFER LETTER: **TENURE-TRACK FACULTY POSITION**
CNS Updated June 2014

<*Date*>

XXXXXXXXX
XXXXXXXXX
XXXXXXXXX

Dear <*Candidate's name*>:

We are pleased to offer you a tenure-track appointment to the faculty of the <*Department of*> at The University of Texas at Austin with the rank of Assistant Professor. Your appointment will be effective <*date*> with a nine-month academic rate of $ <*amount*>. *For offers contingent on degree completion:* In the event that you do not complete all Ph.D. requirements by August 18/December 31, 20XX, the appointment will be at the rank of Instructor, at a nine-month academic rate of $________.

This appointment is subject to review and approval by the Board of Regents of The University of Texas System. All employees are subject to the provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin and to applicable state and federal laws. The salary figure above is subject to deductions required by state and federal law and, if permitted by law, other deductions that you may authorize.

For appointments to be effective in the fall, include the following.
Contingent on your being in residence we also will appoint you for the period August 18-31, 201X at your proposed nine-month academic rate. This appointment will allow time to prepare for assumption of your faculty duties (and attending the University-sponsored orientations on teaching and benefits, discussed below.)

If applicable and modify to fit local circumstances.
The <*College/ Department/ Research Unit – designate as appropriate*> will provide $ <*amount*> in start-up funds to assist you in setting up your research program. These funds can be used for equipment purchases, expendable supplies, staff salaries, travel, and operating expenses. In an effort to support your career, and the likelihood of securing tenure, you may use your start-up funding to pay <#> months of summer salary each for your first <#> years at the University. All start-up funds should be expended within five (5) years of the initial appointment unless requested in writing and authorized by the dean.

If applicable and modify to fit local circumstances for STARS or additional START-UP.
The College of Natural Sciences will provide $______ in equipment start-up funds to assist you in setting up your research program. These funds will be made available to you on <*date*> and can only be used for the purchase of research equipment and supplies (including computers) with a useful life of one (1) year or more. These start-up funds should be expended within two years unless permission for an extension is granted by the Provost via a request from the Dean.

Include the following information on Renovation where relevant:
You will be provided laboratory space as discussed during your visit as well as faculty and student office space. Renovations to these spaces will be performed as discussed during your visit.

Include the following paragraph on Moving Expenses where relevant:
The <*College/School/Dept/ORU – designate as appropriate*> will reimburse you for the actual expenses of moving your family and household goods on a documented basis [and for the reasonable expenses necessary for one or more trips to Austin for personal relocation purposes] up to a maximum of $<*amount*>. Expenses for moving household goods and personal effects may be paid as an out-of-pocket reimbursement or directly to the moving company. Expenses that meet the criteria set forth in IRS Publication 521 *(http://www.irs.gov/publications/p521/index.html)* are non-taxable. Please present receipts

to <*Dept Contact Name*> in the departmental office for reimbursement. We can also assist you in accessing the relocation services offered by Human Resource Services. Please let <*Dept Contact Name*> know if you are interested in pursuing this option.

Instructional assignments are determined by the department chair, and the normal teaching load for (research-active) Assistant Professors in the department is <*state the normal teaching load for your dept*>. During the first year of employment, you will receive an adjusted workload to allow time to develop instructional materials for courses you will teach. With the permission of the department chair, it is possible to maximize time devoted to quality teaching and time devoted to research and scholarly efforts within an academic year by requesting an adjusted teaching load across two semesters so that one is light and the other heavier. In addition, with approval of the department chair and dean, you may focus additional time on your research and scholarly efforts by paying all or part of your salary from external grant funds.

The week before classes begin each August, the Center for Teaching and Learning (CTL) offers the New Faculty Teaching, Learning, and Orientation Seminar. You will receive an invitation to attend this two-day event, which covers a broad range of topics designed to acquaint you with teaching at the University, provide you with a research orientation, information on University Benefits, and give you an opportunity to meet your new colleagues.

If Starting at a time other than August 18th, Insert the following paragraph.

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resource Services will provide you with full information on available University services and resources at the New Employee Welcome/Orientation, which you should attend as soon as possible upon your arrival. As a new employee you have 31 calendar days from the initial date of your appointment <*insert expected start date, e.g., January 16, 201X*> to enroll for insurance coverages.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include the following:

(1) Completion of the I-9, Employment Eligibility Verification form and provision of required documentation within three working days of the start date of your assignment. This documentation is required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States and will be handled upon your arrival.
(2) A background check as required by institutional policy for newly appointed faculty. For this purpose, you will receive an email with instructions for accessing the Background Check Administration system to provide the necessary information for conducting the background check.
(3) Satisfaction of a credentialing requirement that is a criterion for institutional accreditation. Please complete and return the enclosed Official Transcript Authorization for New Faculty form to the department for handling.

We are enthusiastic about having you as a member of the faculty in the College of Natural Sciences and hope that the terms of this offer are satisfactory to you. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to <Name>, Department Chair. The copy should be retained for your records. Should you have any questions concerning the offer you can contact <Department Chair Name and Phone>.

Sincerely,

<Name>	Linda A. Hicke
Department Chair	Dean, College of Natural Sciences

Enclosures:
Attachment A for 2-9991-PM - Information for New Tenured and Tenure-Track Faculty Members
HOP 2-2010 Academic Titles and Tenure
HOP 2-2160 Recommendations Regarding Faculty Compensation, Faculty Promotion, Tenure, Renewal of Appointment, or Non renewal of Appointment
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

_______________________________ _______________________
<Candidate's Name> Date

SAMPLE OFFER LETTER: **TENURED FACULTY POSITION**

CNS Updated June 2014

<**Date**>

XXXXXXXXX
XXXXXXXXX
XXXXXXXXX

Dear <**Candidate's name**>:

We are pleased to offer you an appointment with tenure to the faculty of the <*Department of*> at The University of Texas at Austin, with the rank of <Associate Professor *or* Professor>. Your appointment will be effective <*date*>, with a nine-month academic rate of $<*amount*>.

This appointment is subject to review and approval by the Board of Regents of The University of Texas System. All employees are subject to the provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin and to applicable state and federal laws. The salary figure above is subject to all deductions required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Include the following if the offer includes an appointment to an endowed chair/professorship as holder.

The College of Natural Sciences has recommended to the Administration that you be appointed as the holder of the <*name of endowed Chair/Professorship*>, effective <*August 18/January 16, 20XX*>. The annual endowment payout will contribute <*$amount*> to your nine-month salary and/or provide an annual salary supplement of <*$amount*>. An additional $<*insert amount if applicable*> in discretionary funding will be available annually from the <*name of endowed Chair/Professorship*> and may be used, at the direction of the dean, for professional development and other support. The initial appointment will be for six years and will be renewable. Renewal will be determined every six years at the time of post-tenure review (Comprehensive Periodic Review of Tenured Faculty). This arrangement for periodic renewal provides for a regular check on the use of chairs for our premier faculty. It is our intention to renew your appointment as the <*chair/professor*> as long as you continue to perform your teaching and research activities at the level expected for this prestigious position.

For appointments to be effective in the fall, include the following.

Contingent on your being in residence at the beginning of Fall <*year*>, we also will appoint you for the period August 18-31, at your proposed nine-month academic rate. This appointment will allow time to prepare for assumption of your faculty duties (and attending the University-sponsored orientations on teaching and benefits, discussed below.)

If applicable and modify to fit local circumstances.

The <*College/ Department/ Research Unit – designate as appropriate*> will provide $<*amount*> in start-up funds to assist you in setting up your research program. These funds can be used for equipment purchases, expendable supplies, staff salaries, travel, and operating expenses. These funds should be expended within five (5) years of the initial appointment unless requested in writing and authorized by the dean.

If applicable and modify to fit local circumstances for STARS or additional START-UP.

The College of Natural Sciences will provide $______ in equipment start-up funds to assist you in setting up your research program. These funds will be made available to you on <*date*> and can only be used for the purchase of research equipment and supplies (including computers) with a useful life of one (1) year or more. These start-up funds should be expended within two years unless permission for an extension is granted by the Provost via a request from the Dean.

Include the following information on Renovation where relevant:
You will be provided laboratory space as discussed during your visit as well as faculty and student office space. Renovations to these spaces will be performed as discussed during your visit.

Include the following information on Moving Expenses where relevant:
The <*College/School/Dept /ORU*> will reimburse you for the actual expenses of moving your family and household goods on a documented basis and for the reasonable expenses necessary for one or more trips to Austin for personal relocation purposes up to a maximum of $<*amount*>. Expenses for moving household goods and personal effects may be paid as an out-of-pocket reimbursement or directly to the moving company. Expenses that meet the criteria set forth in IRS Publication 521 (*http://www.irs.gov/publications/p521/index.html*) are non-taxable. Please present receipts to <*Dept Contact Name*> in the departmental office for reimbursement. We can also assist you in accessing the relocation services offered by Human Resource Services. Please let <*Dept Contact Name*> know if you are interested in pursuing this option.

Instructional assignments are determined by the department chair, and the normal teaching load for research-active, tenured faculty in the department is <*# courses/semester*>. During the first year of employment, you will receive an adjusted workload to allow time to develop instructional materials for courses you will teach. With the permission of the dean, it is possible to maximize time devoted to quality teaching and time devoted to research and scholarly efforts within an academic year by requesting an adjusted teaching load across two semesters so that one is light and the other heavier. In addition, with approval of the department chair and dean, you may focus additional time on your research and scholarly efforts by paying all or part of your salary from external grant or endowment funds.

The week before classes begin each August, the Center for Teaching and Learning (CTL) offers the New Faculty Teaching, Learning, and Orientation Seminar. You will receive an invitation to attend this two-day event, which covers a broad range of topics designed to acquaint you with teaching at the University, provide you with a research orientation, information on University benefits, and to give you an opportunity to meet your new colleagues.

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resource Services will provide you with full information on available University services and resources at the New Employee Welcome/Orientation, which you should attend as soon as possible upon your arrival. As a new employee you have 31 calendar days from the initial date of your appointment, <August 18, or *January 16, 20XX*> to enroll for insurance coverage.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include the following:

(1) Completion of the I-9, Employment Eligibility Verification form and provision of required documentation within three working days of the start date of your assignment. This documentation is required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States and will be handled upon your arrival.
(2) A background check as required by institutional policy for newly appointed faculty. For this purpose, you will receive an email with instructions for accessing the Background Check Administration system to provide the necessary information for conducting the background check.
(3) Satisfaction of a credentialing requirement that is a criterion for institutional accreditation. Please complete and return the enclosed Official Transcript Authorization for New Faculty form to the department for handling.

We are enthusiastic about your proposed appointment and look forward to having you as a member of the faculty in the College of Natural Sciences. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to <Name>, Department Chair. The copy should be retained for your records. Should you have any questions concerning the offer you can contact <Department Chair Name and Phone>.

Sincerely,

<Name>
Department Chair

Linda A. Hicke
Dean, College of Natural Sciences

Enclosures:
Attachment A for 2-9991-PM - Information for New Tenured and Tenure-Track Faculty Members
HOP 2-2010 Academic Titles and Tenure
HOP 2-2160 Recommendations Regarding Faculty Compensation, Faculty Promotion, Tenure, Renewal of Appointment, or Non renewal of Appointment
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment and I attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

____
<Candidate's Name>

____
Date

SAMPLE OFFER LETTER **1 YR or < LECTURER POSITION**
CNS Updated June 2014

<*Date*>

XXXXXXX
XXXXXXX

Dear <*Candidate's name*>:

I am pleased to inform you that the Dean of the College of Natural Sciences has authorized me to offer you an appointment to the faculty of the <*Department of* > at The University of Texas at Austin:

Title:	Lecturer
Period of Appointment:	9/1/14 – 5/31/15
Percent Time:	75.00%
Nine-month Academic Rate:	$46,000
Total Stipend:	$34,500

This commitment is for a temporary appointment without tenure for the above-stated period only.

All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System. All employees are subject to the provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Your teaching assignment for <*Semester & year*> will be <*number*> section(s) of <*course number and title*>. Should enrollment fluctuate, causing cancellation of any course section you have been assigned to teach, the percent time of your appointment or your assignment will be adjusted in accordance with College policy. As a member of our teaching faculty, you are expected to participate in the course-instructor evaluations. Questions concerning your course assignment, which is determined by the chair of the department, should be addressed to <*Chairperson*> at <*512-XXX-XXXX*>.

If you have other specific performance expectations describe these. For example: "*Your duties will include coordination of the lower-division sections of XXXXXX" or "Your duties will include serving as undergraduate adviser for the program in XXXXX."*

• Include the following paragraph for NEW benefits-eligible employees.
• "NEW employee" includes those whose previous UT appointment was to a student academic title (e.g., GRA, TA, AI).
• Omit the benefits paragraph when the candidate is a continuing benefits-eligible employee—faculty or staff.

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resources will provide you with full information on available University services and resources at the New Employee

Welcome/Orientation. You should attend this as soon as possible upon your arrival. For this purpose please note that new employees have 31 calendar days from their initial appointment date <*(September 1) or (January 16)*> to enroll for insurance coverages.

Include the following paragraph when all pre-employment screening requirements apply (i.e., candidate is NEW to UT):
• When the candidate is a current UT employee and has an I-9 on file but has not had a background check nor satisfied the transcript requirement, substitute the following paragraph for the one above.
• If a UT employee candidate for the position has had a background check, drop the text referring to this (second and third sentences), leaving only the transcript authorization requirement text (last two sentences).
• If the candidate previously satisfied all pre-employment screening requirements for a faculty appointment (i.e., all pre-employment forms are on file), then omit the paragraph.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include the following:

(1) Completion of the I-9, Employment Eligibility Verification form and provision of required documentation within three working days of the start date of your assignment. This documentation is required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States and will be handled upon your arrival.
(2) A background check as required by institutional policy for newly appointed faculty. For this purpose, you will receive an email with instructions for accessing the Background Check Administration system to provide the necessary information for conducting the background check.
(3) Satisfaction of a credentialing requirement that is a criterion for institutional accreditation. Please complete and return the enclosed Official Transcript Authorization for New Faculty form to the department for handling.

We are enthusiastic about your proposed appointment and look forward to having you as a member of the faculty. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Should you have any questions concerning the offer you can contact me at (512) <*Department Chair's phone*>.

Sincerely,

<Name>
Department Chair

Enclosures:
Attachment B for 2-9991-PM - Information for New Non-Tenure Track Faculty Members
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Dean Linda A. Hicke, College of Natural Sciences

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

______________________________ ______________________
<*Candidate's name*> Date

__SAMPLE__ __OFFER LETTER__**:** **MULTI-YEAR LECT/SR LECTURER**

CNS Updated June 2014

<**Date**>

XXXXXXXX
XXXXXXXX

Dear <**Candidate's name**>:

I am pleased to inform you that the Dean of the College of Natural Sciences has authorized me to offer you an appointment to the faculty of the <*Department of*> at The University of Texas at Austin:

Title:	Senior Lecturer
Period of Appointment:	9/1/14 – 5/31/15
	9/1/15 – 5/31/16
	9/1/16 – 5/31/17
Percent Time:	100%

Your nine-month academic rate will be $_____________ for the 20xx-xx academic year and will be reviewed annually thereafter. This is for a temporary appointment without tenure. For FIXED Contract terms: <The commitment is for the stated three-year period only.> For ROLLING contract terms: < The commitment is for a rolling three-year period. After completion of the first year in the assignment an additional year will be added, so that your assignment will be for a continuous three-year period.>

All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System. All employees are subject to the provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Although specific course assignments will be made at the discretion of the Department Chair, it is expected that your teaching assignment will be focused on the following courses over the period of this appointment: XXXXX and XXXXXX. Your teaching assignment for the fall of <**academic year**> will be <**number**> section(s) of <**course number and title**>. Should enrollment fluctuate, causing cancellation of any course section you have been assigned to teach, the percent time of your appointment or your assignment will be adjusted in accordance with College policy. As a member of our teaching faculty, you are expected to participate in course-instructor surveys. Questions concerning your course assignment, which is determined by the chair of the department, should be addressed to <*Chairperson*> at <*512-XXX-XXXX*>.

If you have other specific performance expectations describe these. For example "*Your duties will include coordination of the lower-division program in XXXXXX" or "Your duties will include serving as undergraduate adviser for the program in XXXXX."*

• Include the following paragraph for NEW benefits-eligible __employees__.

• *"NEW employee" includes those whose previous UT appointment was to a student academic title (e.g., GRA, TA, AI).*
• *Omit the benefits paragraph when the candidate is a continuing benefits-eligible employee—faculty or staff.*

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resources will provide you with full information on available University services and resources at the New Employee Welcome/Orientation. You should attend this as soon as possible upon your arrival. For this purpose please note that new employees have 31 calendar days from their initial appointment date <*(September 1) or (January 16)*> to enroll for insurance coverages.

Include the following paragraph when all pre-employment screening requirements apply (i.e., candidate is NEW to UT):
• When the candidate is a current UT employee and has an I-9 on file but has not had a background check nor satisfied the transcript requirement, substitute the following paragraph for the one above.
• If a UT employee candidate for the position has had a background check, drop the text referring to this (second and third sentences), leaving only the transcript authorization requirement text (last two sentences).
• If the candidate previously satisfied all pre-employment screening requirements for a faculty appointment (i.e., all pre-employment forms are on file), then omit the paragraph.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include the following:

(1) Completion of the I-9, Employment Eligibility Verification form and provision of required documentation within three working days of the start date of your assignment. This documentation is required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States and will be handled upon your arrival.
(2) A background check as required by institutional policy for newly appointed faculty. For this purpose, you will receive an email with instructions for accessing the Background Check Administration system to provide the necessary information for conducting the background check.
(3) Satisfaction of a credentialing requirement that is a criterion for institutional accreditation. Please complete and return the enclosed Official Transcript Authorization for New Faculty form to the department for handling.

We are enthusiastic about your proposed appointment and look forward to having you as a member of the faculty. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Should you have any questions concerning the offer you can contact me at (512) <*Department Chair's phone*>.

Sincerely,

<Name>
Department Chair

Enclosures:
Attachment B for 2-9991-PM - Information for New Non-Tenure Track Faculty Members
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Dean Linda A. Hicke, College of Natural Sciences

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

______________________________	______________________
<Candidate's name>	Date

<u>SAMPLE OFFER LETTER</u>: **COURTESY**
CNS Updated June 2014

<*Date*>

XXXXXXXX
XXXXXXXX

Dear <*Candidate's name*>*:*

I am pleased to inform you that the Administration has authorized me to offer you a courtesy appointment to the faculty of the <*College of Natural Sciences and the Department/School/Section of XXX* >.

When the courtesy department will pay no portion of the salary, use the following paragraph

This is a zero percent time, no stipend appointment, which will continue as long as it is mutually agreeable with your home <*college/school/department/section*>, the <*College of Natural Sciences and the Department/Section of XXX* >, and you. Your academic title and rate will continue to be determined by the <*College/School/Department/Section of XXX*>.

When a portion of the salary will be transferred to Primary Department by the courtesy department use the following paragraph

Although this is a zero percent time, no stipend appointment, <*the Department/School/Section of XX*> will pay <*%*> of the assignment in your primary position. This courtesy assignment has an end date of <*DATE*>. Your academic title and rate will continue to be determined by the <*College/School/Department/Section of XXX*>.

All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System. Faculty members are subject to the relevant provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin and to applicable state and federal laws.

Department voting rights <*are/are not*> extended with this appointment. It is our hope that this appointment will enhance relations with the <*faculty member's home college/school*>. We welcome your participation in course development, course cross-listing, colloquia, joint programs, projects and other activities in the College of Natural Sciences, <*Department/School/Section of XXX*>.

Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records.

Sincerely,

<*Name*>
<*Title*>

I accept this offer of appointment:

______________________________ ________________________
(*Name of candidate*) Date

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Dean Linda A. Hicke, College of Natural Sciences
Associate Dean for Faculty Affairs Shelley Payne
Professor <Name> (of home department/section chair/director, as applicable)

SAMPLE OFFER LETTER: **RESEARCH FACULTY POSITION**

CNS Updated June 2014

<*Date*>

XXXXXXXXX
XXXXXXXXX
XXXXXXXXX

Dear <*Candidate's Name*>*:*

I am pleased to inform you that the Administration and the Dean of the College of Natural Sciences have authorized me to offer you an appointment to the faculty of the <*Department of*> at The University of Texas at Austin with the rank of <*Research Assistant Professor*>. Your full-time appointment, which will be effective <*date,*> will comprise both an affiliated instructional appointment with a nine-month academic rate of <*$XX,XXX*> and a research appointment with a twelve-month Administrative and Professional (A&P) rate of <*$XX.XXX*>. Your appointment as <*Research Assistant Professo*r> (Affiliate and A&P) has been approved through *August 31, 20XX*, and you may be employed up to 100 percent time in any combination of the two titles during this time. This appointment may be renewed on an annual or three-year rolling basis thereafter. For as long as you continue to hold an affiliated research faculty appointment, your annual nine-month academic rate will be derived from, and be proportionate to, your twelve-month A&P rate.

For the 20XX-XX academic year only your appointment will be structured as follows:

Title:	Research Assistant Professor (Affiliate)
Period of Appointment:	09/01/XX – 05/31/XX
Percent Time:	33.33%
Nine-month Academic Rate:	$67,500
Total Stipend:	$22,498
Title:	Research Assistant Professor (A&P)
Period of Appointment:	09/01/XX – 05/31/XX
Percent Time:	67.67%
Twelve-month A&P Rate:	$90,000
Total Stipend	$45,002
Combined Percent Time:	100%
Combined Stipend:	$67,497
Title:	Research Assistant Professor (A&P)
Period of appointment:	6/01/XX – 8/31/XX
Percent Time:	100%
Twelve-month A&P Rate:	$90,000
Total Stipend:	$22,500
TOTAL Stipend (12 mo):	$90,000

As an affiliated research faculty member, you will be expected to become involved in academic activities of the Department. These may include, but are not limited to, collaborative research projects with academic faculty, participation in seminars and colloquia, teaching courses, supervising student research, committee service, and attendance at both College and Department events. You also are responsible for submitting a Faculty Annual Report to the Department at the end of each academic year and for forwarding a copy to the Vice President for Research.

The faculty has approved you to teach at the undergraduate level, and we will seek approval from the Graduate School for you to teach at the graduate level. Your <Semester> <Year> teaching assignment will be <*Number*> section of <*Course Number and Course Title*>**.** Faculty members who teach are expected to participate in Course-Instructor Surveys. Questions concerning your course assignments, which are determined by the Chair of the Department, should be addressed to <*Name*> at <*512-XXX-XXXX*>.

As stated above, you will also hold an Administrative and Professional (A&P) appointment as a Research Assistant Professor in the <*Department/Research Center*>. As a Research Assistant Professor (A&P), you are expected to develop a research program with extramural funding that will eventually cover your salary in the A&P title. Initial funding for your A&P appointment will be provided by departmental sources associated with <*Dr. XXXXX*> and/or extramural funding available to <*him/her*>. Information about the UT Austin research community is available on the home page of the Office of the Vice President for Research at http://www.utexas.edu/research/.

College/School voting rights <*are/are not*> extended with this appointment.

This commitment is for a temporary appointment without tenure for the indicated period only. All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System and to the provisions of the *Rules and Regulations* of The Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin.

Include the following paragraph on Moving Expenses where relevant:
The <*Dept/ORU*> will reimburse you for the actual expenses of moving your family and household goods on a documented basis and for the reasonable expenses necessary for one or more trips to Austin for personal relocation purposes up to a maximum of <*$XX*> . Expenses for moving household goods and personal effects may be paid as an out-of-pocket reimbursement or directly to the moving company. Expenses that meet the criteria set forth in IRS Publication 521 *(http://www.irs.gov/publications/p521/index.html)* are non-taxable. Please present receipts to <*Dept Contact Name*> in the departmental office for reimbursement. We can also assist you in accessing the relocation services offered by Human Resource Services. Please let <*Dept Contact Name*> know if you are interested in pursuing this option.

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resource Services will provide you with full information on available University services and resources at the New Employee Welcome/Orientation. You should attend this as soon as possible upon your arrival. For this purpose please note new benefits eligible employees have 31 calendar days from their hire date <*Enter Date*> to enroll for insurance coverage.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include (1) completion of the form and provision of documentation required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States; (2) a background check for security sensitive positions, which include all faculty positions; and (3) satisfaction of a credentialing requirement that is a criterion for institutional accreditation. The first must be satisfied within three working days of the start date of your appointment and will be handled upon your arrival. To meet the last two requirements, please complete and return both the enclosed Security Sensitive form and the Official Transcript Authorization for New Faculty form to the department for handling. The enclosures contain additional information on these requirements.

We are enthusiastic about having you as a member of the faculty and hope that the terms of this offer are satisfactory to you. If you have any questions regarding this offer you can contact me at <*512-XXX-XXXX*>. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records.

Sincerely,

<Name>	*<Name>*
Department Chair	Director, *<Name of Center/Institute>*

Enclosures:
Attachment B for 2-9991-PM - Information for New Non-Tenure Track Faculty Members
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Dean Linda A. Hicke, College of Natural Sciences
Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

______________________________	____________________
<Candidate's Name>	Date

SAMPLE OFFER LETTER: **ADJUNCT PROFESSOR**
CNS Updated June 2014

<Date>

XXXXXXXXX
XXXXXXXXX
XXXXXXXXX

Dear <*Candidate's name*>:

We are pleased to offer you an appointment to the faculty of the <*Department of*>, College of Natural Sciences at The University of Texas at Austin.

Title:	Adjunct Professor
Period of Appointment:	6/1/2014 to 8/31/2014
Percent Time:	0%
Nine-month Academic Rate:	$149,720
Total Stipend:	$0

This commitment is for a temporary appointment without tenure for the above-stated period only. This is a zero percent time, no stipend appointment.

Your teaching assignment is to <XX>. Questions concerning your course assignment, which is determined by the chair of the department, should be addressed to <Name> at <Contact Number or Email>.

All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System. All employees are subject to the relevant provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

We are enthusiastic about your proposed appointment and look forward to having you as a member of the faculty. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Should you have any questions concerning the offer you can contact <Department Chair Name and Phone>.

Sincerely,

<Name>
Department Chair

Linda A. Hicke
Dean, College of Natural Sciences

Enclosures:
Enclosures: Attachment B to PM 3.110 – Information for New Non-tenure Track Faculty Members

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Associate Dean for Faculty Affairs Shelley Payne
<Dean or Department Chair of Home Institution>

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

______________________________ ______________________
<Candidate's Name> Date

SAMPLE OFFER LETTER **VISITING PROFESSOR POSITION**

CNS Updated June 2014

<Date>

XXXXXXX
XXXXXXX
XXXXXXX

Dear <*Candidate's name*>:

I am pleased to inform you that the Dean of the College of Natural Sciences has authorized me to offer the following faculty position in the <*Department of XXX*>at The University of Texas at Austin.

Title:	Visiting Professor
Period of Appointment:	9/1/xx– 1/15/xx
Percent Time:	100%
Nine-month Academic Rate:	$100,000
Total Stipend:	$50,000

This commitment is for a temporary appointment for the above-stated period only. The salary figure represents the gross salary and is subject to deductions as required by State and Federal law and such other deductions as you may authorize.

For appointments involving a Visiting Faculty Agreement where home institution will pay salary, substitute the following for the above paragraph:

This commitment is for a temporary appointment for the above-stated period only. Under the terms of the Visiting Faculty Agreement (VFA) between the University and your home institution, for the period indicated above, you will remain an employee of <*Home Institution*>, <*Home Institution*> will be responsible for continuing your salary and fringe benefits and will be responsible for making all appropriate employee payroll deductions required by federal or state law or authorized by you.

This appointment is without tenure and is subject to confirmation by the Board of Regents of The University of Texas System. All faculty, administrators, and staff are subject to the relevant provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin.

Your teaching assignment will be <*Number*> section(s) of <*Course Number and Course Title*> and is subject to approval by the department chair. As a member of our teaching faculty, you will be expected to participate in the course-instructor evaluations.

Include paragraph below ONLY *if this is a* ***NEW, benefits eligible visiting faculty (receiving pay from UT):***

The enclosures cover important information for new faculty members at The University of Texas at Austin, including fringe benefits associated with faculty appointments, and an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Full information on available University services and resources will be available at the New Employee Welcome and Orientation offered by Human Resources Services. You should attend this event as soon as possible upon your arrival, since new employees have 31 calendar days from their initial appointment date <*insert start date*> to enroll for insurance coverage.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include (1) completion of the form and provision of documentation required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States; (2) a background check for security sensitive positions, which include all faculty positions; and (3) satisfaction of a credentialing requirement that is a criterion for institutional accreditation. The first must be satisfied within three working days of the start date of your appointment and will be handled upon your arrival. To meet the last two requirements, please complete and return both the enclosed Background Check Request Form and the Official Transcript Authorization for New Faculty form to the department for handling. The enclosures contain additional information on these requirements.

We are enthusiastic about having you with us for <*year/semester*> and hope that the terms of this offer are satisfactory to you. If you have any questions regarding this offer you can contact me at <*Chair’s Phone #*>. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records.

Sincerely,

<*Name*>
Department Chair

Enclosures:
Attachment B to PM 3.110 – Information for New Non-tenure Track Faculty Members
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Dean Linda A. Hicke, College of Natural Sciences
Associate Dean for Faculty Affairs Shelley Payne

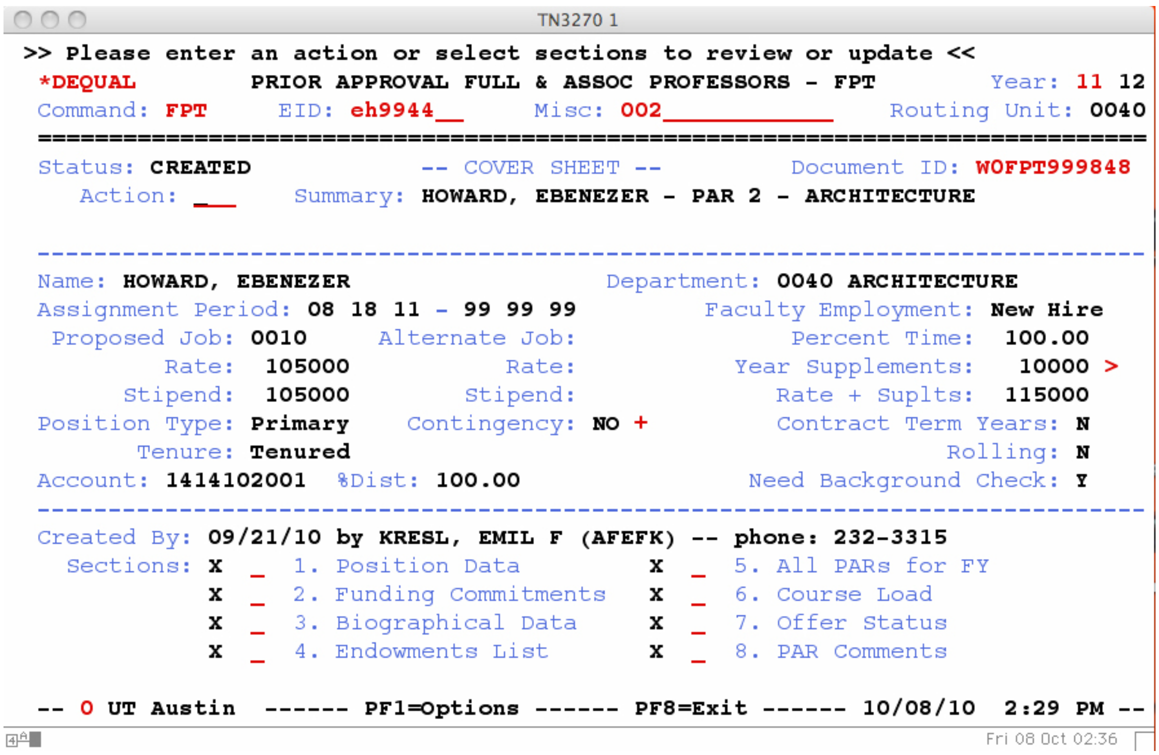
I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

_______________________________ _______________________________
<*Candidate’s name*> Date

The PAR should be completed according to the directions on the Provost's website:

http://www.utexas.edu/provost/par

PAR cover sheet example:



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TN3270 1
>> Please enter an action or select sections to review or update <<
 *DEQUAL        PRIOR APPROVAL FULL & ASSOC PROFESSORS - FPT        Year: 11 12
 Command: FPT     EID: eh9944__     Misc: 002____________     Routing Unit: 0040
 ==============================================================================
 Status: CREATED            -- COVER SHEET --         Document ID: WOFPT999848
    Action: ___     Summary: HOWARD, EBENEZER - PAR 2 - ARCHITECTURE

 ------------------------------------------------------------------------------
 Name: HOWARD, EBENEZER                      Department: 0040 ARCHITECTURE
 Assignment Period: 08 18 11 - 99 99 99          Faculty Employment: New Hire
  Proposed Job: 0010     Alternate Job:               Percent Time:   100.00
          Rate:   105000          Rate:         Year Supplements:    10000 >
       Stipend:   105000       Stipend:            Rate + Suplts:   115000
 Position Type: Primary    Contingency: NO +       Contract Term Years: N
        Tenure: Tenured                                       Rolling: N
 Account: 1414102001  %Dist: 100.00               Need Background Check: Y
 ------------------------------------------------------------------------------
 Created By: 09/21/10 by KRESL, EMIL F (AFEFK) -- phone: 232-3315
   Sections: X  _  1. Position Data            X  _  5. All PARs for FY
             X  _  2. Funding Commitments      X  _  6. Course Load
             X  _  3. Biographical Data        X  _  7. Offer Status
             X  _  4. Endowments List          X  _  8. PAR Comments

 -- 0 UT Austin  ------ PF1=Options ------ PF8=Exit ------ 10/08/10  2:29 PM --
                                                          Fri 08 Oct 02:36
```

Checklist of Supporting Documentation for Prior Approval Requests

Tenure-Track Positions
(Assistant Professor)

□ **Signed printout of PAR**

□ **Chair and/or Director Recommendation Letter**

□ **Curriculum Vitae (current CV)**

□ **Teaching Assessment (signed by the writer – not a copy)**

□ **3 original, signed reference letters**

- *If letter was sent as an attachment to an email, copy of that email MUST accompany PAR packet and email MUST BE SENT BY LETTER's WRITER, NOT an ASSISTANT. If it was FAX'd, then a FAX coversheet must accompany the letter or the phone number of the FAX machine MUST appear at the top of the page.*
- *At least 2 references should be from outside (3 outside letters is preferable)*
- *Letters MUST address the individual's ability to clearly & concisely convey subject matter of the course to a diverse group*

□ **Primary Language Determination Form**

□ **Copy of any funding commitment approved by the provost's office**

□ **Appointment Process Summary**

□ **Applicant Pool Statistics Table**

□ **All job postings or Posting Waiver**

□ **DRAFT of offer letter**

□ **Recommendation for TT/TN form (BC vote)**

□ **AAU Waiver request information (REQUIRED if PAR has not been FINAL approved before May 1st)** [1]

□ **All other documents or relevant information** (including documentation of funding agreements and arrangements)

I have reviewed the PAR packet and by initialing below certify that I have, to the best of my abilities, placed all the required documents in the order listed above.

Creator's Initials ________________________________ Date ___________

2nd Level Dept Approver ________________________________ Date ___________
(if you electronically approve the document, please, review the PAR packet too)

---

[1] As member of the Association of American Universities, The University of Texas has agreed that if a formal offer will be made after May1 to a faculty candidate who is already a tenured or tenure-track faculty member at another institution, it is required that our Provost notify the Provost of that faculty candidate's home institution informing them our intentions to hire that person. A memo from the Dean of the hiring college to the UT Provost should be included in the PAR. The memo should include not only the reasons for why the recruitment is happening at a late date, but also e-mail and mailing address of the Provost's Office (or equivalent administrative office) of the home institution of the faculty candidate. Only after the home institution of the faculty candidate has responded to the UT Provost's Office notification or five business days has lapsed since our notification went out will the PAR be Accepted.

Checklist of Supporting Documentation for Prior Approval Requests

<u>Tenure-Track Positions</u>

(Associate and Full Professors)

BEFORE creating PAR, please send to Faculty Affairs a pdf containing 1) Candidate's CV, 2) All Recommendation letters, 3) Director's/Chair's letter and Budget Council's Assessment of Teaching, Research and Service Assessments so College Ad Hoc Tenure evaluation can begin

□ **Signed printout of PAR**

□ **Department chair's tenure assessment/statement (signed original)**

□ **Dean's tenure assessment/statement**

□ **Dean's letter for endowed chair (if applicable)**

□ **Chair and/or Director Recommendation Letter**

□ **Curriculum Vitae (current CV)**

□ **Teaching Assessment (signed by the writer – not a copy)**

□ **5 original, signed reference letters**

- *If letter was sent as an attachment to an email, copy of that email <u>MUST</u> accompany PAR packet and email MUST BE SENT BY LETTER's WRITER, NOT an ASSISTANT. If it was FAX'd, then a FAX coversheet must accompany the letter or the phone number of the FAX machine MUST appear at the top of the page.*
- *At least 5 references must be from outside UT and of those 4 must be independent (i.e., did not serve on dissertation committee or as a co-author)*

□ **Primary Language Determination Form**

□ **Copy of any funding commitment approved by the provost's office**

□ **Appointment Process Summary**

□ **Applicant Pool Statistics Table**

□ **All job postings or Posting Waiver**

□ **<u>DRAFT</u> of offer letter**

□ **Recommendation for TT/TN form (BC vote)**

□ **AAU Waiver request information (REQUIRED if PAR has not been FINAL approved before May 1st)** [1]

□ **All other documents or relevant information** (including documentation of funding agreements and arrangements)

I have reviewed the PAR packet and by initialing below certify that I have, to the best of my abilities, placed all the required documents in the order listed above.

Creator's Initials ________________________________ Date ___________

2nd Level Dept Approver _________________________________ Date ___________

(if you electronically approve the document, please, review the PAR packet too)

[1] As member of the Association of American Universities, The University of Texas has agreed that if a formal offer will be made after May1 to a faculty candidate who is already a tenured or tenure-track faculty member at another institution, it is required that our Provost notify the Provost of that faculty candidate's home institution informing them our intentions to hire that person. A memo from the Dean of the hiring college to the UT Provost should be included in the PAR. The memo should include not only the reasons for why the recruitment is happening at a late date, but also e-mail and mailing address of the Provost's Office (or equivalent administrative office) of the home institution of the faculty candidate. Only after the home institution of the faculty candidate has responded to the UT Provost's Office notification or five business days has lapsed since our notification went out will the PAR be Accepted.

Checklist of Supporting Documentation for Prior Approval Requests

Non-Tenured

(Temporary positions: Lecturer, Specialist, Clinical Professor, Research Professor, and Visiting and Adjunct Professors)

□ **Signed printout of PAR**

□ **Curriculum Vitae (current CV)**

□ **3 original, signed reference letters**

- *If letter was sent as an attachment to an email, copy of that email MUST accompany PAR packet. If it was FAX'd, then a FAX coversheet must accompany the letter or the phone number of the FAX machine MUST appear at the top of the page.*
- *At least 1 references should be from outside UT (unless individual has only worked at UT, then a note about that must be in Section 8)*
- *Letters MUST address the individual's ability to clearly & concisely convey subject matter of the course to a diverse group*

□ **Primary Language Determination Form/s**

□ **Applicant Pool Statistics Table****

- *** Job postings and applicant pool statistics are not necessary for adjunct, visiting, and modified service faculty, courtesy (0%) appointments of current faculty appointed outside their principal academic department or special hires where a Posting Waiver is being submitted.*

□ **All job postings** or a posting waiver

□ **DRAFT of offer letter**

I have reviewed the PAR packet and by initialing below certify that I have, to the best of my abilities, placed all the required documents **IN THE ORDER LISTED ABOVE**.

Creator's Initials ________________________________ Date ___________

2nd Level Dept Approver ________________________________ Date ___________
(if you electronically approve the document, please, review the PAR packet too)

ATTACHMENT A
PRIMARY LANGUAGE DETERMINATION
(For All Faculty Members)

DEPARTMENT: ______________________________

NAME: ______________________________ UT EID: ________________

PROPOSED RANK: ______________________________

COUNTRY OF BIRTH: ______________________________

Primary language is English as evidenced by the following (check all that apply):

_____ Born and educated in the United States.

_____ Born and educated in ________________________ where the dominant language is English.

_____ Formal education has been in English.

_____ As a child, English was the primary language spoken in the home.

_____ Other:

Primary language, if not English, is ____________________________

____
Department Chair

ATTACHMENT C
ASSESSMENT OF ENGLISH PROFICIENCY
(For Faculty Members Whose Primary Language Is Not English)

Name of Faculty Candidate: ________________________
UT EID: ________________________

I have observed the above-named individual in the following context(s):
_____ Individual interview
_____ Group interview
_____ Presentation before peers
_____ Presentation before students
_____ Classroom teaching
_____ Other: ________________________

Using the descriptions outlined on the Levels of Proficiency chart, I assert his/her proficiency in English to be:

Category	Basic	Intermediate	Advanced
Fluency/Grammar	____________	____________	____________
Pronunciation, pausing, stress, intonation	____________	____________	____________
Comprehensibility	____________	____________	____________

________________________ ________________________ __________
(Signature of Assessor) (Typed Name of Assessor) (Date)

ATTACHMENT D
APPOINTMENT STATUS RECOMMENDATION
(For Faculty Members Whose Primary Language Is Not English)

Name of Faculty Candidate: ________________________
Proposed Rank: ________________________
UT EID: ________________________

Based on the evidence of English proficiency described below, I certify that the above individual is capable of providing instruction in English under the following conditions:

No restrictions: ________________________
Some restrictions: (Please describe restrictions)

____
____
____
____

Department Chair: ________________________ Date: __________
Dean: ________________________ Date: __________

Evidence (check one or more)
_____ Results of formal evaluation/interview procedure
_____ Results of TSE or SPEAK

In many cases, the success of a faculty recruitment will involve recruiting a couple. UT has policies and procedures in place to help with recruiting dual career couples, whether the partner is in academia or not.

Academic Hires

- Dual career hiring facilitates the hire of qualified partners of T/TT recruits into faculty positions.
- Funding for the partners' positions typically are a three way split with the Provost's Office, the hiring department, and the partner's department each covering one-third of the academic rate. If it becomes clear that the recruitment will involve dual career hires, contact the Faculty Affairs office at the beginning of the process.

The process for dual UT hires:

1. The department for the primary hire will request the partner's vita and explore options with the appropriate department chair. If the partner's position will be in another college, the dean will discuss the potential hire with the dean of that college.

2. If both departments/colleges are supportive of the spousal hire, Dean Hicke will send the request to the provost.

3. Each department creates a PAR for their respective hire.

The process for non-academic positions:

The University provides assistance with job placement for a partner seeking employment in the private sector. Send the CV to Shelley Payne who will work with the provost's office and with the CNS Advisory Committee to begin placement services.

Interdisciplinary Hires in College of Natural Sciences

As an outcome of the Strategic Planning meetings, the Dean's Office has created interdisciplinary faculty positions. These positions will promote collaboration at the interface of different fields and will be a joint hire between at least two departments within CNS. The goal is to support areas that do not naturally develop with our current departmental structure and are not supported by other existing mechanisms. The faculty lines will not count against the departmental target size.

Proposed Hiring Process:

1. Applications are solicited in the spring.
2. Faculty from two or more departments discuss and agree on an area of interest in which they will share an Assistant Professor position. These positions are true shared positions in which multiple departments split the salary line.
3. Two or more department chairs create a brief proposal outlining the rationale for the position. The proposal should include a brief statement of the rationale for recruiting in this area and the potential benefit to the College. Include the salary range, estimated start-up and renovation costs, and the departmental commitments to the recruitment. The proposal should not exceed 3 pages in length.
4. The Dean and Associate Dean for Faculty Affairs will review the proposals in consultation with a CNS faculty committee.
5. If approved, the dean will indicate the level of start-up and renovation funding allocated for the position. A search committee composed equally of representatives from each department involved should be established.
6. Pending availability of start-up funding, approval for the interdisciplinary position will be good for an extra academic year if an interdisciplinary search is not successful during the first year attempted. After two years of an unsuccessful search, a proposal for the position should be resubmitted if the departments still wish to hire in the same area.
7. If no proposal is approved in CNS at the beginning of an academic year, a proposal may be submitted mid-year if interdisciplinary candidates are identified during a regular departmental search. For these targets of opportunity, the recruiting department will consult with other departments and if there is strong support for an interdisciplinary hire, a proposal (as described above) will be submitted to the Dean.

Teaching Assignment

The faculty member will teach in each department in proportion to the percent assignment. Teaching will be assigned by the ad hoc budget council as described below. In some cases, interdisciplinary faculty members may develop new courses that serve students from multiple departments. In these cases, the courses should be cross-listed and incorporated into each department's degree plans.

Faculty Evaluation and P&T Process:

The process described below is designed to give all involved departments a voice in the promotion of an interdisciplinary junior faculty member and to ensure that the junior faculty member benefits from a clearly defined process and consistency in evaluation.

1. Once a faculty member is hired, she or he will be assigned an ad hoc interdisciplinary budget council of 5-6 full professors from each department, chosen by the department's budget council in consultation with the newly-hired faculty.
2. The interdisciplinary budget council will be responsible for annual review of the faculty member, recommendation to the Dean of merit raises, third-year review, and communication with the departments about the faculty member's progress, teaching assignments and committee service.
3. Like all budget councils, the membership of the ad hoc interdisciplinary budget council may change over time, but it is expected that there will be considerable continuity.
4. For consideration of promotion and tenure, the interdisciplinary budget council will solicit letters, prepare the file and make a formal vote and recommendation to each department regarding promotion. Each department chair will add their recommendation to the file.

STARS requests

University of Texas System Board of Regents has allocated funds to be awarded to System institutions to help attract and retain the best-qualified faculty. The **STARS** (Science and Technology Acquisition and Retention) program provides funding to help purchase state-of-the-art research equipment and make necessary laboratory renovations to encourage faculty members to perform their research at a UT institution. Because of the statutory limitations, STARS awards are limited to expenditures for research equipment and laboratory renovations and cannot be used towards salaries, travel, or moving expenses.

STARS for the Recruitment of Nationally-Recognized Faculty

- Priority will be given to recruitment of individuals with national reputations and promise of election to national honorific societies, such as the National Academy of Sciences, National Academy of Engineering, Institute of Medicine, among others, or those who have been already elected to these organizations.
- Factors which will be considered for the use of these monies include:
    - The extent to which the recruitment will provide outstanding scientific leadership in an area of significant strength to the individual institution, e.g., the addition of a high-quality research program in an underdeveloped area within the institution, or a substantial enhancement of an existing program.
    - The extent to which recruitment provides important research leadership in a priority area for the University of Texas System and/or the State of Texas, e.g. research in underdeveloped aspects of science, engineering, or technology or for moving to a higher level in an established program.
    - The extent to which the recruitment would introduce a researcher into high quality collaborative activities involving interactions between health science campuses and academic campuses, or among multiple campuses.
    - The extent to which the recruitment will contribute to scientific development in areas bridging multiple disciplines, enhancing translation of research from bench to bedside, or provide scientific or technological skills supportive of a number of other investigators and/or programs.

Individuals nominated for these funds should show evidence of accomplishment in research with demonstrated capacity for nationally competitive extramural research support and graduate student training. There should be clear justification for additional equipment and renovation needs from the STARS Program for amounts from $100,000 to $500,000 for recruiting new faculty.

STARS for the Recruitment of Outstanding Teachers in STEM

- Priority will be given to recruitment of individuals that demonstrate superlative accomplishments and scholarship in educational and instructional processes, including traditional, on-line, distance or blended methodologies.
- Factors which will be considered for the use of these monies include:
  - The extent to which the recruitment is integral to high quality teaching, training, and mentoring programs for graduate and professional learners at all levels within The University of Texas System and/or the State of Texas.
  - The extent to which the recruitment will contribute to teaching excellence in bridging multiple disciplines, and using the latest technology to engage students and other faculty.
  - The level of participation in and service to professional growth in teaching, advising, and curriculum development and enhancement.
  - Evidence of teaching accomplishments at both the institutional level and through recognitions received outside the home institution (at the regional or national level).

Requests for funding must explain how the nominee has made an impact on teaching and learning at the home institution, and discuss the expected impact of the recruitment on teaching and student success at the recruiting institution. There should be clear justification for additional equipment and renovation needs from the STARS Program for amounts from $100,000 to $500,000 for recruiting faculty.

STARS requests

STARS application process

STARS requests will be handled through the Dean's office at the time of recruitment. There is a cap on the maximum amount of funds each year and it may be necessary for applications to be prioritized. The information listed below is needed. Most of this is part of the PAR and it is not necessary to duplicate those items.

1. Information for the cover sheet (sample on next page)
2. CV
3. Three external letters of reference
4. A budget justifying the amount requested

Each request should address the following:

- Will the applicant be bringing any research dollars?
- What funding agencies are likely to be a target for research proposals?
- Provide a general list of equipment and cost estimates.
- Provide a brief discussion of how the equipment will assist in obtaining research funding.

Timing

STARS requests for recruitment or retention of nationally-recognized faculty have a relatively short turn-around to decision. Requests for recruitments of assistant professors depend on availability of funds after the senior recruitments have been done. If funds are available, the assistant professor applications are considered at the end of the academic year.

The University of Texas System
STARS Funding Request

Please complete this form and email to Dr. Dale Klein (dklein@utsystem.edu)

Requestor Information

Institution: UT Austin

First name: Click here to enter text. Last name:Click here to enter text.

Title: Click here to enter text.

Position Information

Purpose: Click here to enter text.

Amount of funding requested: Click here to enter text. Note: Maximum for all hires is $500,000

Proposed academic rank: Click here to enter text.

Proposed annual salary: Click here to enter text.

Any additional support (such as professorship or chair) proposed to aid in recruitment: Click here to enter text.

A short description of how the funds requested would be used: Click here to enter text.

A short description of how the individual is critical to the institution doing the recruiting or retaining in terms of how this recruitment supports institutional goals, areas of strength, and System strategic priorities: Click here to enter text.

Candidate Information – *Please include candidate's CV and three letters of recommendation with this form.*

First name: Click here to enter text. Last name: Click here to enter text.

Ethnic/racial background: Hispanic/Latino If Other: Click here to enter text.

Current institution: Click here to enter text.

Summary of major national awards for research or publications and funding support in the last five years: Click here to enter text.

A statement about the research funds that will transfer to the hiring institution upon successful recruitment of this individual and where new research proposals are expected to be submitted: Click here to enter text.

A short description of the individual's unique past contributions: Click here to enter text.

The State of Texas established the Cancer Prevention and Research Institute of Texas (CPRIT), to support research in the area of cancer prevention, treatment, and possible cures. These grants can be instrumental in helping recruit outstanding faculty to the state. The relevance of the research to cancer is interpreted broadly, and you should work with the dean's office to prepare applications for candidate faculty whenever possible. http://www.cprit.state.tx.us/funding-opportunities/

There are three types of recruiting grants: Recruitment of First-Time Tenure-Track Faculty Members, Recruitment of Rising Stars, and Recruitment of Established Investigators. The first-time faculty grants are for new faculty, while the rising star and established investigator grants are designed to recruit outstanding established faculty from outside the state. Application deadlines are generally in the spring and summer.

First time tenure track investigators:

Details of the submission process are at:
http://www.cprit.state.tx.us/images/uploads/rfa_r-15-rft-1.pdf

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the State of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. The CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators seeking their first tenure-track position. CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research is an important evaluation criterion for CPRIT funding.

Eligibility

A candidate may be nominated by only one institution. If more than one institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.

Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are **not** eligible for a recruitment award as an investment by CPRIT is obviously not necessary.

The candidate must have a doctoral degree, including M.D., Ph.D., D.D.S., D.M.D., Dr.P.H., D.O., D.V.M., or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70 percent time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.

At the time of the application, the candidate **must not** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non–tenure-track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include Research Assistant Professor, Adjunct Research Assistant Professor, Assistant Professor (Non-Tenure Track), etc. The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where they are completing postdoctoral training.

Funding information
This is a 4-year award and is not renewable, although individuals may apply for other future CPRIT funding as appropriate. Grant funds of up to $2,000,000 (total costs) for the 4-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5 percent of the total award amount (5.263 percent of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 4 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. Grant funds may not be used for salary support of this candidate, or to construct or renovate laboratory space.

Submission
Nominations for CPRIT Recruitment awards are submitted on behalf of a specific candidate by the Dean. Due to the nature of the recruitment process, the candidate will prepare and provide information and documents to the Dean via the department chair.

- The candidate prepares the relevant information and documents for the nominator.
- The nominator completes/finalizes a series of numbered tabs of the application.
- Finalized tabs can be reset by the ASO.
- Once all tabs are finalized, the ASO reviews, approves, and submits the application to CPRIT.

Rising Stars
http://www.cprit.state.tx.us/images/uploads/rfa_r-15-rrs-1.pdf

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research ("Rising Stars"). Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the State of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. These are 5-year, non- renewable awards of up to $4,000,000.

At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure-track or tenured (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must **not** reside in Texas at the time the application is submitted.

Established Investigator
http://www.cprit.state.tx.us/images/uploads/rfa_r-15-rei-1.pdf

These are similar to the Rising Star grants but target faculty at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must **not** reside in Texas at the time the application is submitted.

Required matching funds

The University is required to provide matching funds for CPRIT grants. This can include equipment and renovations. We also can count the difference between the federal indirect cost rate (54.5%) and the CPRIT rate (%5) towards the match for these recruiting grants. For a $2M recruiting grant, if all of it was eligible for indirect costs, the difference between the federal rate (54.5%) and the CPRIT rate (%5) is 49.5% = $990,000. We are only required to match $1M total, so achieving the match should not be a significant problem.

Recruiting into endowed chairs or professorships will be based on the recruitments approved by Dean Hicke. These recruitments will be similar to other faculty recruitments but will include an additional level of review by the ad hoc promotion and tenure committee. The P&T committee will make a recommendation to the Dean regarding the offer of tenure and will also make a recommendation regarding the awarding of the endowed position. The department should provide all appropriate materials for review by the committee. If the result of the review is positive, the file will be forwarded to the provost's office for final review. The draft offer letter should be prepared using the CNS template. Note that appointments to endowed positions will be for a specific time, usually 6 years, and will be reviewed at the time of Comprehensive Period Review (CPR) for the faculty member.

Twelve slots are set aside annually to assist in faculty recruitment and retention. Applications for these spaces are submitted by the department, and decisions are made by May 1 of the preceding spring on a first-come, first-served basis.

Process

- The department submits the form to the coordinating administrator, Carmen Shockley, via Shelley Payne. A copy of the form follows.
- Decisions are made by May 1 of the preceding spring on a first-come, first-served basis.
- If the recruit declines, the department assumes financial responsibility for tuition until another child is enrolled or a period not to exceed 6 months. There is usually a long waitlist for slots and it is unlikely that another child would not be enrolled.

http://www.utexas.edu/provost/policies/childcare/

THE UNIVERSITY OF TEXAS AT AUSTIN
OFFICE OF THE EXECUTIVE VICE PRESIDENT AND PROVOST
1 University Station, G1000
Austin, Texas 78712
(512) 471-4363

THE UNIVERSITY OF TEXAS CHILD DEVELOPMENT CENTER RECRUITMENT APPLICATION FORM

Date: ___________________

College: ____

Department: ____

Department Contact: ________________________________ Contact Phone: ___________

Candidate: ____

Candidate's Address:____

____

Candidate's Phone & Email:____

Recruiting Position: ____

Proposed Hire Date: ____________________ Would need care beginning: ___________
Semester and Year

Child(ren) needing care:

Child's name:_________________________________ Date of Birth:_____________

Child's name: ________________________________ Date of Birth: _____________

Child's name: ________________________________ Date of Birth: _____________

This application is to apply for one or more child care spaces at a UT Child Development Center (UTCDC) to be used as part of a faculty recruitment package

______________________________________ ___________________
Department Chair Date

______________________________________ ___________________
Dean Date

______________________________________ ____________________
Executive Vice President and Provost Date

Ad hoc P&T

Hiring faculty as a tenured Associate Professor or Professor requires a college-level tenure review. This requires assembling an ad hoc committee, who will review the materials and provide a recommendation on tenure to the administration. This process requires time for identifying appropriate committee members and conducting a thorough review. Thus, hiring at this level is a longer process than hiring an Assistant Professor.

For faculty hiring at this level, provide the following materials to the Faculty Affairs Office, most of which are assembled as part of the recruitment:

1. CV
2. Letters of recommendation - minimum of five
3. Assessment of teaching effectiveness - peer and student reviews from the current institution should be provided
4. Budget Council vote and assessment of the candidate
5. Chair's letter

Who's who in your department Provide the new faculty member a list of the department staff and administrators, their roles in the department, and their contact information. They will need to know need to know who does the appointments, who helps with purchasing, and who assigns classroom space, for example. The list should also include the key administrators in the department. There may be an associate chair who makes course assignments, course coordinators for multiple sections of large undergraduate classes, and a graduate advisor. You should also provide contact information for the building manager.

Insurance and other benefits Encourage new faculty to attend the New Faculty Workshop, since it provides all the information on insurance, retirement plans and benefits. If they don't attend, make sure they sign up for the New Employee Welcome and Orientation through the Office of Human Resources:
http://www.utexas.edu/hr/current/new/newo.html

Relocation services: Through a partnership with Global Mobility Solutions, Human Resource Services now offers relocation assistance to prospective employees and new hires. These tools include a dedicated relocation coach, candidate needs assessment, homeowner support, financial services, pre-move and van line services.
http://www.utexas.edu/hr/manager/hiring/relocation.html

Keys: Authorize keys to the faculty member's office and lab or other research space. If access to the building or some of the department areas requires the ID card or a fob, authorize ID card activation or a fob. Issue a key to the UT classroom AV consoles.

Email lists: add them to the email lists for seminars and other department activities. Include NTT faculty on email lists and make sure they are invited to department activities.

Faculty meetings: Add new faculty to the email list for faculty meetings. NTT faculty should also be included in faculty meetings where teaching and curriculum are discussed. NTT faculty members who have had a total of four or more continuous long session semesters of service with appointments of 50% time or greater are voting members of the general faculty. They should be invited vote on course and curriculum issues.

Mentor: Assign one or more mentors (see **Section 7**). Mentoring is critical to the success of new faculty. Monitor the mentoring and assign a new mentor if the original was not a good fit.

Procard: If the faculty member will be ordering laboratory supplies or small items for their research, authorize a Procard for their start-up or grant accounts.

Orientation: All new faculty should be encouraged to attend the New Faculty Seminar provided by the Center for Teaching and Learning (http://ctl.utexas.edu/services/new-faculty-resources/new-faculty-seminar-2014).

The college provides an orientation session and teaching workshop for all new tenured and tenure track faculty. This is generally held in August just before classes begin. The department should provide a department-specific orientation for all new NTT faculty.

Help new faculty settle in

The following tips are from the **University of Michigan Advance Program**. Based on conversations with new faculty they identified some common issues and offer some suggestions (*in italics*). In most cases, these approaches were actually offered by other new faculty members who had also directly experienced the issues. Some of the problems (e.g., associated with setting up a lab) are specific to faculty depending on their research needs; others (e.g., relating to teaching; dependent care organization) are much more general. We offer this list in the hope that it will assist departmental chairs, mentors, and new faculty themselves to anticipate and respond to issues that might arise early in their appointment.

Access to Mentors
Some new faculty report that although there is a formal mentoring program in their department, they have not found it easy to access advice or help. Others report that there is not a formal mentoring program and they too do not find it easy to access advice or help.
If your department does not have a formal mentoring program, consider implementing one. Finally, many junior faculty find peer mentoring groups very helpful in addressing their needs for both advice and colleagueship. Consider facilitating the establishment of a peer mentoring in your unit or jointly with other related units.

Course Assignments
New assistant professors have raised the issue of having been assigned to teach courses in areas they do not know well and do not feel equipped to teach. New assistant professors do not know what the norms are about resisting or refusing teaching assignments. Since the tenure probationary period is so short, it is potentially devastating to a faculty member's workload to manage extensive preparation for a course for which she or he is unprepared, quite apart from the added anxiety. In addition to the extra preparation time, there is an additional likelihood that the course will be less well-received and therefore become a barrier to demonstrating teaching competence.
New faculty teaching assignments can and should be made in the best interest of the new faculty member, and it should be made clear that the new faculty member plays an important role in this decision-making process.

Classroom Authority and Teaching Evaluations
Many new faculty are not aware of the resources provided by the Center for Teaching and Learning (CTL) and do not understand the need to address teaching issues as early as possible. For all new faculty, difficulties in the classroom can result in anxiety, lower

teaching evaluations, over-preparing for class sessions, and little pleasure in teaching. Women and underrepresented minority faculty are challenged by students in the classroom more often than other faculty. Because new faculty have little and sometimes no teaching experience, they are not prepared to address the derailing effects of these persistent challenges.
Chairs or their designates could meet with new faculty early in the first term of teaching, to discuss in an open-ended and non-evaluative way some of the difficulties many new faculty have, and the resources available to address them. New faculty can be provided access to a senior faculty member who takes more than a pro forma interest in understanding the teaching experiences of new faculty members and who might be able to provide advice and/or assistance.

<u>Child Care and Education Needs for Dependents</u>
Newly arrived faculty need to identify child care options without much, if any, knowledge of the community. In some instances, this leads to unsatisfactory child care arrangements, requiring time, energy, and resources to correct. Faculty with special needs children must identify specific education options which requires additional time, energy, and resources. This situation contributes to great anxiety and to expenditure of substantial time.
At a minimum it is important to be sure the faculty member is aware of on-campus resources like the child care resource office and the family-friendly policies. In addition, this set of concerns is often experienced as "extra," something quite outside the official life of the university and therefore off limits for discussion with senior colleagues. This perception is isolating and detrimental since senior colleagues often have information or advice that would be helpful. In addition, the opportunity to openly discuss an important, distracting, and time-consuming issue may, in itself, help an individual feel more "at home." Facilitating open discussion of the issue with senior colleagues in any department is important.

<u>Dual Career</u>
Some faculty members arrive in the summer to get an early start on setting up their lab, and often face a situation in which they are waiting for equipment and/or renovation for much of the summer. This common situation quickly becomes very stressful if they have a partner who has not found local employment. They are often covering the cost for two households, possibly before their salary has begun. In addition to the anxiety of this situation, there is also real financial hardship. When faculty with dual career expectations arrive on campus with these needs unaddressed, the situation may persist. Ignoring the situation does not make it disappear. The chronic situation can mean that a partner who has joined the faculty member is unemployed and unhappy, or has actually remained at the previous household. Both circumstances create significant complications. Maintaining two households on an assistant professor salary is difficult, especially when travel to partner and children is also needed. Lack of attention to these situations strands a new faculty member in a stressful situation with few supports.
Make early and active use of the dual career program services. In addition, regular inquiry into the situation can surface problems that can be addressed. At a minimum,

unavoidable protracted separations can be supported with some discretionary travel funds.

Loneliness and Isolation

New faculty who arrive without any partner or family may experience a protracted period of substantial isolation and loneliness. This can compound isolation for those faculty different from most faculty in their department in other ways (e.g., gender, race or ethnicity, country of origin, sexuality). This experience can definitely affect their productivity and integration into a social network and community. Some faculty who have busy lives of their own simply assume that these issues are not important to know about or address; as a result, new faculty members' isolation and loneliness can persist for a long period.

Be sure you are aware of the presence or absence of others making the move with new faculty, and inquire regularly into their integration. Identify people for them to meet, provide information about University resources, and facilitate connections.

Departmental Environment

Some new faculty report that some department members try to immediately bring them into longstanding, ongoing senior faculty tensions or conflicts. Newcomers are always uncomfortable about these efforts, because they recognize that their own best interest cannot be served by getting involved with interpersonal conflicts that did not involve them. But they worry about how to address these pressures without offending potentially powerful senior colleagues who are new to them.

Consider discussing with senior faculty the value of avoiding perpetuating longstanding conflicts in this way. In any case try to be sure that new faculty have people to talk with (mentors, departmental chair, more experienced colleagues) who can advise them about how to handle this sort of pressure, without seeming like just another such pressure!

Environment for Women and/or Minorities

Some white women and minority faculty members had heard negative stories about the climate for women and/or minorities in their department. Once they arrived and began to experience 4 negative situations, they felt that their new experiences fit into the pattern recounted in received stories. This may create serious anxiety about their future here and a rapid decision to go back on the job market.

Ideally, the negative climate issues should be addressed. At the very least, it is important for chairs and other senior faculty to be aware of the situations that are occurring; this is more likely if they maintain frequent sympathetic contact with new faculty, overtly inquiring into their experience and taking direct steps to intervene with faculty members creating a negative climate.

Writing

Academic writing can be a difficult and lonely process. Junior faculty members must have regular feedback on their drafts from colleagues in their fields. It helps them not only develop and organize their thoughts, but also establish a productive and realistic writing schedule. At the same time, they are often reluctant to seek out feedback from busy senior colleagues.

Be sure your senior faculty are aware of the obstacles to seeking and getting feedback junior faculty face. Encourage them to be quickly responsive and attentive to requests. If not already underway, consider the possibility that voluntary writing groups—organized by particular interests, rank, or other means—might help.

Collaboration

Newly arrived faculty often struggle with making productive connections with collaborators. The new assistant professors are sometimes assigned to senior faculty who actually act as "gatekeepers," preventing connections, or who do not actively assist in creating connections. There is a pervasive sense among the junior faculty that their senior colleagues are too busy to assist with the interventions necessary for helping them launch successful collaborations.

Choose faculty career advisors carefully; ensure that faculty career advisors understand that they are expected actually to take concrete steps to facilitate networks and collaborations. Seek feedback from new faculty within the first semester about whether this is happening and step in to create these connections other ways if it is not.

Establishing a Lab

Faculty experience significant delays in receiving necessary lab equipment and setting up a fully functioning lab. The following three scenarios appear to be most prevalent: they have insufficient information about procedures and university practices; they have difficulties with vendors who are unhelpful; their arrival has not been sufficiently anticipated. When they come to campus at their own expense in the summer before they are starting, often without their families, it is particularly distressing to be faced with serious delays in setting up a lab. Since most new assistant professors have no experience setting up a lab, it is important for this process to be as supported and transparent as possible both before they arrive and once they are on campus. Key support staff and a knowledgeable and sympathetic senior faculty member assigned to be helpful can make this process go much more smoothly. When serious delays are unavoidable, seek ways to minimize the impact on the new faculty member's research program (e.g., by setting up arrangements for sharing, supporting them spending time in collaborators' labs elsewhere during this period, etc.).

Lack of System for Assigning or Identifying Students to Collaborate / Work in Lab

In several instances, new assistant professors have taken on students who were known in the department to be problematic. In some (but not all) instances, the junior faculty have been advised by senior faculty not to accept these students. The junior faculty members must balance this advice against their growing anxiety about identifying student help. It is important to develop a strategy for identifying students to work with new faculty that is less risky for the new faculty member. If hired early enough, they may participate in graduate recruitment and identify a new student; alternatively, they may take joint responsibility for a more advanced student along with a mentor who will provide advice and help with already identified difficulties. Finally, temporary arrangements may be set up at the department's (not the new faculty member's) expense, and these arrangements can be explicitly identified as having no long-term implications. Conversations with more advanced faculty suggest that these poor initial decisions often end up wasting vast amounts of time during the tenure probationary period, when faculty have little time to waste.

The University of Michigan Advance Program has a number of excellent resources managing recruitment and retention of faculty.
http://sitemaker.umich.edu/advance/faculty_recruitment_publications

The Faculty Fellows program

The Donald D. Harrington Fellows Program was created by Sybil Harrington as a tribute to her late husband. She envisioned a program that would support gifted and ambitious scholars, who would, in turn, share their knowledge and success with future generations, perpetuating the legacy and memory of Don Harrington for all time. This preeminent research program is designed to attract outstanding faculty that are near the beginning of their professional careers. Fellowships are awarded annually to the most highly qualified applicants from universities throughout the United States and around the world.

The Harrington Faculty Fellows Program supports approximately five Fellows each academic year. These Fellows visit UT Austin to pursue their research and collaborate with colleagues. The normal period of appointment is the academic year, though some Fellows choose to stay for the summer as well. A Harrington Faculty Fellow is on leave from her or his home university and is appointed as a visiting member of the UT Austin faculty, with a stipend representing a substantial increase over the salary at the home university, relocation expenses for external Fellows, full medical benefits, etc. Office space and limited administrative support are provided by the host department, organized research unit (ORU), or institute.

Since the primary purpose of the Harrington Faculty Fellowship is to pursue research, the Fellows have no teaching obligations. Fellows are; of course, free to conduct seminars if they wish. In addition, each Fellow will be provided with funding to support a symposium during the period of his or her stay.

To ensure the diversity of backgrounds among the recipients and sustain the international prestige of the Program, at least 75 percent of the Fellows are recruited from institutions outside the University; no more than 25 percent come from UT Austin.

Process

If your department is interested in nominating a fellow, you should send a brief bio of the candidate and indicate how this will benefit the department to the Associate Dean for Faculty Affairs by mid November (note that CNS Fellows for 15-16 have already been identified). Candidates must be approved by the Dean and Provost's office prior to submitting their credentials. Details about the program and process are given in the following document.

HARRINGTON FACULTY FELLOWSHIPS FOR 2015-16

For Internal Distribution Only

Contact: Del Watson, Coordinator, Office of the Vice President and Provost
MAI 201 (G1000) del.watson@austin.utexas.edu 512-232-6749
http://www.utexas.edu/harrington/

FOCUS: **A+ young faculty from prestigious (A+) academic institutions.**

- Enhance reputation of UT Austin among the most outstanding universities around the world.
- Establish relationships with faculty at those institutions.
- Bring bright, young scholars to UT Austin for our mutual benefit.
- Recruitment always a possibility, but should not be considered primary purpose of fellowships.

Before contacting potential candidates:
- Forward brief bios to Del for review.
- Internal candidates must have prior approval. Contact Del.

Eligibility:
- Ph.D.
- Tenure-track or tenured appointment
- Within eight (8) years of their first tenure-track appointment.

Credentials: Contact Del for specific instructions about submitting credentials.

Timeline: Obtain commitments from candidate and all necessary administrative approvals by early in spring semester prior to award year.

Funding: Total fellowship package very attractive. Exact details conveyed in offer letter from President Powers to candidate. Typical package includes:

- Stipend that is in lieu of, and that represents, a substantial increase over the candidate's current salary at her/his home university.
  Stipend can be budgeted in a number of ways to cover a salary supplement, graduate student support, operating costs, and travel related to their research.
- $10,000 for support of a symposium.
- New personal computer (printer not included) for fellow's use while at UT Austin.
  Computer reverts to department at end of fellowship period.
- Bonus to defray relocation and travel costs of external candidates.

Of course, the sponsoring department may supplement the Harrington package, if it so chooses.

Other fellowship considerations:

- No teaching duties attach to the fellowship. Seminars or special topic courses are acceptable.
- Generally, the fellow is expected to be on leave from her or his home university for the academic year (September 1 - May 31) in residence at UT Austin.
- The fellow becomes a salaried employee of UT Austin with normal employee insurance and retirement benefits.
- Office space and limited administrative support are provided by the host department.

Faculty Evaluation

a. Faculty Activity Reports
b. Annual review
c. Third year review
d. Comprehensive periodic review
e. Remediation plans
f. Compensation
g. Merit raises
h. Faculty awards

Formal evaluations of faculty are mandated by Regents' Rules and University policies. Effective evaluations serve as good tools for mentoring faculty and improving research and teaching effectiveness. They also provide a basis for merit raises and for support for improvement where needed.

Evaluations are done by faculty committees. Chairs and deans may add to the evaluation but may not ignore the committee evaluations.

Faculty Activity Report (FAR)

The 2013-14 online Faculty Activity Report is available at: https://utdirect.utexas.edu/apps/provost/far/.

Faculty members should first edit, categorize, and certify their publications within the Publications Database at https://utdirect.utexas.edu/apps/provost/faculty_pubs/. Uncategorized publications will cause errors within the FAR. Faculty members will not be able to certify and submit their FAR until their publications have been certified.

All tenured and tenure-track faculty members, and all non-tenure track faculty members who are assigned at 50% or greater in a faculty position, are responsible for completing a Faculty Activity Report (FAR) of their academic and professional activities each year. Reports for 2013-14 should be prepared and submitted to the department chair/director or, in a non-departmentalized college/school, the dean, on or before **October 1, 2014** unless a different date has been determined and communicated by an individual's college/school.

The report is an essential component of the annual merit review, the third-year review of tenure-track faculty, promotion review (all ranks) and periodic review of tenured faculty.

Deans and department chairs can access their faculty members' Faculty Activity Reports through the FAR Admin page at https://utdirect.utexas.edu/apps/provost/far_admin/. Access for other administrators can be requested via email to evpp.aps@utlists.utexas.edu.

Questions and comments can be sent using the link at the bottom of the Faculty Activity Report: evpp-far@utlists.utexas.edu.

Faculty Course Instructor Surveys

Course Instructor Surveys (CIS) are a standardized mechanism for feedback to faculty from students and can assist in the continuous improvement of a faculty member's teaching.

Research indicates that care must be taken in order to glean accurate interpretations of CIS scores. In an attempt to get more meaningful information, academic units might consider implementing one or more of the following when using CIS scores for evaluation of teaching and for promotion purposes.

- Aggregate similar scores for comparison
- Take into account the acceptable temporary dip in scores that sometimes occurs as a result of innovative teaching techniques, or when teaching a course for the first time
- Consider any discipline- or department-specific issues that affect CIS scores
- Make a meaningful attempt to understand and take into consideration the well-documented biases inherent in student ratings

Some examples of these strategies can be found in **Appendix I. CIS**, at the end of this section.

Faculty Peer Observation

Peer observation is a mechanism for constructive feedback and continuous improvement. Peer review and discussion can be used for increasing departmental communication about teaching, for evaluation purposes (review and promotion) and for improving teaching. The observer must be provided with the instructor's syllabus, exam samples, and other significant teaching materials used (for example, the course web site).

Prior to the peer observation process, the departmental leadership should discuss examples of and criteria for excellent teaching as well as the warning signs of teaching that may need improvement. Because teaching styles vary, observers should be open to consideration that an instructor's style, however different, may be effective. The observer should give constructive comments and feedback to the lecturer and may provide evaluative comments to the department chair as requested.

Tools for Effective Observation

Evaluations should include the use of short forms that merit careful attention by the reviewer. Questions on the forms should call for a narrative response or a choice among three or four responses. See **APPENDIX II.**

- Each peer evaluation/observation report should include:
    - Number and title of course observed
    - Date of report
    - Name and signature of observer
    - Date of pre-observation meeting between observer and instructor, at which the syllabus and assignments are reviewed, special instructor concerns are addressed, and a mutually agreed class and date are specified
    - Date of classroom observation(s)
    - An instrument that reflects methods by which instructor engages students in active learning
    - Date of post-observation meeting of observer with instructor, at which the observation was discussed; and
    - Instructor's signature affirming that the discussions took place.

Preparation and Training for Effective Peer Observation

Before peer evaluations are conducted, peer evaluators should be given detailed guidance and an opportunity for training. As a minimum, the departmental criteria for effective teaching should be discussed. Observers should be requested to recognize instructors have different teaching methods and to consider the effectiveness of teaching styles that might differ from their own. Evaluation templates should be provided to guide the evaluator's observations of teaching.

APPENDIX I. CIS

Examples of methods to get more accurate information from Course Instructor Surveys (CIS).

- An example of how departments might aggregate similar Course Instructor Survey (CIS) scores for comparison to a faculty member's CIS scores. All of this can easily be done on a spreadsheet containing an academic unit's CIS results for all instructors.
  - Group courses that have historically similar CIS scores as compared to other classes. These collections might be created by using some combination of class size, course level, major versus non-major course, labs versus field experiences versus classroom courses, or by other factors as determined by the department or academic unit. The question(s) on the CIS that will be used to create these groups would also need to be determined by the department or academic unit.
  - For each group, compute the mean and standard deviation of the appropriate score on the CIS.
  - For each instructor, look at this CIS score and determine the instructor's z-score, which is the ratio of (the instructor score minus the average score) divided by the standard deviation. This gives the number of standard deviations this instructor's score is from the mean within that group of classes.
  - These groups should be reevaluated each year for validity. This is an imperfect process.

- Dips in CIS scores may occur as a result of innovative instruction. The department should make it clear that reasonable innovation is encouraged, and that resulting CIS dips will not harm the innovator's evaluation or chances for promotion.

- CIS scores may be lower than desired during the initial one or two semesters of teaching but may improve significantly in subsequent semesters. Trends of this type should be noted, and initial scores should not be weighted as heavily when assessing the faculty member for promotion.

- To avoid biases in student ratings, departments may choose additional data to be used when evaluating faculty teaching, and faculty members could be encouraged to gather such data
  - Peer evaluations
  - Departmentally generated or faculty member generated evaluation forms, perhaps used mid-semester, with documentation on any adjustments that were made in response to the results
  - Solicitation and collection of informal feedback

APPENDIX II. Examples of Peer Observation Procedures

1. Chemistry Teaching Evaluation Form
2. Biology Instructional Office Teaching Observation Form
3. Center for Teaching & Learning CTL Peer Teaching Evaluation Proposal

1. Chemistry Teaching Evaluation Form

Faculty member observed:____
Class observed: ____
Faculty member conducting evaluation: _______________________________

Peer Observation of Teaching

Context or Background Information: Describe the setting in which the lesson took place, relevant information about the makeup of the class, and any other descriptive characteristics that would provide appropriate context to the observation.

Observation Area 1: Instructor Goals/Intentions for Class Session
Focus your comments on whether the goals were: 1) clearly stated or portrayed in an obvious fashion, 2) appropriate to the focus of the course, 3) explicitly connected to the flow of previous or future classes.

Observation Area 2: Student engagement with the subject matter
Examine the degree to which student engagement occurred 1) over a substantial portion of the class meeting time, 2) by a broad segment of students attending the class, 3) in appropriate forms such as discussion, listening/processing, performing, reading, reflecting, speaking, or writing.

Observation Area 3: Examination of student achievement of goals
Focus your comments on how the instructor developed an understanding of student achievement of goals by methods such as 1) questioning students on course material, 2) observing student performance(s), 3) student-student discussion, 4) informal assessment techniques, 5) quizzes, or 6) other methods.

Observation Area 4: Was there anything else worth comment, not noted above? Areas to be considered for improvement? Something outstanding or of special interest that you observed during the class?

BIO Observation Form
Instructor: ______________________________ Date: ___________________
Observer: _______________________________ Class: ___________________

Classroom Observation Report

	Needs to Improve	Does Well	Outstanding	
Content organization				
1. Presents a brief overview of the lecture	☐	☐	☐	NA
2. Relates content to previous knowledge	☐	☐	☐	NA
3. Summarizes major points at the end of class	☐	☐	☐	NA
4. Sequences topics logically	☐	☐	☐	NA
5. Uses visuals during class	☐	☐	☐	NA
6. Appropriate amount of material used in lecture	☐	☐	☐	NA
Presentation				
1. Explains important ideas clearly and simply	☐	☐	☐	NA
2. Periodically checks student understanding	☐	☐	☐	NA
3. Receptive to student questions and comments	☐	☐	☐	NA
4. Promotes student participation	☐	☐	☐	NA
5. Promotes critical thinking	☐	☐	☐	NA
6. Demonstrates command of the material	☐	☐	☐	NA
7. Appropriate pacing of the class	☐	☐	☐	NA
Use of Media				
1. Uses chalkboard/overheads/PowerPoint effectively	☐	☐	☐	NA
2. Audio/visual materials add to students' comprehension	☐	☐	☐	NA
Individual Style				
1. Projects voice so easily heard	☐	☐	☐	NA
2. Varies voice to maintain interest	☐	☐	☐	NA
3. Articulates clearly	☐	☐	☐	NA
4. Effective body gestures	☐	☐	☐	NA
5. Eye contact with students	☐	☐	☐	NA
6. Enthusiastic and confident	☐	☐	☐	NA

Instructional materials used in the course:

________ Learning objectives
________ Lecture slides / notes
________ Illustrations
________ Videos/Animations/internet
_______ Readings
_______ Other (classroom response system

Comments

The following page is the most important part of the evaluation. In your evaluation, please note that different Instructors use different teaching methods (lecture only, flipped classrooms, a mixture of the two). Please feel free to comment on the teaching method and to evaluate the Instructor's effectiveness with their method of choice.

Bio observation form cont.

Comments

• Strengths in Classroom:

• Weaknesses in Classroom:

• Comment on Syllabus:

Is the course organization clear?
Is the schedule of events on each class day clear?
Are the exam dates and formats clear?
Is the grading scheme clear and fair?
Will students know their grades as the course progresses?
Overall, are the expectations of the students clear?

Suggestions for Improvement of Syllabus:

• Comment on Exam(s):

Does the exam test understanding or memorization?
Are the questions unambiguous?

Suggestions for improvement:

OVERALL EFFECTIVNESS RATING: Low 1 2 3 4 5 High

DATE: ______________________________

SIGNATURE OF REVIEWER: _______________________

Peer Teaching Evaluation Proposal

Center for Teaching and Learning

Karron Lewis, Ph.D.

Background and Rationale

The Center for Teaching and Learning (CTL) has engaged in a nation-wide scan of practices at peer institutions related to the most common elements of faculty peer-evaluation systems. This proposal is informed by the results of this benchmarking activity.

Faculty Peer-Observation of Teaching

We want to design an observation process that engages both the observing teacher and the teacher being observed in a collegial conversation about effective teaching practices. To accomplish this, we designed an approach that emphasizes constructive dialogue over a reductionist, checklist approach. Observations should include two of the most fundamental aspects of effective teaching: level student engagement in class and active assessment by the instructor of students' understanding.

Faculty peer observations should include the following elements:

- Be a critically reflective and collaborative process in which the instructor under review works closely with a colleague or group of colleagues to discuss his or her teaching.
- Provide training to those who will be a peer reviewer.
- Include a process for mentoring / coaching.
- Include self-assessment.
- Provide a review of educational materials, e.g. syllabi and other materials in various media (including course web sites) prepared for instructional use.
- Provide a review of instructional delivery that primarily includes open-ended feedback.
- Describe the elements to be included in the peer review each year (syllabus, student work, classroom teaching) and the frequency with which these elements will be reviewed.

Pre-Feedback Resources from CTL

To support a system of evaluating teaching effectiveness the Center for Teaching and learning will:

1. Offer consulting for peers on how to give peer feedback
2. Work with departments to foster conversations about teaching and peer evaluations

Elements of the Peer Evaluation of Teaching Evaluation System

Proposed Process for Peer Teaching Evaluation System

1. Department selects peer to work with an instructor and sets the frequency for peer reviews
2. The instructor and peer have a pre-observation conversation
    a. Should occur in the first 5 weeks of the semester
    b. Syllabus, sample activities, and sample assessments are given to the peer
3. Peer conducts a review of course materials (**see Peer Review of Syllabus form** and **Peer Review of Class Assignments and Assessments form)**
    a. Should occur between the 5 – 10th week of the semester
4. Peer conducts classroom observation **(see Peer Observation of Teaching form)**
    a. Should occur between the 5 – 10th week of the semester
5. The instructor and peer have a post-observation conversation **(see Peer Observation of Teaching Conversation Synopsis form)**
    a. Should occur 1- 2 weeks after the classroom observation
    b. Peer shares results of course material review and classroom observation

c. Peer summarizes results of conversation and both peer and instructor sign the form

Preparation for Observation

In order for the peer reviewer to situate a classroom observation within the context of the total course and the instructor's development, a conference should be scheduled. Sometimes, this may be an extended discussion, while at other times, a note or telephone conversation may have to suffice. The following form provides examples of the kinds of information that might be sought from the instructor before a classroom observation takes place.

Pre-Observation Conference Form

Prior to the scheduled observation, the peer reviewer might use the following form (or an adaptation of the form) to structure the discussion of the teaching context with the instructor to be reviewed. Information can focus on class goals, students, learning activities, and particular teaching style. The peer reviewer should request that the instructor bring a copy of the syllabus, text, and any pertinent material to help the reviewer understand the content and cognitive level of the course.

Instructor: ________________________ Date: _______________ Time: _________________
Course Number: _____________ Course Title: ______________________________________
Course Meeting Time: _____________ Level of Students: _____________________________

1. What are the goals for the class that I will observe?
2. What are your plans for achieving these goals?
3. What teaching/learning activities will take place?
4. What have students been asked to do in preparation for this class?
5. Will this class be typical of your teaching style? If not, why?
6. (For formative review) What would you like me to focus on during the observation?
7. Are there other things that I should be aware of prior to the observation?

<u>Peer Evaluation Form</u>

Peer Review of the Syllabus

4=Strongly Agree   3=Agree   2=Disagree   1=Strongly Disagree   NA=Not Applicable

Syllabus Areas	**Best Practices**	**4**	**3**	**2**	**1**	**NA**
Course Information	The objectives are appropriate to the course.					
	Class materials are appropriate to the course.					
	The syllabus provides clear roadmaps for the course.					
	Course Policies are clearly stated (e.g., criteria for grading, makeup exams).					
	Required university statements are present (e.g., academic misconduct).					
	Criteria for grading are clearly delineated.					
Instructor Information	The percentage of the grade for course assignments and exams is clearly stated.					

Comments:

Peer Review of Class Assignments and Assessments

4=Strongly Agree 3=Agree 2=Disagree 1=Strongly Disagree NA=Not Applicable

Areas	Best Practices	4	3	2	1	NA
Class Assignments	The assignments probe different student skill sets.					
	Assignments are clearly aligned with course objectives.					
	Assignments are spread appropriately across the semester.					
	The difficulty of assignments across the semester is appropriate for the course level.					
	The workload required by the assignments is appropriate to the credit load for the course.					
	The instructions for these assignments are clear.					
Assessments	The assessments probe different student skill sets.					
	Assessments are clearly aligned with course objectives.					
	The difficulty of assessments is appropriate for the course.					
	The instructions for these assessments are clear.					
	Criteria for each assessment are clearly delineated.					

Comments:

Peer Observation of Teaching

Context or Background Information: Describe the setting in which the lesson took place, relevant information about the makeup of the class, and any other descriptive characteristics that would provide appropriate context to the observation.

Description:

Observation Area 1: Instructor Goals/Intentions for Class Session

Focus your comments on whether the goals were: 1) clearly stated or portrayed in an obvious fashion, 2) appropriate to the focus of the course, 3) explicitly connected to the flow of previous or future classes.

Comments:

Observation Area 2: Student engagement with the subject matter

Examine the degree to which student engagement occurred 1) over a substantial portion of the class meeting time, 2) by a broad segment of students attending the class, 3) in appropriate forms such as discussion, listening/processing, performing, reading, reflecting, speaking, or writing.

Comments:

Observation Area 3: Examination of student achievement of goals

Focus your comments on how the instructor developed an understanding of student achievement of goals by methods such as 1) questioning students on course material, 2) observing student performance(s), 3) student-student discussion, 4) informal assessment techniques, 5) quizzes, or 6) other methods.

Comments:

Post-Observation Questions

This conversation with the peer faculty member would occur after the class and prior to providing the written feedback.

The following are examples of reflective questions that are often used in post-classroom observation discussions:

1. Tell me how you think today's class went.
2. Did the lesson proceed in the way you had planned? Why?
3. Did the students react to the lesson in the way you thought they would?
4. During the lesson, did you feel confident and enthusiastic? Why?
5. Do you think the students learned all that you wanted them to learn in this session? What brings you to that conclusion?
6. What did you do to encourage the students to actively participate in the lesson?
7. What did you learn about teaching from this class?
8. What did you learn about student learning from this class?
9. What targets for improvement have you set yourself for this class, and are they realistic?
10. If you taught this class again tomorrow, what would you do differently? and why?

NOTE: Choose two or three of these questions that will help you get feedback from the faculty member. Don't use all of them at one time.

Adapted from: Killen, R. (1995) "Improving Teaching Through Reflective Partnerships." *To Improve the Academy,*

Peer Observation of Teaching Conversation Synopsis

Summary of conversation: What are the peer observer's specific recommendations and instructor's planned future actions related to setting goals, actively engaging students, and assessing student achievement of goals?

Instructor Name (Printed) Date

Instructor Signature

Observer Name (Printed) Date

Observer Signature

CNS Annual Review Guidelines and Timeline

1. **Review committee:** overseen by the budget council. It is not necessary for the entire budget council membership to do the reviews. It would be practical to have the subcommittee that determines merit raises also do the reviews, since merit raises should be linked to the review process. This could also be the faculty workload committee or the two committees could work together to ensure that the expectations set by the workload committee are consistent with determining the ratings.

2. **The review process:**
   1. Collect assessment materials* (by Oct. 1)
   2. The committee reviews the materials and determines the category for each faculty member
   3. Results (list of faculty and their ratings) are communicated to the Chair and Dean (by Dec. 1). Either or both may further review the materials and make a separate recommendation but may not change the original recommendation.
   4. Chair communicates results to the faculty member in writing, stating the rating category and advising the faculty member of any areas that need improvement (Jan. 15). The department chair rating shall be final in the event of a disagreement with the review committee. The communication to the faculty member shall clearly articulate the basis for disagreement with the committee evaluation.
   5. The faculty member may prepare a written response and submit it to the department chair within ten (10) working days of receiving the written evaluation results. The response will be included with the permanent record of evaluation. Faculty have the right to meet with the review committee, to submit additional materials and invoke standard appeal procedures.
   6. If the rating is “does not meet expectations” or “unsatisfactory”, a written development plan is established within 30 days (Feb. 14).
   7. The department will monitor progress on the development plan during the following year.

* Materials for the year under review are to be assessed:

- Annual Faculty Activity Report (FAR)
- Current curriculum vita
- Student evaluations of teaching, including all written student comments
  - Peer teaching observations (peer review should be annual for assistant professors, since those evaluations will be needed for promotion and tenure. It is not essential to have annual peer reviews of more senior faculty, but these should be done periodically.)
  - Any documentation directly relevant to the record of teaching, scholarship, or service
  - Information submitted by the faculty member

2013-14 Guidelines for Annual Review of Faculty

1. Introduction

The annual evaluation of faculty is required by Regents' Rules 30501, 31102, and Handbook of Operating Procedures 2-2150, all of which establish that the overriding purpose for faculty evaluation is to support tenure and promote faculty development. UT Austin is recognized for the outstanding quality of its faculty; therefore it is expected that the vast majority of faculty will be found to meet or exceed expectations as a result of annual review. The following guidelines are to be used for reviews conducted during academic year 2013-14.

2. Purpose

The annual evaluation is conducted to:

- provide guidance for continuing and meaningful faculty development,
- assist faculty to enhance professional skills and goals,
- refocus academic and professional efforts, when appropriate,
- provide assurance that faculty members are meeting their responsibilities to the University and the State of Texas, and
- form a basis for determining merit raises, honors, awards, and other types of recognition.

3. Responsibility and Scope

a. Annual evaluation shall be overseen by the departmental budget council, extended budget council, or executive committee, and is subject to the review and comment of the department chair or dean in a non-departmentalized college or school.

b. All active faculty members, tenured and non-tenured, shall be evaluated annually with the following exceptions:
   - faculty who are on approved, non-academic leave without pay for the entire academic year under review,
   - tenured faculty who are undergoing a six-year comprehensive review,
   - faculty who are 100% in an administrative position, and
   - non-tenure track faculty who are assigned less than 50% time for the review period.

c. Annual reviews for department chairs and program directors may be conducted by the department or the dean according to existing practice.

d. Annual reviews shall focus on individual merit relative to assigned responsibilities, and the basis of the review is the record of teaching, scholarship, and service. The following materials for the year under review are to be assessed:
   - Annual Faculty Activity Report (FAR)
   - Current curriculum vita
   - Student evaluations of teaching, including all written student comments

- Additional materials as available, such as
    - peer teaching observations
    - any documentation directly relevant to the record of teaching, scholarship, or service
    - information submitted by the faculty member

4. Review Categories

    a. Each faculty member being reviewed shall be placed in one of the following categories:
        - Exceeds expectations – a clear and significant level of accomplishment beyond what is normal for the institution, discipline, or unit.
        - Meets expectations – level of accomplishment normally expected.
        - Does not meet expectations – a failure beyond what can be considered the normal range of year-to-year variation in performance, but of a character that appears to be subject to correction.
        - Unsatisfactory – failing to meet expectations in a way that reflects disregard of previous advice or other efforts to provide correction or assistance, or involves prima facie professional misconduct, dereliction of duty, or incompetence.

    b. The rating assigned shall be an aggregate based on overall judgment of the faculty member's activities.

    c. To the extent that funds are available, annual evaluations shall be used in determining merit increase recommendations.

5. Evaluation Results

    a. The results of the evaluation shall be communicated in writing to the faculty member by the department chair or dean in a non-departmentalized college or school and shall reflect the judgment and state the ratings of both the review committee and department chair or dean in a non-departmentalized college/school.
    b. The department chair or dean in a non-departmentalized college/school rating shall be final in the event of a disagreement with the review committee. The communication to the faculty member shall clearly articulate the basis for disagreement with the committee evaluation.
    c. The written communication shall advise the faculty member of any areas that need improvement.
    d. If the overall rating is unsatisfactory, the communication shall also include a brief statement that identifies the area(s) of unsatisfactory performance and basis for the evaluation. The statement shall refrain from speculating on the reasons why the performance is unsatisfactory.
    e. The faculty member may prepare a response and submit it to the department chair or dean in a non-departmentalized college/school within ten (10) working days of receiving the written evaluation results. The response will be included with the permanent record of evaluation.

6. Faculty Development Support

    Faculty members, regardless of review category, whose performance in one or more areas of contribution indicates they would benefit from assistance may be placed by a department chair or dean in a non-departmentalized college/school on a development support plan and referred to available institutional support, such as teaching effectiveness assistance, counseling, or mentoring in research issues/service expectations. Establishing a development support plan is not a disciplinary action. It is an instrument for committing to specific professional development goals and strategies for the upcoming year.

7. Unsatisfactory Rating

a. A faculty member whose overall performance is deemed unsatisfactory shall work with the department chair or dean in a non-departmentalized college/school to establish a written development plan within thirty (30) days of receiving the written evaluation.
b. The development plan shall be established with the goal of raising the faculty member's performance to an acceptable level and include tangible goals for evaluating improved performance.
c. The department shall monitor progress on the plan during the following year.
d. If performance is unsatisfactory for two consecutive years, the individual may be subject to a comprehensive review or disciplinary action, if appropriate. Prior to any further action being taken, affected faculty members shall be notified in writing and informed of their right to appeal as described in Section 10.

8. Disciplinary Action

If incompetence, neglect of duty, or other good cause is determined to be present, appropriate disciplinary action, up to and including review for possible termination, may be initiated in accordance with due process procedures of the Regents' Rules and Regulations Rule 31008 and Handbook of Operating Procedures 2-2310.

9. Authority and Responsibility of Department Chair/Dean

Notwithstanding all of the above, department chairs and deans of non-departmentalized colleges or schools are responsible for the academic quality of their instructional programs and activities, and are expected to act whenever necessary to maintain their programs at the highest possible level.

10. Appeals

a. Nothing in this document is intended to alter faculty members' rights to avail themselves of existing appeals channels, including the next higher administrative level, the Faculty Grievance Committee, Committee of Counsel on Academic Freedom (CCAFR), and the Faculty Ombudsperson.

b. A faculty member may request review for procedural irregularities or academic freedom violations by submitting a request to the CCAFR Chair. A request for review should describe the procedural irregularity being asserted and/or the alleged violation of academic freedom and how it impacted the evaluation outcome.

c. CCAFR shall not review disputes about professional judgments concerning the merits of the faculty member's record.

11. <u>Monitoring</u>

In its role as overseer of the faculty evaluation process, CCAFR shall monitor this review process and report its findings annually, shall receive and advise on such problems or issues referred to it by any member of the faculty, the provost, the president, the chancellor, or the Board of Regents, and shall make whatever recommendations it considers appropriate to improve the process.

Third-Year Review

Departments are required to conduct a comprehensive review of performance of all tenure-track faculty approximately three years after their initial appointment as an Assistant Professor. The review should be done no earlier that the beginning of the 6th semester and no later than the end of the 7th semester. This review must address accomplishments of the candidate in the areas of:

Research and Scholarly Activity
Publications since arriving at UT, Grants support at UT, Graduate student supervision

Teaching
The assessment of teaching must be done every year. It should include peer evaluations conducted by at least two different faculty members and include several different meetings of two or more different courses.

Service
Any service to the Department, College or University should be documented. Service to the research community, national organizations, and local community can also be considered.

The review must be both evaluative and consultative, but in keeping with long-established practice, each Department has some latitude in structuring the process to suit its own culture and purposes. Departments may choose, for example, to conduct the review in a candidate's 6th or 7th semester in rank; to charge either the full Budget Council or an ad hoc committee with the task of performing the review; to review either a full dossier equivalent to that ordinarily presented for promotion, or a more abbreviated dossier that includes the curriculum vitae, published works and ancillary materials necessary for an assessment of teaching; and to seek or to forego external letters of evaluation. The chair of the candidate's Department is responsible for providing written feedback to the candidate and, together with a member of the review committee, for meeting with the candidate to discuss the report. The Chair needs to provide a written statement that this meeting has occurred. A written report on the review must be submitted to the Dean of the College by June 15th of the candidate's third year in rank or by Dec. 15 if the review is conducted in the fall. The reports are commonly no longer than two pages, but should summarize all relevant information. The report must include a brief description of the process that was employed, including how the review committee was constituted, what materials were reviewed and the conclusions that were reached, including any recommendations in problem areas. The candidate should be given the opportunity to provide a separate document responding to the report. The Dean's Office must receive copies of any written evaluations or other materials that are given to the persons reviewed and of any responses provided. This policy is made available to all newly appointed tenure-track faculty at the time of their appointment.

A well-designed third-year review is critical to the progress of the Assistant Professor and can help avoid unexpected results of a subsequent promotions and tenure review.

Third year review for NTT faculty

After 5-6 semesters of teaching, the lecturer will receive a full review of performance, including teaching, service, and research. The review should be done by a faculty subcommittee, and, where possible, a senior lecturer shall be a member of the committee. The review should include analysis of peer reviews, CIS, the lecturer's teaching statement and self-reflection and any other materials submitted by the lecturer in a Teaching Portfolio.

The results of the 3rd year review should be communicated in a meeting between the department chair or designee and the faculty member. At this time, there should also be a discussion of the future role of the NTT faculty member in the department. If the faculty member is meeting or exceeding expectations and wishes to be on track for promotion to senior lecturer, the chair should inform the lecturer of the requirements for promotion. If the NTT faculty member is not either meeting or exceeding expectations, the contract should not be renewed.

Comprehensive Periodic Review

The Comprehensive Periodic Review is performed six years after the promotion and tenure review and thereafter every six years. Below is an overview of the procedures. Please see the Provost's Comprehensive Periodic Review Guidelines and visit the Handbook of Operating Procedures to review the policy on periodic review.

Review Committee: The committee shall be comprised of three or more faculty members normally holding the rank of Full Professor, either elected by the faculty or appointed by the department chair. This could be a modified P&T Committee or a separate standing committee. However, they should be representative of the faculty as a whole and have experience and skill in a variety of areas of concern, in particular teaching, research, and service (at the departmental level or higher).

Review process:

1. Mar 31: Faculty members are notified/reminded of review process
2. July - Aug: Faculty members are given copies or access to previous annual reports, statistical summaries, etc. to verify
3. Oct 1: Faculty member submits a current CV and other materials
4. Oct - Dec: Committee meets and reviews materials*
5. Feb 1: Written report due to faculty member, department chair and dean
6. Feb: Dean either forwards summary report to provost or appoints a college-level committee
7. Aug 1: CNS college-level committee report due; outcome reported to the faculty member, the department chair, and the provost

Reports: Faculty members being evaluated will be told what items will be considered in the evaluation and asked to verify that records used in the evaluation process are up-to-date. Furthermore, they will be offered an opportunity to meet with the committee, prior to the completion of the evaluation, submit additional material or comment on the committee's findings. *Please note if the faculty member is the holder of an endowment that the endowment will need to be reviewed at this time as well*. Upon completion of its review, the committee will present to the department chair a written report on its findings. The report will document the faculty member's contributions to teaching, research, and service during the evaluation period (preceding six years). The report must assign one of the following category ratings:

- *Exceeds expectations* – a clear and significant level of accomplishment beyond what is normal for the institution, discipline, or unit.
- *Meets expectations* – normally expected level of accomplishment.
- *Does not meet expectations* – a failure beyond what can be considered the normal range of year-to-year variation in performance, but of a character that appears to be subject to correction.
- *Unsatisfactory* – failing to meet expectations in a way that reflects disregard of previous advice or other efforts to provide correction or assistance, or involves prima facie professional misconduct, dereliction of duty, or incompetence.

In the case of an *Unsatisfactory* or *Does not meet expectations* evaluation the evaluation committee's report to the department chair shall provide sufficient written documentation to identify the area(s) of unsatisfactory performance and the general basis for the committee's decision. For either of these categories, a remediation plan is developed, discussed with the faculty member, and submitted to the Dean.

Submittal: The department chair will communicate the full contents of the report to the person who was reviewed, as well as to the Dean of the College of Natural Sciences. The chair may provide additional narrative regarding the review if desired. The Dean may assign a college-level committee for further review if needed.

* Materials for the year under review to be assessed:

- Previous and current annual faculty activity report (FAR)
- Current curriculum vita
- Student evaluations of teaching, including all written student comments
- Results of previous annual reviews for the evaluation period
- Any additional materials faculty member wants considered by the committee.

Reviewed of endowed chair or professorship holder

For faculty who hold endowed chairs or professorships, the review should also include a review of this position. It should be determined whether the result of the review is consistent with the expectations of an endowment holder. The summary of the review should include a recommendation concerning renewal of the endowed position. New appointments to chairs and professorships are for a defined period of time and include provisions for review. It is reasonable to include this as part of the overall comprehensive review process.

Remediation plans are developed for any faculty member receiving and Annual Review or Comprehensive Periodic Review rating of *Does not meet expectations* or *Unsatisfactory*.

Elements of the plan:

1. The plan should describe the specific areas that need improvement or resulted in an unsatisfactory rating by the review committee.

2. The plan should indicate what the faculty member needs to do to meet departmental expectations. The plan can focus on specific areas of improvement or on shifting responsibilities within the department. For example, the plan can specify that the faculty member will submit a grant for external funding, submit a manuscript that is in preparation, seek help with teaching from a colleague or the Center for Teaching and Learning, or attend specific teaching workshop. For faculty who have become less research active, the plan may indicate emphasizing a more active role in teaching and service. Teaching an additional course, working on curriculum reform or modernizing specific courses, serving on department committees, increasing student advising activities or other needs of the department can all be considered.

3. The plan should allow the faculty member to become a more active contributor to the department and the discipline.

The chair should discuss the remediation plan with the faculty member and both should sign the plan. A copy of the plan is sent to the Dean. Subsequent annual reviews of the faculty member should include an assessment of whether the terms of the remediation plan have been fulfilled.

Faculty appointments

- Rate for all faculty positions is 9 month basis.
- Faculty are appointed September 1 - August 31 to allow insurance coverage over the summer.
- Primary and joint positions must have a rate established, even if 0%.
- An individual can have only one faculty title and rate.

Supplements

- All salary supplements are 9-month basis. Supplements cannot be paid in the summer.
- Salaried supplement (Endowed): holder and fellow supplements on endowed accounts are considered part of the total compensation for summer salary.
- Non-salaried supplements are temporary supplements given for special circumstances and are not counted in calculation of summer salary.

Promotion increases

Promotion to	Salary increase
Professor	$10,000
Associate Professor	7,000
Clinical Professor	3,500
Clinical Associate Professor	2,500
Professor Clinical Nursing	3,500
Associate Professor Clinical Nursing	2,500
Distinguished Senior Lecturer	3,500
Senior Lecturer	2,500
Academy of Distinguished Teachers	7,500

Teaching overload

- University employees may not receive overload pay (more than 100% time) for teaching organized courses.

Summer compensation

- T/TT faculty remain on faculty position for all instructional and research activities
- NTT faculty research activity may be processed on faculty title if required (e.g. clinical nursing); otherwise use research title.
- Summer rate is academic rate plus salaried supplement as of 5/31
- The Dean establishes summer compensation for department chairs and directors
- Summer teaching stipend is 1/6 of academic rate per course
- CNS establishes the summer salary cap. The differential can be made up with discretionary funds in non-teaching activities.
- Summer compensation can be from non-teaching activities including research activities paid from grants.

Merit Raises

The proposed merit raise pool will be communicated to the departments by the Dean in the fall. All faculty raises are contingent on the President's policy and availability of funds, and final decisions are not made until the summer. However, it is practical to plan for the raises at the time the annual reviews are done in late fall; merit raises must be consistent with the annual review results that are communicated to the Provost in December. Relative rankings and additional criteria can be incorporated into the annual review process for determining proposed raises. These raises are based on:

1. Merit
2. Equity
3. Correcting historical imbalances and compression

The merit review committee may be the same committee that does the annual reviews or it may be the full budget council or subset of the budget council. If materials in addition to those used for the annual reviews are used for merit raise determinations, the faculty should be informed of this and of the general criteria used for determining raises. The chair may make a separate recommendation to the Dean if he or she disagrees with the proposed raise distribution.

Faculty should not be informed of the raises until the chair is informed that the raises have been approved by the Provost.

It is important to recognize faculty accomplishments and contributions to the University and the larger community. Chairs play an important role in helping reward the faculty by nominating them for research, teaching and service awards.

1. Appoint a departmental awards committee. This provides a convenient way to make sure faculty are nominated for all appropriate awards. The committee should maintain a list of submission dates for awards given by the University and local and national organizations with which your faculty are affiliated. The committee should identify candidates for awards and help with the preparation of the dossier.

2. Ask faculty to submit and update yearly their CVs, teaching statements, research statements, letters of appreciation from former students or colleagues and any other material that form the basis for most award applications. Many of these are normal parts of the faculty member's file, but they may not think about letters or other information that can augment an award application. The awards committee can review the files each semester and identify candidates in sufficient time to assemble well-prepared dossiers.

3. Ask award winners to make copies of their applications available for future applicants to use as a model.

4. Encourage faculty to serve on University award committees. They can help the department understand what the committees are looking for in the files.

4. Recognize and celebrate award winners.

Promotion and Tenure



a. Department Chair responsibility
b. CNS committee
c. Preparing the dossier
d. Budget Council assessment
e. Chair's letter
f. Requests for extension of the probationary period
g. Appeal, reconsideration, grievance

CNS Promotion and tenure timeline

May: Preliminary list of faculty up for promotion due to Dean's office. Meet with faculty to solicit names of potential reviewers. Candidates prepare CVs and materials to send to reviewers. Assign budget council subcommittees to prepare assessments.

Early summer: Solicit external reviews.

July - Final list of promotion and tenure candidates due to Provost's office.

August - Candidate reviews file for accuracy prior to inclusion of external letters and budget council assessment. The candidate also reviews the final list of external reviewers.

August - early September: Subcommittees review files and prepare written assessments. Promotion candidates present seminar to the department.

Mid-September: Budget Councils vote on promotion and tenure cases. Chairs prepare Chair's letters.

September 22: Promotion materials due to Dean's office. Files are uploaded to the Provost's office website

October 13, 14: Full CNS P&T Committee meetings. Chairs should be available to provide information to the CNS P&T Committee regarding the decisions made at the department level

October 30: Final CNS P&T committee meeting, if needed.

November 10: CNS files are due to the Provost's office.

December: President's decisions sent to Dean. Dean and Associate Dean for Faculty Affairs meet with candidates and department chair to communicate decision.

- Meet with the candidate to explain the process.
- Develop a list of outside reviewers with input from the candidate
- Allow candidate to review list **before** solicitation letters are sent
    - Department chair should consider candidate objections or concerns, but has the final say over selection
    - Candidate may place statement in the file
- Ask the candidate to check materials in the file **before** budget council review (excluding budget council statements and external review letters)

Candidate may see the other materials if explicitly requested. Candidate's review of the file should be supervised and copying of materials is not permitted. The candidate must submit a written request to the Provost's Office to obtain copies.

CNS Promotion and Tenure Committee

Composition of the committee
The dean, in consultation with the department chairs, appoints the members of the CNS Promotion and Tenure Committee; these individuals will be faculty with the highest standards of excellence, international reputations, and a commitment to in-depth, critical review of P&T dossiers. Rather than having one member of each department, the size and composition of the committee is determined by the number and department affiliations of the faculty candidates. A department may not have a representative in some years and could have more than one member on the committee in other years. In addition, one Distinguished Senior Lecturer, elected by the lecturers in the college, serves on the college committee and reviews and votes on file for promotion in the lecturer ranks.

Goal
The goal of the promotion process is to provide a thorough and objective review of the substance and merits of each faculty member's case. The standard for promotion is that it will benefit the department, college and university. For promotion with tenure, the guideline is that there is (1) evidence that contributions of appropriate magnitude and distinction in teaching, research, and service have been made, AND (2) evidence that such contributions can be sustained through an extended career with the university. The files that you will consider have been reviewed by the budget council and department chair. You are asked to provide an independent review, reflecting your professional judgment of the strength of the case. The files will be further reviewed by the Dean and the central administration, with the President making the final decision. Each step in the review should add value to the process.

College Committee process
Each file will be assigned to a subcommittee for thorough review. Subcommittees then meet, prior to the full committee meetings, to discuss their recommendation on the case and to draft a written summary of the case. This summary is incorporated into the Dean's statement to the presidential committee. Each member of the committee will read every file and participate in the discussion of each case.

At the beginning of the discussion for each case, a representative of the department will be present to explain the department's voting position on their cases to the college P&T committee and to answer questions from committee members. Then one member of the subcommittee will present the case and the subcommittee's recommendation to the full P&T committee. Critical questions and a thorough discussion of a case's merits and weaknesses are expected. Members of the candidates department will not be present during the discussion. If the committee decides that additional information is needed, the vote on a case is delayed until the final meeting (two weeks later) to allow time to gather the needed information.

Tenure track faculty

The promotion dossier should be prepared according to the Provost's guidelines, which follow. Additionally, these points should be noted:

- Candidates submit a list a potential external reviewers to the chair. They may also indicate reviewers they prefer not to be used. The choice of reviewers is ultimately up to the department but the candidate's objections should be noted.

- Candidates review their files for factual information and completeness and see the final list of external reviewers prior to the budget council vote. If the candidate objects to the inclusion of a reviewer or finds inaccuracies in the file, he or she may include a statement as supplementary information in the dossier.

- The dossier should include at least 6 objective external reviews. The reviewers should not be former mentors or collaborators.

- The dossier should include indicators of the impact of publications. These are citation indices and journal impact measurements. The Dean's office will provide specific instructions for preparing this.

Non-tenure track faculty

The University's recommendations for NTT faculty advancement http://www.utexas.edu/provost/research/non_tenure/ (2005 Hart) provides the following information.

Recommendations of the Implementation Committee on the Status of Non-Tenure-Track Faculty

"For faculty with investment in and ongoing service to the University, there should be a career path with several promotion opportunities and comprehensive performance evaluation. After six years of service, the evaluation would normally include discussion of opportunities and expectations for promotion to Senior Lecturer."

"After 10 years of service in rank, Senior Lecturers may petition to be considered for promotion to Distinguished Senior Lecturer. . . Promotion to Distinguished Senior Lecturer should be reserved for extraordinary service and performance as defined by individual units."

"The recommended comprehensive review for each level does not imply mandatory promotion and candidates should realize that promotion is not automatic. Furthermore, there is no "up or out" requirement. Rather, the review should provide clear feedback about the candidate's strengths and weaknesses, information relevant to decisions concerning contract renewal, and information about the *likelihood* of promotion to a higher rank."

Although some lecturers and clinical faculty prefer to teach only one or two courses a semester and do not want a substantial service component, many see this as a career and want to be fully invested in the department and university. This career path includes the opportunity for advancement and promotion to Senior Lecturer and Distinguished Senior Lecturer. The chair should discuss the potential for promotion with each NTT faculty member at the time of their third-year review and at subsequent reviews.

The standards for advancement to Senior Lecturer

These include sustained excellence in teaching and in at least one other area (service or research). Additional consideration will include the instructor's participation in instructional and curriculum activities beyond his or her classroom. Such activities may include, but are not limited by, the research and service activities listed below. The activities considered for service will be beyond the lecturer's position that counts towards the teaching load.

Teaching:

It is expected that in order to qualify for promotion, a NTT faculty member will "exceed expectations" in most categories in annual reviews. Teaching excellence will be determined by having

- high peer evaluations
- high CIS scores as compared to those instructors teaching comparable courses
- evidence of reflective teaching and efforts for improvement

Evaluation of a lecturer's contributions in the classroom will consider course organization, student engagement, innovation and creativity, and enthusiasm.

Examples of activities for documenting excellence in service or research

Service:
In addition to sustained excellence in teaching, the standards for advancement will include faculty contributions in at least one other area, such as service or research. The activities considered for service will be beyond the lecturer's position that counts towards the teaching load. For example, if academic advising or program leadership is counted towards, or used to reduce, the lecturer's fulltime workload during a long semester, additional service or research would be expected as part of the promotion file.

1 Advising
   - Undergraduate Adviser
   - Honors Advisor

2 Development of innovative teaching technology
3 Sponsor student organization
4 Outreach
  - K-12
  - Community, Local, State/National/International
  - Presentations to the public
  - Judge science fairs and science competition
5 Student Recruitment and Retention
  - orientation
  - admissions
  - boot camp
  - summer bridge
  - assessment for course placement
  - TIP
  - Explore UT
6 Committee membership
  - departmental
  - college
  - UT
  - State, National or International organizations
    - Professional organization: Local/ State/National/International
    - Community organization: Local/State/National/International
7 Administrative
  - directing a program (e.g. Health IT)
  - developing a new program
  - coordinating multiple sections of a course
  - supervising LAs/graders/TAs
  - scheduling courses
  - Undergraduate Curriculum Chair
8 Other Academic Activities
  - Work with CTL Credit by Exam
  - College Board Advanced Placement Course and Exam
  - International Baccalaureate Courses and Exam
  - UIL Exams (High School Academic Competitions)

Teaching, beyond the classroom:

1 Professional development (teaching)
  - participates in workshops, CTL events, etc.
    - UT events
    - off-campus events (including education conferences)
  - informal
    - discussing teaching issues with colleagues
    - sharing resources to improve teaching
  - presentations on teaching and curriculum
    - UT events
    - off campus events

2 Course development (meeting student and departmental needs)
  - majors and service courses
  - honors courses
  - dual credit courses
  - online courses
  - signature courses

3 Innovation
  - Innovative questions, clicker use, case studies
  - delivery of materials outside class
  - flipping, coordination with online resources
  - inquiry-based learning

4 Performing peer observations and evaluations

5 Mentoring

Research

1 Papers
  - refereed
  - non-refereed

2 Books

3 Editor or reviewer for professional journals

4 Grants, external funding

5 Presentations
  - at UT
  - at other institutions
  - at regional/national/international conferences

6 Student research mentoring
  - undergraduate
  - graduate

GENERAL GUIDELINES

FOR PROMOTION AND TENURE OF ALL

FACULTY RANKS FALL 2014

CONTENTS

Section A Overview

A.1 INTRODUCTION

The goal of the promotion process is to provide a thorough and objective review of the substance and merits of each faculty member's case following customary methods. The review must be sufficient in its depth and character to support action in the best interests of the university, whatever the decision reached. To accomplish this, the evaluation process comprises an independent review at multiple levels: budget council/executive committee, department chair, college/school, dean, and central administration. The recommendations at each level reflect the professional judgment of each of those involved, with the president making the final decision.

The following General Guidelines describe the promotion process for tenured, tenure-track and non-tenure-track candidates, and are provided to assist both candidates and academic units with preparation of supporting materials and management of candidate files for promotion. The dean may distribute additional written procedural guidelines and information for preparation of candidate dossiers in his or her college/school and will deliver one copy of any additional guidelines or information distributed to the candidates to the Provost's Office along with the dossiers from his or her college/school. It is recognized that variation in requirements is possible among disciplines and departments. Such variations are considered both appropriate and healthy. Candidates should check with their department chairs or, in non-departmentalized colleges/schools, with their dean regarding the requirements and practices in their area.

A.2 AREAS OF CONTRIBUTION APPLICABLE TO ALL FACULTY:

As described in the Handbook of Operating Procedures (HOP) 2-2160, recommendations for tenure and recommendations for promotion in rank of all faculty are to be based on excellence in performance pursuant to an evaluation of the faculty member's contribution in the following areas:

- Teaching at both undergraduate and graduate levels.
- Research, creative activities, and other scholarly effort.
- Academic advising, counseling, and other student services.
- Administrative and committee service to the department, college, and university and professional public service to the nation, state, and society.
- Other evidence of merit or recognition, such as fellowships, grants, and special honors.

A.3 RECOMMENDATIONS FOR TENURE:

a. The granting of tenure has consequences of great magnitude and long life and must be considered especially carefully. Tenure should be awarded only when there is a clear case that the best interest of the university is served by doing so. In the review process, the candidate's record should be examined for:
   - Evidence that contributions of appropriate magnitude and distinction in teaching, research, and service have been made, AND
   - Evidence that such contributions can be sustained through an extended career with the university.

b. Assistant to Associate Professor:
A recommendation for promotion to associate professor normally is considered in the sixth year of the individual's service as assistant professor (or combined service as instructor and assistant professor). Cases considered before the sixth year in rank are early and should be explained in the department chair's and dean's statements.

An assistant professor must be reviewed no later than the sixth year of the probationary period and be either promoted to associate professor with tenure or placed on terminal appointment for the next year. A year in which a faculty member has been on leave without pay or claimed an extension in accordance with HOP 2-2020 does not count toward the probationary period.

Candidates whose probationary period has been extended under HOP 2-2020 or due to leave without pay in accordance with university family and medical leave policies shall be evaluated as if the work were done in the normal period of service.

c. Associate Professor or Professor Without Tenure:
The tenure status of individuals appointed to the associate professor or professor ranks without tenure must be reviewed no later than the third year of probationary service. Associate professors without tenure may be considered either for tenure in the rank of associate professor or for tenure and promotion to full professor simultaneously.

A.4 ASSOCIATE PROFESSORS (with tenure):

Associate professors with tenure may be considered for promotion to professor during any year deemed appropriate by the budget council and department chair. Promotion before six years in rank have elapsed is considered early and should be explained.

Right of Consideration. As provided in HOP 2-2160, tenured associate professors with ten years or more in rank can invoke their right to be considered for promotion to professor. To invoke this right of consideration for a given promotion cycle, associate professors must advise their department chairs in writing by February 1. These cases will be considered at all levels unless a faculty member withdraws the case before the final vote of the budget council is taken. If promotion is not awarded, the right may be exercised again after five years of service.

A.5 INSTRUCTORS IN A PROBATIONARY STATUS:

Instructors in their second or third year in rank who become eligible for promotion to assistant professor as a result of obtaining their Ph.D. must be forwarded for review at all levels. The dossiers should demonstrate satisfactory progress while in the rank of instructor. All instructors in their third year of probationary service require formal review regardless of whether they have received the Ph.D.

Instructors who complete the Ph.D. during the first year of academic service do not require review. Formal documentation that the degree has been awarded should be submitted to the Provost's Office and the title will be changed to assistant professor effective September 1 of the second year.

A.6 NON-TENURE TRACK RANKS:

Non-tenure track faculty members assist the institution in meeting a variety of critical needs related to the university's overall mission. Performance expectations for these faculty, however, are not as encompassing in scope as those for tenure-track faculty. Although all contributions and accomplishments of non-tenure track candidates should be evaluated where applicable, special emphasis is to be given to teaching performance and at least one other area of contribution for faculty in lecturer, clinical, and adjunct titles, and to research activity and other academic contributions for faculty in research professor titles.

a. Lecturer Titles
Recommendations for promotion of lecturer or senior lecturer may be considered after the individual has served in his or her current rank at the university for at least six years. Cumulative service in rank may be either full time or part time. Recommendations for early promotion should be explained and justified.

The principal role of faculty in the lecturer titles is providing instructional service that augments and complements that of the tenured and tenure-track faculty. Thus, exceptional teaching performance is expected and a well-documented record of teaching excellence is required for all such candidates for promotion. The budget council statement for each department or academic unit should describe the local rating criteria and service norms for teaching and demonstrate that the candidate's level of teaching service is above the departmental average. In addition, an adequately documented record of significant accomplishment in at least one of the other areas of contribution consistent with the terms of employment is required for promotion to senior lecturer.

The title of distinguished senior lecturer is reserved for individuals who, in addition to teaching excellence, have a sustained record of significant accomplishment adequately documented in at least one of the other areas of contribution consistent with the terms of employment.

b. Clinical and Adjunct Titles
Recommendations for promotion of adjunct assistant professor, adjunct associate professor, clinical instructor, clinical assistant professor, clinical associate professor, instructor of clinical nursing, assistant professor of clinical nursing, and associate professor of clinical nursing, may be considered after the individual has served in his or her current rank at the university for at least six years. Cumulative service in rank may be either full time or part time. Recommendations for early promotion should be explained and justified.

The principal role of faculty in the clinical and adjunct titles is providing instructional service that augments and complements that of the tenured and tenure-track faculty. Thus, exceptional teaching performance is expected and a well-documented record of teaching excellence is required for all such candidates for promotion. The budget council statement should describe the local rating criteria and service norms for teaching and demonstrate that the candidate's level of teaching service is above the departmental average. In addition, a record of accomplishment in at least one of the other areas of contribution consistent with the terms of employment is required and must be documented in appropriate ways.

c. Research Professor Titles
Recommendations for promotion of research assistant and research associate professors may be considered after the individual has served in their current rank at the university for at least six years. Cumulative service in rank may be either full time or part time. Recommendations for early promotion should be explained and justified.

The contribution of faculty appointed as research assistant and research associate professors is principally in the area of research. A well-documented record of research excellence is required. In addition, a record of active contribution to the academic enterprise in other ways is required and must be adequately documented.

Section B Roles and Responsibilities

B.1 PROCEDURAL RESPONSIBILITIES OF DEPARTMENT CHAIR OR DEAN

Department chairs, or deans in a non-departmentalized college, are responsible for preparing the candidate's file for review and should familiarize themselves with these Guidelines and any other written guidelines provided by the department and/or college. In the spring semester before a faculty member is to be considered for promotion, the department chair, dean, or their designee shall meet with the candidates to explain the process and advise them to become familiar with the applicable guidelines, discuss relative responsibilities for compiling dossier information, and discuss candidate access to materials as detailed in section B.3.

a. Selecting Referees. The department is responsible for developing a list of peer reviewers with input from the candidate (see Section C.8.e). The reviewers should be from peer institutions/programs and must be at arm's length from the candidate (e.g., not former dissertation chairs/advisors, postdoctoral mentors, coauthors, and/or collaborators). Prior to sending out the solicitation letter to the referees, the chair or dean shall ask the candidate to review the list of individuals to be contacted. After considering concerns that may be expressed by the candidate, the department has final say over reviewer selection. The candidate may place a statement in the file to document any concerns he or she may have about reviewer selection (see Additional Statements, section C.9).

b. Review of Materials. Before the departmental committee considers a case, the chair or dean shall ask the candidate to check the materials in the promotion dossier except for the internal and external peer reviews of teaching, scholarship, and service. If the candidate believes that the file is incomplete or includes inappropriate material, or if the candidate has any other objection to the process, the chair, dean, or their designee shall either correct the problem or include a statement in the file about the problem and why it was not addressed as the candidate requested. The candidate may also place a statement in the file about the problem or other aspects of the case.

c. Additions to the Dossier. All factual information relied upon in the promotion and tenure decision process shall be included in written form in the promotion dossier. All information in the curriculum vitae is considered to be included in the dossier by reference. When such information is added to the promotion dossier after the department chair has asked the candidate to check the materials in the promotion dossier, it shall be date stamped and placed in a separate folder labeled Additional Statements (see section C.9). The candidate shall be informed of its inclusion and permitted an opportunity to place a statement in the file addressing this addition. All administrative parties (budget council/executive committee, department chair, college/school advisory committee, ORU director or dean) having already reviewed the dossier will also be notified of the inclusion of the additional materials. Notification is not necessary for the addition of required statements to the promotion dossier during the regular review process by a budget council/executive committee, department chair, ORU director or dean.

d. Issues Beyond the Scope of the Promotion and Tenure Process. In rare cases, a tenure or promotion review may raise issues that the tenure and promotion process is not well suited to resolve. For example, an accusation about academic integrity may be relevant to a decision about tenure or promotion, but may be difficult to resolve adequately in the tenure and promotion process. In such cases, the chair or dean, in consultation with the provost and president, may delay the tenure and promotion process until the matter is resolved by an appropriate body separate from the tenure and promotion process.

B.2 CANDIDATE'S RESPONSIBILITIES

a. Dossier Preparation. Candidates should familiarize themselves with these Guidelines and any other written guidelines provided by the department and/or college with respect to the promotion process and dossier assembly. Consult with the department chair (or designate) about the relative responsibilities for compiling the information.

b. Review Referee List. The candidate shall provide the chair/budget council with a list of recommended individuals to provide peer review letters (see section C.8.e). The candidate shall review the list of individuals selected prior to the chair or dean sending out the solicitation letter. Concerns about any reviewers on the list may be expressed to the department chair, but the department has final say over reviewer selection. The candidate may place a statement in the file to document any concerns he or she may have about reviewer selection (see Additional Statements, section C.9).

c. Review of Materials. The candidate should check all the materials in the promotion dossier except for the internal and external peer reviews of teaching, scholarship, and service before the departmental committee considers a case. If the candidate believes that the file is incomplete or includes inappropriate material, or if the candidate has any other objection to the process, the chair, dean, or their designee shall either correct the problem or include a statement in the file about the problem and why it was not addressed as the candidate requested. The candidate may also place a statement in the file about the problem or other aspects of the case (see Additional Statements, section C.9).

d. Supplemental Materials. Candidates have the discretion to include any materials that they believe are relevant to the promotion or tenure decision (see section C.10).

B.3 CANDIDATE'S ACCESS TO PROMOTION FILE MATERIALS

Under state law, the university may not keep the contents of the promotion file confidential and a faculty member may request and would then be allowed to inspect any material in his/her promotion dossier at any time during the promotion process.

a. Informal Access. Informal access to the promotion file is provided to a candidate upon request as soon as is feasible, but not later than three (3) business days. Requests for informal access are to be addressed to the department chair, dean, or provost, as appropriate, and no formal open records request is required. Candidates shall be allowed to inspect/review their promotion files at each level with adequate supervision. Copying or photographing materials is not permitted, and no materials may be removed from the promotion files.

b. Formal Access. If the candidate wishes to obtain copies of any materials in the file, the candidate must make a request in writing to the Office of the Executive Vice President and Provost, which may be sent via email to evpp.aps@utlists.utexas.edu. Candidates should call 232-3323 with any questions.

B.4 ASSESSMENTS AND RECOMMENDATIONS

a. Conflict of Interest. A budget council/executive committee or college/school advisory committee member with a potential or real conflict of interest related to a candidate (e.g. spouse, Ph.D. advisor, etc.) is responsible for absenting him/herself from the room during the review and discussion of, and vote on, that candidate.

b. Non-departmentalized College/School

1) Budget Council/Executive Committee Assessment. The budget council or executive committee shall assess the record and prepare a separate statement for each area of contribution listed in section A.2 that is applicable to the candidate. Consideration should be given to the impact of a recommendation to promote, in particular how it would strengthen the college/school. Areas of distinction in the record should be identified, as well as the standards of the field. All votes (i.e., for, against, and abstentions) along with

the number absent are to be recorded on the Recommendation for Change in Academic Rank/Status form. In keeping with the tradition of academic integrity, the vote is taken after the evidence is compiled, not before, and 'follow-on' voting to achieve unanimity is not endorsed. As stipulated in HOP 2-1310, associate and assistant professors are not eligible to vote on any matters affecting promotion from or continued appointment in their own rank or higher ranks, including the decision whether to develop a case for consideration (or reconsideration).

2) Dean's Assessment and Recommendation. The dean is to be present for the budget council/executive committee discussion of each case but does not vote. The dean is to provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service, as applicable, and has the responsibility to describe fairly the rationale for the budget council's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions is neither to identify colleagues by name, nor otherwise impair the voting process. An effort should be made to explain negative votes and abstentions. Unexplained abstentions will be interpreted by the President's Committee as weak negative votes. The dean's statement should provide context to the candidate's accomplishments and address whether and how the candidate's promotion would improve the quality of the college/school. The signed statement is to accompany the dossier to the next level.

c. Departmentalized College/School:

1) Budget Council/Executive Committee Assessment. The budget council or executive committee shall assess the record and prepare a separate statement for each area of contribution listed in section A.2 that is applicable to the candidate. Consideration should be given to the impact of a recommendation to promote, in particular how it would strengthen the department. Areas of distinction in the record should be identified, as well as the standards of the field. All votes (i.e., for, against, and abstentions) are to be recorded on the Recommendation for Change in Academic Rank/Status form along with the number absent. In keeping with the tradition of academic integrity, the vote is taken after the evidence is compiled, not before, and 'follow-on' voting to achieve unanimity is not endorsed. As stipulated in HOP 2-1310, associate and assistant professors are not eligible to vote on any matters affecting promotion from or continued appointment in their own rank or higher ranks, including the decision whether to develop a case for consideration (or reconsideration).

2) Department Chair's Assessment and Recommendation. The department chair is to be present for the budget council/executive committee discussion of each case but does not vote. The chair is to provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service and has the responsibility to describe fairly the rationale for the budget council's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions is neither to identify colleagues by name, nor otherwise impair the voting process. An effort should be made to explain negative votes and abstentions. Unexplained abstentions will be interpreted by the President's Committee as weak negative votes. The department chair's statement should provide context to the candidate's accomplishments and address whether and how the candidate's promotion would improve the quality of the department. The signed statement is to accompany the dossier to the next level.

3) College Advisory Committee. The college advisory committee members should review dossiers before they meet, determine if any required materials are missing or incorrectly prepared, and, as necessary, notify the departments and candidates giving them a reasonable opportunity to address any problems or concerns before the meeting to vote on the case. All votes (i.e., for, against, and abstentions) are to be recorded on the Recommendation for Change in Academic Rank/Status form along with the number absent.

4) Dean's Assessment. The dean is to be present for the discussions of the college advisory committee but does not vote. The dean is to provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service and has the responsibility to describe fairly the rationale for the college advisory committee's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions is neither to identify colleagues by name, nor otherwise impair the voting process. An effort should be made to explain negative votes and abstentions. Unexplained abstentions will be interpreted by the President's Committee as weak negative votes. The dean's statement should provide context to the candidate's accomplishments and address whether and how the candidate's promotion would advance the quality of the department and college/school. The signed statement is to accompany the dossier to the next level.

d. Other Affiliations:

1) Joint Positions. For faculty members with joint positions, each department is to submit forms and assessments and vote on the case, cross-referencing the other position. The departments involved are to share materials collected in support of the case. Where only one college is involved, the dossier is consolidated, with one college advisory committee vote and one dean's statement. Where two or more colleges are involved, forms must be reviewed and acted upon by all deans concerned.

2) Courtesy Positions. Where a faculty member holds a courtesy position and has significant involvement in another department or center, that department chair or director is to provide a letter commenting on the involvement and contributions of the candidate to the programs of the department or center. The letter is included in the dossier following the dean's and the chair's statements.

3) Academic/Research Center, Laboratory, Bureau or Institute. If a faculty member is significantly engaged in the unit's activities but does not hold a courtesy position, the director may comment on the candidate's contributions to the unit. The commentary is included in the dossier following the dean's and chair's statements.

4) Research Faculty. For faculty in the research assistant and research associate professor titles, the director of the bureau, academic/research center, laboratory, or institute where the faculty member holds a position must provide an assessment of the candidate's research performance and other academic and professional contributions. The director's statement is to be provided to the department chair (dean in non-departmentalized colleges/schools) for consideration by the budget council/executive committee in its deliberations and a copy included in the dossier along with the statements of the department chair and dean.

e. Central Administration

1) Presidential Conferences. The dossiers will be discussed with the president, provost, vice president for research, senior vice provost and dean of graduate studies, and dean of undergraduate studies at scheduled times in late November and December. Each dean will attend the conference for his or her school or college. In particularly difficult cases, in order to make a determination in the best interests of the university, the president may request that formal assessments of a candidate's contributions and achievements be sought from additional experts in the field, or that key stakeholders be invited to address questions not resolved by the record presented or in the conference with the dean. See section D for announcement of decisions.

Section C Dossier Assembly (See Appendix A for Checklists)

To facilitate the review process and to ensure completeness and consistency, the dossier is to be assembled in the order and with the supporting documentation specified in this section.

C.1 RECOMMENDATIONS

This section includes the supporting documents related to departmental and college recommendations as described in section B.4. They are to be placed in the following order:

- Recommendation for Change in Academic Rank/Status form
- Dean's statement
- Department chair's statement
- Joint department chair's statement, if applicable
- Courtesy department chair or center director's statement(s), if applicable
- Other academic program and/or research center director's statement(s), if applicable

C.2 CURRICULUM VITAE AND OTHER INFORMATION

This section includes the supporting documentation related to the curriculum vitae, annual Faculty Activity Reports, and leaves of absence.

a. Curriculum Vitae. The candidate's dossier is to include a curriculum vitae (as opposed to a continuous faculty record), containing, among other things, a list of:

- degrees, fields of study, and dates awarded
- professional registrations, licensures, certifications (as applicable)
- all professional appointments
- all advising and related student service
- administrative and committee service, and academic-related professional and public service
- complete publications record with:
  - publications and other evidence of scholarship/creativity listed according to the kind of entry (e.g., books, chapters, articles, reports, proceedings, and other materials)
  - refereed works identified as such
  - the names of the co-authors listed in the order in which they appear in the publication
  - clear designation of the faculty member's role if it is not author (e.g., editor, compiler, translator, or some other role)
  - works that are in preparation, submitted, under review, accepted, under contract or in press clearly labeled accordingly (for works under contract and/or in press, include tentative publication date)
  - beginning and ending page numbers for articles and total number of pages for books
- scholarly presentations
- research contracts/grants/gifts and proposals submitted with:
  - sponsor name
  - project title
  - project/funding period
  - co-PIs and relative effort of each, where appropriate
  - funding amounts (by academic year and amount under candidate's supervision)
  - for proposals, an indication of the status of each (e.g., submitted, approved, funding pending
- patents issued (as applicable)
- other evidence of merit or recognition

Do not duplicate information in the CV in other parts of the dossier unless specified in these guidelines.

b. Co-Authored Works. Provide a separate document indicating who the co-authors are (e.g., current or former students, peers or faculty colleagues at UT Austin or at another institution). For co-authored works involving faculty colleagues or peers, indicate the relative division of labor between the candidate and any co-authors and the contribution of the candidate to the work. If there are no co-authors, insert a separate page stating “No Co-Authored Works.”

c. Works Forthcoming. Provide a separate document listing works that 1) have been accepted, 2) are under contract, or 3) are in press. Each should be supported by letters of acceptance or copies of contracts from editors, publishing houses, producers, galleries or other conduits for scholarly and/or creative work are to be submitted with the file. Include reviews, where available. If there are no works forthcoming, insert a separate page stating “No Works Forthcoming.”

d. Leaves of Absence Without Pay. The department is to provide a list of any full or partial leaves of absence without pay, i.e., funding for the leave was not administered by UT Austin, taken during the applicable period:

Tenure-track:	Entire period in rank
Tenured:	Previous five years (i.e., 2009-10 through 2013-14)
Non-tenure track:	Not applicable

Include only the following information on the list:

- period of each leave without pay
- percent time of each leave without pay
  (Example: Fall 2011: 50%)

Where no leaves without pay were taken, insert a separate page stating “No Leaves of Absence Without Pay.”

Note: The following are NOT leaves of absence without pay:

- leaves from the instructional budget (aka release time from the instructional budget), e.g., Faculty Research Assignments (FRAs), appointments to contracts/grants
- Dean’s Fellowships
- special faculty assignments
- modified instructional duties assignments
- periods of time covered by accrued sick leave

e. Faculty Activity Reports (FAR). Include a copy of the FAR filed by the candidate for each of the last three academic years (i.e., 2011-12, 2012-13, 2013-14).

Faculty who have been at a different institution for any of the past three years may file an annual report submitted to that institution or omit a report for that year.

C.3 TEACHING

a. Budget Council Statement. The budget council must provide a separate document assessing teaching performance that includes both the signatures and typed names of those responsible for preparing it. The statement is required for all tenured, tenure-track, lecturer, clinical and adjunct faculty, as well as research professor faculty that have been assigned a teaching role. The document is to provide an explanation of the evaluation procedures and measures used and the assessment should:

- discuss both student course/instructor evaluations and peer observation reports

- discuss the candidate's willingness to teach courses for which there is strong student demand
- describe the balance between undergraduate and graduate teaching, as applicable
- discuss relevant evidence of merit or recognition for teaching excellence
- describe and provide documentation of organized service learning instruction, as applicable
- reflect familiarity with the teaching portfolio
- describe participation on graduate committees
- describe supervision of postdoctoral students, as applicable
- consider any special circumstances concerning the faculty member's teaching performance, including any innovative contributions described (e.g., innovative teaching methods, use of instructional technology, interdisciplinary teaching, innovative curriculum development activities, supervision of undergraduate special project courses)

In addition to the budget council assessment, the teaching section of each candidate's dossier must contain the following supporting documentation:

b. Teaching Statement. The candidate must provide in four (4) pages or less a personal statement of teaching philosophy, educational goals for the courses taught and how they were accomplished, description of any innovations or unique methods, specific areas of demonstrated improvement, and other material in a manner that will provide colleagues with a context for interpreting other evaluative information.

c. Peer Classroom Observation Reports. These reports are broad observations of the candidate's effectiveness as a teacher at the graduate and/or undergraduate levels by those faculty members conducting the in-class observations. The reports should cover such elements as presentation, course content, organization, clarity of written materials, rigor and fairness of written examinations, appropriateness of methodology, and student outcomes.

Peer observations of classes should be carried out repeatedly in the evaluation period of the candidate, ideally in the same class over the course of multiple semesters. Particular attention should be paid to giving constructive advice during early observations, then following up with specific progress reports in subsequent semesters observing the same class. Include in the dossier all reports of in-class observations conducted while in rank. Observation reports for the fall semester during which the candidate for promotion is expected to be reviewed (i.e., Fall 2014) should not be used unless absolutely necessary (i.e., this is the only semester for which the observation is possible). The budget council is to consider the peer observations in their assessment of the candidate's teaching service record. Each peer observation report is to include:

- number and title of course observed
- date of report
- date of classroom observation
- description of methods by which instructor engages students in learning
- date on which the observation was discussed with the candidate
- constructive advice
- any specific improvement from previous peer observation reports
- name and signature of observer(s)

Information on how to conduct a peer classroom observation is available on the Center for Teaching and Learning's Web page at:
http://ctl.utexas.edu/teaching/peer_review/observation_guidelines

d. Candidate's Instructional Activities. Provide a chart by academic year of all courses taught during the applicable period:

Candidates for tenure and instructors to assistant:	Entire probationary period
All other candidates:	Previous three years (i.e., 2011-12 through 2013-14)

Note: The Center for Teaching and Learning (CTL) will prepare a Summary of Recent Course-Instructor Survey Results through the Spring 2014 term for each faculty member being considered for promotion as reported by the dean. The summary will be based on the basic and expanded CIS forms and will include the applicable period for each candidate.

The Provost's Office will distribute this information to the deans and department chairs in early June, and department chairs/deans should use the summary to comply with this requirement, where possible.

If the dean chooses not to use the CTL Summary, or candidates did not use the basic or expanded form, then the dean is responsible for developing a format for college-wide use.

e. Originals of the most recent three academic years (i.e., 2011-12 through 2013-14) Course-Instructor Survey summary evaluations. Candidates who have taught at other institutions during the last three years may submit evaluations from those courses.

f. Report of graduate student supervision as provided by the Graduate School via the Committee Report on Masters and Doctoral Theses. The Provost's Office will distribute this report to the deans and department chairs in early September for each faculty member being considered for promotion as reported by the dean.

g. Postdoctoral Fellows Supervised. Provide a list of postdoctoral fellows supervised with name, institution awarding the Ph.D., and date conferred. If none were supervised, insert separate page with the statement, "No postdoctoral fellows were supervised."

h. Originals of all Students' Written Comments for the last three years (i.e., 2011-12 through 2013-14) are to be provided in a separate folder clearly labeled (e.g., J. J. Smith - CIS Student Comments), and included with Supplemental Materials (See section C.9).

i. Teaching Portfolio. The candidate (including research faculty whose assigned duties include teaching) is to develop an extensive teaching portfolio for department or college/school review. The portfolio does not accompany the dossier beyond the dean's office. The following items are examples of materials appropriate for a portfolio: syllabi, handouts, problem sets, and other written materials developed for courses; computer-assisted instructional aids; examinations.

For information on compiling a teaching portfolio, candidates for promotion may wish to consult information provided by the Center for Teaching and Learning (CTL) at: http://ctl.utexas.edu/teaching/peer_review/teaching_portfolio Budget council members also are encouraged to consult with CTL staff on how to evaluate a teaching portfolio.

C.4 RESEARCH/SCHOLARSHIP/CREATIVITY

a. Budget Council Statement. The budget council is to summarize research/scholarly/creative contributions in a separate document that includes the typed names and signatures of the members responsible for preparing the statement. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The summary statement should:

- describe which area(s) of the field is the focus of the faculty member's work
- identify and comment on those items that are considered to be of major significance or outstanding quality while in rank at UT Austin or since the most recent promotion, as appropriate.
- include a brief statement of the basis for qualitative judgments in the area or discipline
- describe how the budget council evaluators conducted their review, including the standards used
- be clear about the norms of the field and indicate, for example, the quality of the outlets for a candidate's work (i.e., journals, presses, art galleries, performance venues, etc.)
- explain the norms of co-authorship, where applicable, and whether a peer review was involved
- explain, where applicable, reasons for counting non-traditional outlets favorably for research/scholarly/creative activity, (e.g., textbooks, continuing education presentations, governmental or industrial service, etc.)
- for tenure-track candidates, make clear the level of independent scholarly activity while at UT Austin
- for tenure-track candidates with a book publication, indicate whether the book is derived from the doctoral dissertation, and if so, to what extent it has been expanded or modified

b. Scholarly Works. Copies of scholarly works must accompany the dossier as far as the Dean's Office. The dean is responsible for ensuring that the scholarly works correspond to the vitae.

- Candidates being considered for tenure include all scholarly works.
- Other candidates include all scholarly works produced while in rank.

c. Five Most Significant Works. The internal and external review may concentrate on a smaller set of publications that are considered to be the most significant. The candidate is to make the selection of the five most significant works. Tenured associate professor candidates for promotion to full professor should select the five most significant works while in their current rank. Include a listing of the five works in the dossier.

One set of the five most significant works should accompany the dossier as far as the central administration. Place them with the other supplemental materials (see section C.9) in a separate folder labeled accordingly, not in the dossier.

d. Research Statement. The candidate must provide in four (4) pages or less a statement of goals and accomplishments in the area of research, scholarship, and creativity. Candidates for promotion to the rank of associate professor should focus primarily on accomplishments since first appointment as assistant professor (which may include work as an assistant professor at another institution), and are encouraged to articulate a plan for sustaining their program. All other candidates should focus primarily on accomplishments while in rank.

C.5 ACADEMIC ADVISING, COUNSELING, AND OTHER STUDENT SERVICES

a. Budget Council Statement. The budget council is to summarize academic advising responsibilities in a separate document that includes the signatures and typed names of those preparing it. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The statement should describe and assess responsibilities at both the undergraduate and graduate levels during at least the last three years of service (where applicable) and describe other activities in support of the instructional process. Items to be considered in the assessment:

- how the candidate has assisted in advising undergraduate, graduate and postdoctoral students
- service as undergraduate adviser or graduate adviser is especially noteworthy and deserves particular attention
- individual instruction
- advising majors for registration
- orientation activities for new students
- offering advice to students considering advanced degrees
- offering help with internships and job placement
- advising student organization
- student recruitment and retention activities

C.6 SERVICE TO THE UNIVERSITY AND TO THE NATION, STATE AND COMMUNITY

a. Budget Council Statement. The budget council is to summarize service in a separate document that includes the signatures and typed names of those preparing it. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The statement should address the candidate's contributions in the two broad service areas during at least the last three years, describe the nature of activities cited in support of the recommendation, and assess the quality of the service contributions.

1) Administrative and Committee Service. Positions of leadership, such as chairing a committee, are to be noted in particular.

2) Academic and Professionally Related Public Service. Outstanding service in scholarly or professional organizations, in particular, and its significance should be noted, for example, whether an editorship is of a highly respected refereed journal, or whether an elected office is in a significant scholarly organization. A distinction is to be made between editorship of a journal and membership on a large editorial board.

Note: Significant administrative and committee service to the department, college, or university along with academic or professionally related public service activities is to be listed in the curriculum vitae (see section C.2).

C.7 HONORS AND OTHER EVIDENCE OF MERIT OR RECOGNITION, INCLUDING CONTRACTS AND GRANTS

a. Budget Council Statement. The budget council is to summarize honors in a separate document that includes the signatures and typed names of those preparing it. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The statement should describe and assess the relevant evidence of exceptional academic or professional merit, as manifested by contracts and grants, medals, fellowships, invitations to speak (e.g., at other universities, at professional society meetings, and in other venues), election to office in scholarly or professional organizations, or other honors received.

1) Special Honors. Departmental statements on special honors should note the relative prestige of any honors or other professional recognition that the candidate may have received. It is important to distinguish between those awards made on the basis of promise and those awarded on the basis of accomplishment.

2) External Funding. Actively seeking and successfully obtaining external funding is a consideration for promotion in those departments where external funding is the norm. If external funding is not the norm, a comment to that effect should be part of the department's statement.

C.8 LETTERS OF REFERENCE/RECOMMENDATION/EVALUATION

a. A minimum of four external review letters must be compiled that evaluate the contributions and accomplishments of the candidate.

b. Tenured and Tenure-Track Titles. All letters must come from external reviewers from peer institutions/programs who have an understanding of the academic setting and the standards against which the area benchmarks itself. The emphasis of the review is to evaluate the research/scholarly/creative contributions and other accomplishment of the candidate, and to summarize his or her professional standing.

c. Lecturer, Clinical, and Adjunct Titles. All four letters may come from internal reviewers unless research/scholarly/creative contribution is one of the areas selected for review, in which case two of the four letters must be from external reviewers. All contributions and accomplishments of these candidates should be evaluated where applicable, but special emphasis should be given to teaching performance and the other principal contribution area(s) selected.

d. Research Professor Titles. At least three of the four letters must come from external reviewers. The emphasis of the review is on research performance and the candidate's overall academic-related service.

e. Responsibility for finalizing a list of appropriate external reviewers rests with the department chair/budget council. The candidate and the chair/budget council shall separately develop a list of arm's length external reviewers using the following considerations:
   - seek out credible reviewers knowledgeable about the scholarly expectations of a peer research university
   - avoid conflicts of interest, e.g., dissertation chairs, postdoctoral mentors, co-authors, co-principal investigators, and collaborators
   - use recognized experts at peer institutions
   - provide an explanation for any deviations from these considerations (e.g., why a collaborator was chosen, etc.)

   As a general rule, about half of the reviewers are to be chosen from the candidate's preference list. The candidate must be given the opportunity to review the list of outside reviewers before the solicitation letter is sent (see sections B.1.a and B.2.b).

f. Solicitation Letter. Sample letters for departments and schools to use in soliciting letters from reviewers are available at http://www.utexas.edu/provost/policies/evaluation/tenure/. Departments and colleges/schools may tailor these letters to their individual circumstances. However, all referees must be informed that, under Texas law, we cannot ensure the confidentiality of letters from reviewers. Letter writers also must be informed of any extension to the probationary period.

g. Chart of Reviewers. All solicited review letters received concerning a candidate must be included in the candidate's dossier. The department is to prepare a statement or chart of all reviewers solicited. Group by Received, Declined, and No Response, and list in alphabetical order by last name within each group providing the following information:

- name and rank or title of reviewer
- name of institution (including the department) or other agency with which the reviewer is affiliated
- brief statement about the profession/academic stature of the reviewer and why they were selected
- other relevant information about the reviewer that would assist those involved in the process who are not practitioner's in the candidate's field
- indicate whether selected by department or candidate
- indicate date received for letters and declinations
- include the reason for declination, if provided

h. Sample Letter. Insert a sample of the solicitation letter sent to the reviewers, including a list of the five most significant works and any other materials that were sent for evaluation.

i. Letters Received. Place the letters in alphabetical order by last name. All solicited letters received must be included in the candidate's dossier. A short version (preferably no longer than one page) of the referee's CV or résumé is to be included behind each letter.

j. Declinations. Place any declination correspondence in alphabetical order by last name behind the letters received. A CV is not required.

C.9 ADDITIONAL STATEMENTS

Any additional, non-required statements added to the file as a result of the candidate's review before budget council deliberations (sections B.1.b and B.2.c) or received after the candidate's review (section B.1.c) shall be date stamped and placed in a separate folder clearly labeled (e.g., J. J. Smith – Additional Statements).

C.10 SUPPLEMENTAL MATERIALS

Supplemental materials shall accompany the promotion file at each level of review and be made available to all internal parties to whom its content is relevant for their review, deliberations and/or vote.

a. Five Most Significant Works. As stated in section C.4.d, one set of the five most significant works should accompany the dossier as far as the central administration. Place in a separate folder clearly labeled, (e.g., J. J. Smith – Five Most Significant Works). Do not include in the dossier.

b. Student Written Comments. As stated in section C.3.g, include originals of all students' written comments for the last three years (i.e., 2010-11 through 2012-13). Place in a separate folder clearly labeled (e.g., J. J. Smith - CIS Student Comments).

c. Discretionary Items. In addition to the required materials described in these Guidelines, candidates have the discretion to include any materials that they believe are relevant to the promotion or tenure decision. Place in a separate folder clearly labeled supplemental (e.g., J. J. Smith - Supplemental Materials) and provide a table of contents.

Section D Outcomes

D.1 ANNOUNCEMENT OF DECISIONS

The Office of the President will formally notify deans of the results of the fall promotion conferences, including those pending cases where an action of terminal appointment is being considered. Every effort will be made to do so no later than Wednesday, December 17, 2014. Deans shall ensure that candidates are informed of the decisions made about their cases within three (3) business days of receiving notification from the president.

All terminal appointment pending cases will be revisited by the President's Committee in February. Final arguments (see section D.2), if submitted, will be considered at this time. The president will endeavor to notify deans of the final action on Terminal Appointment Pending cases by Friday, February 20, 2015 (except for cases under review by CCAFR, see section D.3).

D.2 FINAL ARGUMENTS IN TERMINAL APPOINTMENT PENDING CASES

A candidate whose case is Terminal Appointment Pending may present further arguments to the president before the case is decided. A candidate wishing to submit final arguments must notify the Provost's Office of the intent to submit such arguments, with a copy to the dean by Monday, January 12, 2015. Notification to the provost can be satisfied by sending an email to evpp.aps@utlists.utexas.edu.

Address final arguments to the president and deliver (hard copy) to the Provost's Office, Main Building 201, not later than six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later. The president will refer the written arguments to the department and college/school for additional comment before reaching a final decision.

D.3 REQUEST FOR REVIEW BY COMMITTEE OF COUNSEL ON ACADEMIC FREEDOM AND RESPONSIBILITY (CCAFR)

The candidate or the president may request a review of the case by the Committee of Counsel on Academic Freedom and Responsibility (CCAFR). Such a review is limited to one or both of the following: 1) to determine whether, in its judgment, the procedures followed in the candidate's case accorded with both the university's and commonly accepted professional standards for promotion and tenure; and 2) whether the decision was based upon a violation of the faculty member's academic freedom. CCAFR shall not review disputes about professional judgments on the merits of the faculty member's record.

A request for review shall describe the procedural irregularity being asserted and/or the alleged violation of academic freedom being asserted and how it impacted the decision. Candidates have six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later to submit a request for review to CCAFR (Office of the General Faculty, WMB 2.102, F9500) and provide a copy to the provost (MAI 201, G1000). The provost will distribute copies of the request to the dean and department chair.

CCAFR may delegate its work to a subcommittee of no fewer than three members. CCAFR shall report to the president, with a copy to the candidate, by Friday, February 27, 2015. The president will consider the subcommittee's report and advise CCAFR of the outcome of the case. The president may extend the time for the subcommittee to perform its work.

D.4 RECONSIDERATION OF A PROMOTION AND TENURE DECISION IN THE TERMINAL YEAR

The university has no obligation to provide a faculty member with reconsideration of a tenure decision during the terminal year, however, a department may request it based on submission of substantial new evidence by the candidate. The department is responsible for assessing whether new evidence of productivity presented by a candidate is substantial in nature and sufficiently compelling to merit reconsideration of the decision. Such a review is to examine any new evidence (i.e., evidence not previously considered) to determine whether it clearly demonstrates that the decision made the prior year should be reversed.

If a determination of compelling new evidence is made in a terminal year case, the department will prepare a new promotion file focusing on the new evidence and submit this, along with the previous year's dossier, to each level in the review process. The budget council shall prepare an assessment of the new evidence put forward in each service area.

Reconsideration during the terminal appointment year does not entitle a candidate to an additional terminal year.

D.5 GRIEVANCES

a) Use of Grievance Process. Nothing in this document is intended to alter a candidate's right to use the university's existing grievance processes as described in HOP 2-2310.

b) Grievance of a Terminal Appointment Decision. An individual who alleges evidence of an infringement of the Constitution or laws of Texas or the United States may present a grievance in person or through a representative, to the provost, who shall meet with the faculty member. A faculty member may request a review by a hearing tribunal by submitting a written request to the president describing in detail the facts relied upon to prove that the decision was made for reasons that are unlawful. If the president determines that the alleged facts, if proven by credible evidence, support a conclusion that the decision was made for unlawful reasons, such allegations shall be heard by a hearing tribunal in accordance with procedures in Series 31008, Number 2, Section 6.2 of the Regents' Rules and Regulations and the institutional faculty grievance procedure HOP 2-2310.

D.6 RESOURCES

- For assistance with the General Guidelines or the promotion and tenure process generally: Office of the Executive Vice President and Provost at 471-0240 or evpp.aps@utlists.utexas.edu
- To speak with a neutral third party about individual concerns: Faculty Ombudsperson at 471-5866
- For questions about procedural or academic freedom concerns: Chair of the Committee of Counsel on Academic Freedom and Responsibility (CCAFR) through the Office of the General Faculty at 471-5934
- General Guidelines: http://www.utexas.edu/provost/policies/evaluation/tenure/index.html

Appendix A

Summary of Dossier Preparation

Recommendations:

- _____ Change in Rank Form
- _____ Dean’s Statement
- _____ Department Chair’s Statement
- _____ Joint Department Chair’s Statement (if applicable)
- _____ Courtesy Department Chair or Center Director’s Statement (if applicable)
- _____ Affiliated Unit’s Statement (optional)
- _____ Research Unit’s Statement (required for Research Professor titles)

CV and other information:

- _____ CV
- _____ Statement of Co-Authored Works with division of duties
- _____ Statement of Works Forthcoming with each item identified as accepted, under contract, or in press
- _____ Letters of Acceptance for works accepted, under contract, or in press with each document numbered as indicated on the CV
- _____ Faculty Activity Reports for last three academic years (2011-12 through 2013-14)
- _____ Dates for Leaves of Absence Without Pay – entire period in rank for tenure-track; previous five years for tenured (2011-12 through 2013-14); non-tenure track is not applicable

Teaching Section:

- _____ Budget Council Statement with typed names and signatures of preparers
- _____ Candidate Teaching Statement not to exceed four pages
- _____ Peer Classroom Observation Reports with typed names and signatures of observer(s) – include all conducted while in rank
- _____ “Summary of Recent Course Instructor Survey Results” – entire period in rank for tenure-track; previous three years for all other candidates (2011-12 through 2013-14)
- _____ Individual “Course Instructor Survey” reports – most recent three academic years (2011-12 through 2013-14)
- _____ Committee Report of Masters and Doctoral Theses
- _____ Listing of Postdoctoral Fellows Supervised

Research/Scholarship/Creativity Section:

- _____ Budget Council Statement with typed names and signatures of preparers
- _____ List of Five Most Significant Works
- _____ Candidate Research Statement not to exceed four pages

Advising Section:

______ Budget Council Statement with typed names and signatures of preparers

Service Section:

______ Budget Council Statement with typed names and signatures of preparers

Honors Section:

______ Budget Council Statement with typed names and signatures of preparers

Letters Section:

______ Chart of Reviewers grouped by Received, Declined, and No Response
______ Sample of Solicitation Letter
______ List of Five Most Significant Works and any other materials that were sent for evaluation
______ Letters in alphabetical order by last name. A one page CV or resume behind each letter.
______ Declinations in alphabetical order by last name. No CV required.

Separate Folders

Additional Statements:

______ Any non-required statements or information added to the file as a result of the candidate's review before the budget council deliberations or received afterwards during the course of the review process.

Supplemental Materials:

______ One set of five most significant works
______ Original student written comments
______ Discretionary items with table of content

THE UNIVERSITY OF TEXAS AT AUSTIN Date:_________________

RECOMMENDATION FOR CHANGE IN ACADEMIC RANK/STATUS

Name:_______________________________EID:__________Present Rank: Select option

Years of Academic Service ***(Include AY 2014-15 in each count)***:

At UT Austin since:____________ (month/day/year) In Present Rank:________ (# of years) In Probationary Status **(TT only)**:________ (# of years)

Primary Department: Select department College/School: Select College/School

Joint Department: Select department College/School: Select College/School

Other Department(s): Select department

Recommendation actions[1]:

By Budget Council/Executive Committee: Select option

Vote[2] for promotion_________; Against______; Abstain_______; Absent________

By Department Chair: Select option

By SHE Executive Committee: Select option

Vote for promotion__________; Against______; Abstain_______; Absent________

By College/School Advisory Committee: Select option

Vote for promotion _________; Against______; Abstain_______; Absent________

By Dean: Select option

Administrative Action:____

Date Action Effective:_________________________
(To be submitted to the Board of Regents as part of the annual budget.)

By:____ Date:________________________
For the President

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[1]See "Chart of Recommended Actions" for eligible recommended actions applicable to specific conditions and administrative levels.
[2]Record all votes for and against promotion. Committee members who are ineligible to vote due to rank should be counted as abstentions and explained in the department chair or dean statement. Also record number of absent eligible voting members. Enter zero where it would otherwise be blank. The President's Review Committee will interpret unexplained abstentions as weak negative votes.

Chart of Recommended Actions for use in completing the Change in Rank Form

Rank	Probationary Status	BC/EC Recommendation	Dept Chair Recommendation	CAC Recommendation	Dean Recommendation	President Decision
Tenure-Track Assistant Professor	Up or Out (6th year of probation)	Promote Terminal Appt Tie Vote	Promote Terminal Appt	Promote Terminal Appt Tie Vote	Promote Terminal Appt	Promote Terminal Appt
	Reconsideration (Terminal Year)	Promote Terminal Appt Sustained Tie Vote	Promote Terminal Appt Sustained	Promote Terminal Appt Sustained Tie Vote	Promote Terminal Appt Sustained	Promote Terminal Appt Sustained
	Not Up or Out (1st - 5th year of probation)	Promote Terminal Appt Do Not Promote Tie Vote	Promote Terminal Appt Do Not Promote	Promote Terminal Appt Do Not Promote Tie Vote	Promote Terminal Appt Do Not Promote	Promote Terminal Appt Promotion Denied
Tenure-Track Associate Professor or Professor	Up or Out (3rd year of probation)	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Tie Vote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Tie Vote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt
	Reconsideration (Terminal Year)	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Sustained Tie Vote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Sustained	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Sustained Tie Vote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Sustained	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Sustained
	Not Up or Out (1st - 2nd year of probation)	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Do Not Promote Tie Vote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Do Not Promote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Do Not Promote Tie Vote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Do Not Promote	Award Tenure Award Tenure and Promote to Full Professor Terminal Appt Promotion Denied
Tenured	N/A	Promote Do Not Promote Tie Vote	Promote Do Not Promote	Promote Do Not Promote Tie Vote	Promote Do Not Promote	Promote Promotion Denied
Non-Tenure Track	N/A	Promote Do Not Promote Tie Vote	Promote Do Not Promote	Promote Do Not Promote Tie Vote	Promote Do Not Promote	Promote Promotion Denied

Progression of Cases:
Mandatory review cases, i.e., Up or Out and Tenured Right of Consideration, must progress through all levels.
Reconsideration cases do not progress out of the department unless recommended for promotion by the BC/EC.
All other cases progress through all levels unless withdrawn by the candidate prior to President's review.

Budget Council Assessment

The Budget Council assessment of the candidate for promotion and tenure is usually written by a subcommittee that has analyzed the dossier in detail. The assessment should be divided into three parts: Research, Teaching, and Service. Each part of the review should be a critical evaluation and assessment of the strengths and weaknesses of the case. The purpose of the review is to evaluate, rather than advocate. Based on this assessment, the committee will make a recommendation to the full Budget Council for their vote. All votes are recorded as Promote, Do Not Promote, Abstain, or Absent. Budget Council members should be present for their vote to be recorded and do not vote by proxy if not present for the discussion.

Chair's letter

The Chair writes a separate letter for the promotion file. This should not be a "cut and paste" from the budget council assessment. This letter is one of the most important parts of the file and should provide a critical analysis of the strengths and weaknesses of the case. Any perceived weaknesses will be noted at some point in the further review of the case, and failure to note and assess it here will be viewed negatively. Noting a weakness will not prevent promotion. Rather, an explanation of the department's consideration of the weakness will help others to assess this in the context of the department's decision. The letter should capture the budget council discussion. The letter should also explain any discipline-specific aspects of the file, particularly things that the President and Provost might not be expected to know.

The Chair provides a separate recommendation to promote or not promote, and this may differ from the recommendation of the budget council.

Early promotion
If the promotion is early, this must be explained. Is the person being recruited for a tenure position elsewhere? Was the candidate an assistant professor at anther institution for several years and is performing at a high level here? Do not put someone up early if the file is not extremely strong.

Extension of probationary period

Regents' Rules and Regulations provide for the extension of the tenure track probationary period for faculty under certain circumstances. An extension of the probationary period is not automatic but is granted in the best interest of The University. In practice, Extension of the Probationary Period is automatic for childbirth or adoption, upon formal notification of the department. The chair is required to notify the dean who, in turn, forwards the request to the Office of the Provost.

A tenure track faculty member who determines that certain personal circumstances may impede his or her progress toward achieving demonstration of eligibility for recommendation of the award of tenure may make a written request for extension of the probationary period specifying the reasons for the requested extension. Personal circumstances that may justify the extension include, but are not restricted to: disability or illness of the faculty member; status of the faculty member as the principal caregiver of a preschool child; or, status of the faculty member as a principal caregiver of a disabled, elderly, or ill member of the family of the faculty member. It is the responsibility of the faculty member to provide appropriate documentation to adequately demonstrate why the request should be granted. The documentation should include substantiation of why the circumstance placed an unreasonable burden upon the ability of the faculty member to meet progress expectations.

Requests for an extension must be submitted to the department chair (or dean in non departmentalized colleges/schools). The request should be made during or in advance of the academic year or semester in which the extension is justified and shall not be made later than the end of the spring semester before the faculty member's sixth year of full-time probationary service ('up-or-out year"). Faculty members should not wait to request an extension but should make the request whenever it becomes clear that circumstances consistent with the policy may warrant it. Also, department chairs who recognize the possible need for a faculty member to request an extension are encouraged to discuss this policy with him or her. The request for an extension shall be limited to one academic year. In exceptional circumstances, a second academic year of extension may be requested and granted. However, the maximum duration of extension, whether consecutive or nonconsecutive, shall be two academic years.

The Executive Vice President and Provost shall decide whether to grant the extension based upon review and consideration of the faculty member's written request and the recommendation of the budget council, department chair, and dean. One consideration will be the faculty member's annual evaluations and record of progress toward eligibility for recommendation of award of tenure prior to the occurrence or circumstance that may justify the extension. The decision of the Executive Vice President and Provost will be made within 30 days of his or her receipt of the request and all appropriate documentation unless exceptional circumstances mandate additional time for consideration.

The approval of an extension will be documented in writing and include the reason(s) for the extension, the period of the extension and its effect upon the length of the probationary period, and the plan for the faculty member to meet his or her instructional and other academic responsibilities during the period of the extension. The faculty member will sign this document prior to implementation of the extension. The denial of the extension may be appealed through regular faculty grievance procedures.

Please use the form that follows, which can be downloaded from the CNS Faculty Affairs website:
http://www.cns.utexas.edu/faculty-affairs/faculty-policies-forms-and-information/46-deans-office/faculty-affairs/430-extension-of-probationary-period

Requests for extension based on childbirth or adoption should be acknowledged by the chair and forwarded to the Dean's office. Other requests should also include Budget Council and Chair's recommendations.

Extension of Probationary Period Application Form

Requests should be submitted to the department chair during or in advance of the academic year or semester in which the extension is justified, but no later than the spring semester (May 31) of the fifth year in rank as Assistant Professor.

Extensions are for one academic year. In certain circumstances and in accordance with policy, a second year's extension may be granted.

Extension of the Probationary Period is automatic for childbirth or adoption, upon formal notification of the department. The chair is required to notify the dean who, in turn, forwards the request to the Office of the Provost. In all instances other than childbirth, Extension of the Probationary Period is never automatic. The faculty member is responsible for providing appropriate documentation regarding personal circumstances that have led to this request for extension of the probationary period.

Reason for request to extend probationary period:

1. Childbirth or Adoption: Year _____ Semester _____

2. Other: ____ *Please give reasons. Attach additional pages and supporting documentation if necessary.*

Name and EID (printed): ______________________________ (signature): __________________________

Department: ____Date: ______________________________

For reasons other than childbirth or adoption:

Budget Council Recommendation: For _____ Against _____ Abstain _____

Chair: ____

Sign and date

If the result of the promotion and tenure decision is unfavorable, the President will recommend terminal appointment. This will be a **pending** decision to allow time for final review. The department and candidate have the opportunity to present new information, or the candidate may file a grievance if there were procedural problems.

Final arguments/Appeal

All terminal appointment pending cases will be revisited by the President's Committee in February. The president will endeavor to notify deans of the final action on Terminal Appointment Pending cases by Friday, February 20, 2015 (except for cases under review by CCAFR, see the information on filing a grievance, below)

A candidate whose case is Terminal Appointment Pending may present further arguments to the president before the case is decided. You must notify the Provost's Office of the intent to submit such arguments, with a copy to Dean Hicke by Monday, January 12, 2015. Notification to the provost can be satisfied by sending an email to evpp.aps@utlists.utexas.edu. The candidate should contact the Provost's office to see the file. Keep in mind that there is not a right to promotion and tenure. It is a privilege granted by the President if, in his or her opinion, offering you a permanent position at UT will strengthen your department and the institution. Talk with your chair about submitting final arguments and what information you should include. Typically, the final arguments would provide new information about the case. This could be funding of a grant or acceptance of publications in the period after the file was submitted for review. Address final arguments to the president and deliver (hard copy) to the Provost's Office, Main Building 201, not later than six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later. The president will refer the written arguments to the department and college/school for additional comment before reaching a final decision.

Reconsideration

The university has no obligation to provide a faculty member with reconsideration of a tenure decision during the terminal year. However, a department may request it based on submission of substantial new evidence by the candidate. The department is responsible for assessing whether new evidence of productivity presented by a candidate is substantial in nature and sufficiently compelling to merit reconsideration of the decision. Such a review is to examine any new evidence (i.e., evidence not previously considered) to determine whether it clearly demonstrates that the decision made the prior year should be reversed. If a determination of compelling new evidence is made in a terminal year case, the department will prepare a new promotion file focusing on the new evidence and submit this, along with the previous year's dossier, to each level in the review process. The budget council will prepare an assessment of the new evidence put forward in each service area. Reconsideration during the terminal appointment year does not entitle a candidate to an additional terminal year.

Grievance/ request for review by committee of counsel on academic freedom and responsibility (CCAFR)

The candidate or the president may request a review of the case by the Committee of Counsel on Academic Freedom and Responsibility (CCAFR). Such a review is limited to one or both of the following: 1) to determine whether, in its judgment, the procedures followed in the candidate's case accorded with both the university's and commonly accepted professional standards for promotion and tenure; and 2) whether the decision was based upon a violation of the faculty member's academic freedom. CCAFR does **not** review disputes about professional judgments on the merits of the faculty member's record. A request for review shall describe the procedural irregularity being asserted and/or the alleged violation of academic freedom being asserted and how it impacted the decision. Candidates have six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later to submit a request for review to CCAFR (Office of the General Faculty, WMB 2.102, F9500) and provide a copy to the provost (MAI 201, G1000). The provost will distribute copies of the request to the dean and department chair. CCAFR may delegate its work to a subcommittee of no fewer than three members. CCAFR shall report to the president, with a copy to the candidate, by Friday, February 27, 2015. The president will consider the subcommittee's report and advise CCAFR of the outcome of the case. The president may extend the time for the subcommittee to perform its work.

Faculty Separations

a. Resignation
b. Retirement and phased retirement
c. Emeritus
d. Termination
e. Modified service

Faculty separations should be submitted in writing from the faculty member and acknowledged in writing by the chair. Separations are submitted to the Provost through the Dean's Office. Samples of the appropriate forms follow.

Faculty resigning from the University should submit a letter to the department chair. The chair should acknowledge receipt of the resignation in writing. Schedule a meeting with the faculty member to go over the following:

- If the reasons for the resignation are not clear, talk about those and determine whether changes might be made to preclude losing valued faculty.

- Are there graduate students who will need to be accommodated in other research groups or will the faculty member need an adjunct appointment to continue supervising graduate students who are nearing completion of their degree?

- Make sure all teaching-related duties are completed. All grades should be finalized and any student complaints or other issues should be resolved.

- Laboratory spaces should be cleaned up and any safety issues checked with the Office of Environmental Health and Safety.

- Other department-specific items: Because departments differ in what items need to be done before a faculty member leaves, it is useful for the chair to have a checklist. There is also a University checklist that the faculty member should use for generic items:

Refer the faculty member to the HR website for guidance on completing their separation process:
http://www.utexas.edu/hr/current/separation.html

Last Day Return Items (for ALL separations)

Departments should ensure that separating faculty have returned all items listed below:

1. Keys - this includes desk, file cabinet, office, building and vehicle keys
2. Access Cards
3. Laptops, Computers, Printers and Other Equipment
4. Identification Card
5. Long Distance Card
6. Mobile Devices
7. University Records
8. Departmental Parking Tags/Cards
9. Credit Cards
10. Pro Card
11. Any items purchased with university funds including endowment funds (not limited to books, media, furnishings, and research materials)

Faculty members may choose to retire completely or to phase-in the retirement by various combinations of partial appointments. Phased Retirement is allowed only after a determination that part-time continued appointment not only benefits the individual faculty member retiree but also will result in a significant benefit to The University. Appointment to Phased Retirement is for a specific period of time not to exceed three academic years. Such appointments terminate at the expiration of the Phased Retirement period and existing policies of The University related to modified service and/or emeritus faculty status apply. Phased retirement refers to reduced appointments in teaching service, and/or scholarship to assist an individual in preparing for full retirement. A post-retirement contract is entered into for up to three years. The tenured faculty member officially retires, then maintains a part-time (50% or 25%) term appointment without tenure until the expiration of the contract. For Planned Phased Retirement, there is an agreed plan for phasing the faculty appointment from 100% to full retirement. The plan will include the semesters involved, the percentage of appointment, workload and academic duties, and compensation.

For retirement or phased retirement requires forms that are completed by the chair and the retiree

Retirement or phased retirement checklist for chair___

Upon expressed interest by the faculty member, give potential retiree a personalized cover letter along with attachments listed.

___ Encourage faculty member to seek personal legal and financial advice and to contact the Human Resource Service Center directly at 512-471-4772 (HRSC).

___ Receive letter of decision and/or Phased Retirement contract from faculty member.

___ Present copy of letter/ Phased Retirement contract to any other departments where the faculty member holds an appointment, even zero time.

___ Present retirement info to Budget Council or Executive Council for recommendations regarding Phased Retirement and Emeritus status.

___ Have staff process retirement letter and/or Phased Retirement contract with transmittal sheet.

___ Provide original letter and/or Phased Retirement contract to staff administrator for processing.

___ Upon receiving an official resignation or retirement letter, write an official acceptance of the resignation/retirement effective XX/XX/XX.

___ Talk with Chris Rosales about returning portion of released funds to Dean's Reserve.

___ Inform staff administrator of any action involving return of funds.

Details of the phased-retirement process are found at:

http://www.policies.utexas.edu/policies/phased-retirement-tenured-faculty

For retirement or phased retirement, refer the faculty member to the HR website for guidance on completing their separation process:
http://www.utexas.edu/hr/current/separation.html

Last Day Return Items (for ALL separations)

Departments should ensure that separating faculty have returned all items listed below:

1. Keys - This includes desk, file cabinet, office, building and vehicle keys.
2. Access Cards
3. Laptops, Computers, Printers and Other Equipment
4. Identification Card
5. Long Distance Card
6. Mobile Devices
7. University Records
8. Departmental Parking Tags/Cards
9. Credit Cards
10. Pro Card
11. Any items purchased with university funds including endowment funds (not limited to books, media, furnishings, and research materials)

Human Resource Services

Pre-Retirement Checklist

This checklist is designed to help you through some of the important steps in planning for retirement. As you make the transition to retirement, we recommend that you do the following to avoid a gap in your benefits:

☐ **Attend TXClass PN400: "Retiring from UT Austin"** Date Completed: __________

This session provides an overview of retiree insurance enrollment, eligibility, premium billing and payment, Social Security, Medicare and coordination with UT insurance, returning to work after retirement, and getting started with TRS or ORP. Session is offered the 2nd Wednesday every month. Register online at https://utdirect.utexas.edu/txclass/index.WBX.

☐ **UT Retiree Insurance Enrollment** Date Completed: __________

Your insurance will not automatically continue when you retire. You must complete and submit forms to Human Resource Service Center (HRSC) prior to your retirement date (*submit **31 days prior** is preferred*). For eligibility and enrollment information, see "Retiree Insurance Benefit Overview," http://www.utexas.edu/hr/retiree/insurance/insurance.html.

➔ **Submit to HRSC:**

- ☐ Insurance Enrollment/Change for Retirees
- ☐ Dependent Information form & copy of proof of relationship document (*form and proof document required if adding a dependent not previously covered*)
- ☐ Automatic Payment Request Authorization (*optional*)
- ☐ Copy of TRS 30, Application for Service Retirement (*TRS participants only*)
- ☐ ORP Declaration of Retirement (*ORP participants only*)

**These forms are also available online at http://www.utexas.edu/hr/retiree/forms

☐ **Group Term Life Conversion** Date Completed: __________

If converting coverage greater than $50,000 to Individual Whole Life, contact HRSC for an application no later than **31 days** after your retirement date. Information and premiums at http://www.fdl-life.com/ut/lang_en/employees/employees.htm, or phone 800-538-0379.

☐ **Long Term Care** Date Completed: __________

Contact CNA at 888-825-0353 or https://www.ltcbenefits.com/Home.asp no later than **31 days** after your retirement date to request a direct billing to your home address.

☐ **Personal Information** Date Completed: __________

Before you retire, ensure your address and emergency contact information is current via UT Direct at https://utdirect.utexas.edu/pnbiog or submit *Personal Information Update* form to HRSC.

☐ **Beneficiary Designation** Date Completed: __________

Complete the secure online beneficiary designation form for your UT Group Term Life Benefits. Log in to *My UT Benefits* with your EID and password: www.utsystem.edu/benefits/myutbenefits.

☐ **Turn Unused Annual Leave into Retirement Savings** Date Completed: __________

You may defer any portion (up to maximum annual contribution limit) of your unused annual leave (vacation) and floating holiday to a UTSaver 457(b) DCP. No federal income tax will be withheld from the amount deferred, only Medicare and SS. To participate, submit a *Purchase/Change Agreement* form to HRSC **before your last day of employment.** Information and form available online: http://www.utsystem.edu/benefits/retirement/UTSaver457b_defer.htm

☐ **Medicare** (available at age 65 or younger if due to a disability) Date Completed: __________

Contact the Social Security Administration (SSA) at least **3 months before** you need benefits to begin. Enroll in Medicare Parts A and B at www.medicare.gov or phone 800-772-1213.
If over age 65 when you apply, request forms CMS-40B and CMS-L564. Take form CMS-L564 to Human Resource Service Center to complete.

☐ **Social Security Benefits** (available at age 62 or older) Date Completed: __________

Contact the SSA about **3 months before** the date you want your benefits to start. Apply online at www.ssa.gov, visit any Social Security office or phone 800-772-1213.

☐ **Teacher Retirement System (*TRS Members Only*)** Date Completed: __________

Contact TRS at www.trs.state.tx.us, or phone 512-542-6400, **6 months prior** to retirement (preferred) to allow sufficient time for completion of TRS required forms.

☐ **Optional Retirement Program (*ORP Participants Only*)** Date Completed: __________

Contact your ORP provider or financial advisor **3 months** before retirement to review distribution options and beneficiary designations.

For a list of current "Approved Providers", go to www.utretirement.utsystem.edu.

- Contact HRSC just prior your retirement date to request a **Vesting/Termination Status Form** be sent to your ORP provider(s) after your last paycheck is issued.

☐ **UTSaver Program (*prior or current participants only*)** Date Completed: __________

Participants of UTSaver TSA 403(b) and UTSaver DCP 457(b) should contact their provider or financial advisor at least **3 months** before retirement to review distribution options and beneficiary designations. For a list of current "Approved Providers", go to www.utretirement.utsystem.edu.

⇨ Cancel current UTSaver participation as of 1st of month following employment separation.

Human Resource Service Center

Website: www.utexas.edu/hr
Email: hrsc@austin.utexas.edu
Fax: 512-232-3524; phone: 512-471-4772
Campus Mail Address: HRSC, J5600
U.S. Mail Address: P.O. Box V, Austin, TX 78713
Location: North Office Building A, 2nd Floor Lobby
101 E. 27th St., Austin, TX 78713

(date)

Dear Professor XXXX:

You have indicated an interest in exploring the options available to you regarding retirement at some point in the future. Retirement is a choice to be made entirely by you. As a University administrator, I cannot offer advice or express any opinion, but I can provide you with supplementary information to use as you consider your options for this very important decision.

Attached is information I hope you will find helpful. You should make a decision only after you have a thorough understanding of all options and have consulted with an attorney, as well as all appropriate offices/agencies/individuals as described in the attachments. If you conclude that one of the retirement options is appropriate for you, please advise me in writing of that decision, and the effective date. Until receiving such a letter, I will assume you are continuing in your current position.

With best wishes,

Sincerely yours,

Chairperson

ATTACHED DOCUMENTS:

- The University of Texas at Austin, Handbook of Operating Procedures 2-2410, Phased Retirement for Tenured Faculty
- HOP 2-2410, Attachment A, Phased Retirement Contract (available at Handbook of Operating Procedures 3.06)
- HOP 2-2410, Attachment B, Phased Retirement Waiver (available at Handbook of Operating Procedures 3.06)
- The University of Texas at Austin, Handbook of Operating Procedures 2-2420, Retirement and Modified Service for Faculty Members
- The University of Texas at Austin, Handbook of Operating Procedures 2-2430, Emeritus Titles; Perquisites and privileges of emeritus Faculty, Emeritus Administrative Officials and Other Retired Faculty

The University of Texas recognizes faculty members' distinguished service and distinction at the University by conferring emeritus titles effective upon retirement. The conferring of these titles is not automatic upon retirement. The department nomination should include justification for the title. Emeritus titles may be given to a retired member of the faculty or in anticipation of the retirement of a faculty member, effective upon retirement.

Process:

1. Budget Council or EC vote to give emeritus status to faculty member.
2. The Department Chair sends the Dean a brief request memo using the CNS Emeritus template (copy follows) to nominate the candidate for emeritus status. The memo should be accompanied by a current CV of the candidate. The letter should state what the departmental vote was and explain why this person should be an emeritus.
3. After reviewing the nomination packet, and if in agreement with the recommendation, the Dean will review and forward the packet to the Provost for final approval.
4. Departments will be notified by the Dean's Office once the emeritus request has been approved by the Regents.

Emeritus nomination letters should be done as early as possible. The Provost's Office appreciates knowing who has been nominated as emeritus prior to the provost's annual faculty retirement dinner, held in May, so that all retirees designated emeritus can be recognized.

Holders of emeritus titles will be granted the following privileges and perquisites:

- Membership (without vote) in the General Faculty and in the college and department faculties in which membership was held at the time of retirement
- Eligibility to serve on graduate committees, subject to the approval of the senior vice provost and dean of graduate studies
- Listing in the faculty directory and in the appropriate college catalog
- Use of the campus mail service
- Office space, when available and with the approval of the chair of the department, the dean of the college or school, and the president
- Holders of an emeritus title will be granted all privileges and perquisites of retired faculty

Memorandum

To: Linda A. Hicke, Dean, College of Natural Sciences

From: **NAME**, Chairman, **DEPT/SECTION**

Re: Emeritus Recommendation, **Incumbent's Name & EID**

Date: **XXX XX, 20XX**

Use this space to describe the nominee's teaching, research & service during their career at the University.

ENCL: CV *(current CV **MUST** accompany nomination packet)*

Termination

This is normally a result of the promotion process for an Assistant Professor or Instructor who is not promoted, but appointed for a final Terminal year. After the Terminal year of appointment the faculty member will be removed from the budget and the funds released. It is not necessary to provide additional documentation beyond the promotions process unless the faculty member submits an official letter of resignation.

Other faculty terminations are usually the result of legal proceedings and require individual handling.

Death

During this difficult time, the families of the deceased should be given accurate information directly from the Benefits Section Human Resource Service Center (512-471-4772 (HRSC) or 800-687-4178) regarding insurance, retirement and survivors benefits. The Chair/Director and staff administrators should not try to speculate on these individually designed, personal matters, but should be sensitive to personal need and assist in returning personal property. Upon receipt of notification of a faculty death, please forward a copy directly to Chris Rosales (CNS Dean's Office, WCH 3.104, G2500). The appointment change should be done immediately, using the day of death as the last day of appointment. This must be done for all appointments, even zero time, including Emeritus. The primary department of the deceased should provide notification of the date of death to other departments/centers where there are other concurrent appointments. The staff administrator should check with the Human Resource Services for assistance, particularly regarding payment of unused sick leave and vacation. Normally, half of unused sick leave (up to 336 hours) should be vouchered on a paper Departmental Payroll voucher as a payment. This should be confirmed with the Provost's Office. Only faculty who have held research or administrative titles have earned vacation time. If Human Resource Services indicates there is a balance of unused vacation time, the department will need to submit a paper Departmental Payroll voucher. If your department is in need of counseling services after the death of an employee, feel free to contact the Employee Assistance Program for options.

A faculty member who has retired can be appointed to modified service if it is determined that this will result in a significant benefit to the University.

Appointment to modified service is for no more than half-time and does not exceed one academic year. Appointment to modified service may be renewed in writing for successive terms of one academic year if the University determines that it is of significant benefit. Faculty will not be considered for appointment to modified service to teach during a summer session.

A faculty member who wishes to be considered for appointment to modified service should submit a request in writing to the department chairman during the fiscal year in which he or she has decided to retire, before the budget is prepared for the following year. Requests for renewals of modified service appointments shall be submitted to the chairman each successive year.

Review and prior approval process

The department chair should do the following:

1. Review the request with respect to the program requirements of the department
2. Review the request with respect to the impact on the instructional budget
3. Recommend to the Dean whether or not the modified service will result in significant benefit to the department and the University
4. Submit a PAR with a recommendation for appointment to modified service

If the Dean agrees that the appointment or reappointment to modified service will benefit the University, she will forward the recommendation to the President.

__SAMPLE__ <u>OFFER LETTER</u>: **MODIFIED SERVICE FACULTY POSITION**
CNS Updated June 2014

<*Date*>

XXXXXXXXX
XXXXXXXXX

Dear <*Candidate's Name*>:

The Dean of the College of Natural Sciences has authorized me to offer you an appointment to the following faculty position in the Department of <*Department of*> at The University of Texas at Austin:

Title:	Professor (Modified Service)
Period of Appointment:	XX/XX/XX – XX/XX/XX
Percent Time:	50.00%
Nine-month Academic Rate:	$XX,XXX
Total Stipend:	$XX,XXX

This temporary appointment is without tenure and for the above-stated period only.

This appointment is without tenure and is subject to confirmation by the Board of Regents of The University of Texas System. All faculty, administrators, and staff are subject to the relevant provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Your teaching assignment will be <*number*> section(s) of <*course number and title*>. Should enrollment fluctuate, causing cancellation of any course section you have been assigned to teach, the percent time of your appointment or your assignment may be adjusted in accordance College policy. As a member of our teaching faculty, you will be expected to participate in the course-instructor evaluations.

<u>It is recommended that you check with Human Resource Services – Insurance and Retirement concerning your insurance status while on modified service appointment</u>. Normally, so long as your appointment is half time for the semester, your primary insurance coverage will be through your UT Austin insurance plan.

This offer is contingent upon satisfactory completion of a credentialing requirement that the University must satisfy for institutional accreditation. If you have not previously completed the enclosed Official Degree Certification Authorization for Current Faculty form, you will need to do so at this time and return it to the department for forwarding to the provost's office for processing. If you have completed the form, please let me know this, so we can report this information to the provost's office.

Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Don't hesitate to contact me if you have any questions about this appointment.

Sincerely,

<*Name*>
Department Chair

Enclosure: Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Dean Linda A. Hicke, College of Natural Sciences
Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment:

____________________________________ ____________________________
<*Candidate's name*> Date

Faculty Mentoring

a. Teaching

b. Research

c. Career advising

Mentoring is an important part of incorporating faculty into the culture of the department and University and is critical for ensuring the success of new faculty. The chair should assign mentors with input from both the mentor and the new faculty member. The mentoring relationship should be monitored periodically, and if the mentoring does not appear to be effective, new mentors should be suggested. New faculty also need general career advice. The University of Michigan Advance Program has developed an excellent handbook on career advising, and a copy of it is included in section c.

a. Teaching

Effective mentoring will make it much easier for the faculty member to understand the teaching goals of the department and to use his or her time most effectively in teaching undergraduate and graduate students. Both informal and formal mentoring processes should be used. Good teaching takes little more effort than poor teaching and is significantly more enjoyable for both the student and teacher.

NTT faculty should be assigned mentors for the purpose of development and communication about teaching.

1. Peer review of teaching

A well-designed peer review will both assess and instruct the faculty member. There should be a preliminary meeting in which the reviewer discusses the class with the faculty member and get copies of the syllabus, exams and assessment tools, and other materials used in the class. The reviewer should attend at least two class sessions and observe the instructor. After the observations, the reviewer prepares a written evaluation, which becomes part of the file for annual review, merit raises and promotion. The reviewer should provide a copy of the review to the faculty member and schedule a meeting to go over the review. The discussion should cover the goals of the class and whether the content, assessment and use of classroom time are effectively meeting those goals. If there are areas that need improvement, the reviewer should provide advice on specific ways to improve the teaching and available resources. Subsequent peer reviews will consider whether there has been improvement and if the advice has been followed. There is additional information on peer review and samples of assessment tools in **Section 4b, Reviewing teaching.**

2. Teaching resources

The chair should prepare a list of faculty members who have received teaching awards or recognition and who are willing to advise new faculty. Encourage new faculty members to attend classes taught by these faculty, to look at their teaching materials and to ask them for help. The chair or faculty mentor should inform new faculty about the services offered by the Center for Teaching and Learning and other campus resources.

3. Mentoring graduate teaching

Observing a lecture class is a relatively well-defined process, and there are good models in every department for mentoring undergraduate teaching. However, mentoring graduate teaching is more complex. Faculty are expected to train graduate students in their area of research, and many faculty will simply re-create their own graduate experience. This is not always a good plan. The teaching or research mentor should discuss mentoring graduate students and provide advice on effective graduate education. This should include effective communication with graduate students, making research expectations clear, understanding the financing of graduate students' education, recognizing emotional problems, and dealing with conflicts within a research group. Faculty don't arrive in the department with training in these areas (and many never develop expertise in these areas).

The research mentor may be the same person as the teaching mentor or may be another faculty member, often one in the same area of research. There will be some overlap, particularly in the area of graduate student training. The research mentor will help a beginning faculty member understand what is needed to establish a highly regarded, independent research program. The mentor should provide advise on seeking funding for research, when and where to submit articles for publication, attendance and presentations at meetings, and generally help an assistant professor stay on track for promotion and tenure. A research mentor will read and critique grants and manuscripts prior to submission or will help identify other appropriate faculty for critiques. The level of input from the mentor will depend on the individuals being mentored and how successful they are with their grants and publications.

Another area in which the mentor can be very helpful is in laboratory management. Some types of research require large amounts of equipment and reagents and a number of people to conduct the research. Help with navigating OSP, accounting, HR and personnel management, budgeting, and reporting requirement is very helpful.

An excellent resource for new faculty setting up a research program is:
Making the Right Moves, A Practical Guide to Scientific Management for Postdocs and New Faculty
This book, Based on the Burroughs Wellcome Fund and Howard Hughes Medical Institute Course in Scientific Management for the Beginning Academic Investigator, is available free online.
http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/Making%20the%20Right%20Moves/moves2.pdf

It covers a range of topics from planning for tenure to data management to getting funded and managing budgets. Every beginning investigator should have a copy of this book on their desk.

ADVANCE
university of michigan

Giving and Getting Career Advice:
A Guide for Junior and Senior Faculty

Academic Year 2009–10

Giving and Getting Career Advice: A Guide for Junior and Senior Faculty[1]

Table of Contents

[1] This Guide was prepared by Pamela J. Smock and Robin Stephenson, with assistance from Janet E. Malley and Abigail J. Stewart. An early draft was reviewed by several colleagues, who provided valuable advice: Rebecca Bernstein, Aline Cotel, Danielle LaVaque-Manty, Mika LaVaque-Manty, Marvin Parnes, Martha Pollack, Michelle Swanson, Janet Weiss and Nicholas Winter.

For more information or additional copies of this resource, please contact the ADVANCE Program at (734) 647-9359 or advanceprogram@umich.edu, or visit the ADVANCE Program’s Web site at http://sitemaker.umich.edu/advance..

1) Why is career advice important?

Faculty careers develop over time. Along the way, and more than in most occupations, individuals are free to make decisions and choices about how they spend their time and about what they do. Making those decisions requires information and judgment about consequences, since the decisions you make now are likely to matter for the long term. With limited information, individuals lack the basis needed to make informed judgments. That's not likely to lead to the best decisions! And since time is finite, "yes" to a new commitment today also means "no" to a current activity or future opportunity. Career advice from people with information and experience can provide a crucial context for decision-making and career development.

Lack of access to career advice—often because of few opportunities for informal interactions in which information is conveyed casually—is one of the most widely reported barriers to career advancement. Moreover, there is evidence that all women and men of color are particularly likely to suffer career setbacks from lack of career guidance (see e.g., Bowman, Kite, Branscombe & Williams, 1999). In one study (Preston, 2003), one third of women interviewed who exited science cited a lack of guidance as the major factor leading to the exit decision, while none of the men interviewed identified this as a factor influencing exit.

2) What exactly is career advising? Is it the same thing as "mentoring"?

Many people think of "mentoring" as something that is part of the graduate school relationship between an advisor and an advisee, and one in which the advisor sets relatively strong and clear limits on the advisee's range of choices. To avoid confusing this type of mentorship with the kind of interactions that junior faculty—who should proactively pursue their own career development—need to have with more senior colleagues, we are using the term "career advising" instead of mentoring.

There are many different forms of career advising and all of them are valuable to junior faculty. Some of them may, in fact, be similar to the mentoring of graduate students; but many are not. For example, Zelditch (1990) pointed out that junior faculty need several different kinds of people to help them: "Advisers, people with career experience willing to share their knowledge; supporters, people who give emotional and moral encouragement; tutors, people who give specific feedback on one's performance; masters, in the sense of an employer to whom one is apprenticed; [and] sponsors, sources of information about, and aid in obtaining opportunities." In a similar vein, the *University of Michigan Gender in Science and Engineering Subcommittee on Faculty Recruitment, Retention and Leadership*'s April 2004 Final Report broadly defined a mentor as a person who "facilitates the career and development of another person, usually junior, through one or more of the following activities: providing advice and counseling; providing psychological support; advocating for, promoting, and sponsoring the career of the mentee."

Senior faculty can provide some or all of these forms of career advice to their junior colleagues. However, it is not feasible or desirable to single out one individual to fulfill all possible mentoring roles or provide all possible kinds of career advice.[2] For example, a particular faculty member

[2] While this guide is particularly aimed at the needs of untenured faculty, tenured faculty also need, and should seek, career advice—about the next career stage (e.g., promotion to full professor), or about taking on leadership roles or choosing not to, or about their next project, or next life stage (e.g., the period after children are grown, or retirement).

may be a great example of a programmatic research approach and successful external funding, but may not be a particularly constructive citizen of the department; another may work in an area very distant from junior colleagues' interests, but be a marvelous teacher and beloved mentor of graduate students; still a third may simply seem to radiate good judgment and a balanced and humane approach to life. Each of these people has valuable things to offer to junior colleagues, but no one of them is likely to be able to help with all aspects of someone else's career development.

3) What is the goal of providing career advice?

The ultimate goal of giving career advice to junior faculty is to enhance their chances of career success in earning tenure (for instructional faculty) or advancement and promotion (i.e., for research or clinical track faculty) through achievements in scholarship, success in obtaining external funding, teaching, and/or service. Thus, senior faculty can offer information and assistance not only by providing advice about one's area of scholarship, but by:

- Providing information about promotion and tenure processes
- Demystifying departmental, research center, college, and university culture
- Providing constructive and supportive feedback on specific work or on career progress
- Providing encouragement and support
- Helping to foster important connections and visibility
- Looking out for junior faculty interests

Junior and senior faculty alike should consider these topics for their discussions:

- Inside story on departmental culture
- How to navigate department and institution
- Grant sources; strategies for funding
- Publishing outlets and processes
- Teaching
- Research
- Key conferences to attend
- Service roles inside and outside the University, including work on committees
- Relationships to cultivate
- How to recruit students or post-doctoral fellows to your research group
- Advice about the career ladder and alternative tracks
- How to plan a career trajectory
- External visibility
- Tenure and promotion processes
- Family issues
- National sources of support
- Publishing outlets and processes

4) What are the different forms of career advising?

Where will junior faculty find career advice? We believe they may find it in many kinds of interactions and relationships, including with peers. The following identifies several types of career advising:

Specific (one-on-one) advising: This kind of advice depends on conferring with someone very familiar with specific issues unique to the junior faculty member's field, or involves direct and specific feedback from a supervisor such as a department chair. Types of specific advising include:

- Review of current activities and future plans. These may include:
  - research activity, including publishing, grant activity, etc.
  - service activity, on campus and nationally
  - teaching activity, both in formal courses and mentoring students
  - clinical assignments
- Review of documents, like curriculum vitae, annual reports, required professional statements
- Critical feedback in the crucial years prior to tenure reviews or promotions, with delineation of the exact criteria by which that faculty member will be evaluated at the annual or third year review
- Personal advice on sensitive issues that individuals do not feel comfortable discussing in groups
- Identification and facilitation of specific opportunities for faculty members to grow into leadership positions

Group advising: Not all career advice requires one-on-one interaction. “Group advising” refers to advising that can be accomplished for the benefit of multiple individuals simultaneously. Sessions can be led by one or by a few senior faculty and address broad issues such as a collegial conversation about the intellectual concerns of the department or program, developing new courses, teaching evaluations, time management, or policies on tenure.

Zone advising: This refers to interactions with individuals with particular areas of expertise (zones) such as successful grant funding, university service assignments, or teaching and learning resources such as the Center for Research on Learning and Teaching (CRLT). In this variation on the group advising idea, one senior leader can serve as a resource on a particular topic for multiple junior faculty members.

Peer advising: Another variation on group advising is provided by facilitating career-relevant interactions among peers. Junior faculty can assist one another by sharing information, strategies, knowledge about resources, and general moral support. Types of peer advising activities include:

- Dissemination of information on institutional policies similar to the packages provided to all junior faculty/new hires. Topics may include dual career programs, modified duties, delays of the tenure review, leave policies, and work-family resources.
- Guidance in preparation of annual reports and tenure and promotion dossiers.
- Discussion of the level of achievement expected for promotion in various areas (e.g., research, teaching, success at obtaining external funding).
- Communication of eligibility for internal awards and external national and international recognition.

In general, career advising activities can take many forms and do not have to occur in formal settings. In addition, they can include both on-campus and national resources. The following list of potential locations or settings for career advising activities is adapted from the Association for Women in Science (AWIS) website on mentoring: http://www.awis.org/resource/mentoring.html.

Career advising contacts can be through:

- Informal office visits
- Email
- Campus Events
- "Shadowing" a senior faculty member by agreement
- Touring a lab or workplace
- Recreational activities
- Travel support
- Lectures
- Phone calls
- Meals and coffee breaks
- Professional society meetings
- Poster sessions or other special presentations
- Symposia
- Conferences
- Workshops

5) Common issues for junior and senior faculty regarding career advising

1. Think of yourself as establishing a respectful collegial relationship. Try to engage in ongoing conversations with one another. Try to meet at least once each semester to discuss professional development and progress in all key areas. Don't be invisible or cancel meetings unless absolutely necessary.

2. Work together to define your roles and to set goals. Remember that the career advising process is a two-way street, and you both have to establish the ground rules. This may include agreeing on what you will ask of each other. Things to consider regarding career advising may include:

- Reading drafts of grants or papers
- Helping create opportunities or connections
- Providing feedback about progress
- Providing advice about teaching issues
- Providing information about the department
- Meeting yearly. Every semester. Or monthly

You can avoid letting each other down, or surprising each other, if you have an explicit sense of the nature of your expectations. And of course you both need to listen and be respectful, and recognize that both of you can benefit from these interactions.

3. Don't expect career advising to be a panacea for every academic and career problem; it can't address every issue, and no one relationship can encompass all aspects of anyone's career. Sometimes there are problems or issues that cannot be solved through the career advising process, although often the process can help redirect efforts to other sources of assistance (other faculty, colleagues at other institutions, or even institutional assistance, such as the Center for Research on Learning and Teaching). It's also true that sometimes you may give or be given genuinely bad advice (usually unintentionally!). A good way to guard against *taking* bad advice is to gather advice from multiple sources and compare what you hear. And never feel that just because someone gave you advice you have to take it; it's your career! You're interested in other people's perspectives, because they may help you understand or see things you otherwise wouldn't. But in the end you make the decisions.

4. Finally, like all other human relationships, relationships between junior and senior faculty may produce discomfort, despite everyone's best intentions. For example, some people (junior or senior) may feel that career advising requires them to expose vulnerabilities they are more

comfortable concealing (a frequent concern of academics, who are occupationally subject to "impostor" anxieties) or to permit another person some degree of "control" over their decisions. A career advising relationship may even lead someone to feel more grateful, or more nurturant, than is comfortable in a professional relationship. If these uncomfortable feelings arise, they should not provoke alarm; instead, they are signs that the relationship may need some adjustment or fine-tuning. It is often possible to gain perspective on uncomfortable feelings like these from another colleague, preferably one not too directly involved with the other faculty member.

6) Tips for senior faculty

As a senior faculty member, you can help shape careers and encourage successful outcomes. You know and can explain the system, pointing out pitfalls, shortcuts, and strategies. Often, junior faculty need to learn what they may not even know to ask.

Think of your own experiences as a junior faculty member and how you achieved your current status. Giving valued advice is usually rewarding for the senior faculty member, as well as for her or his more junior colleague—in part because it can be an invigorating connection with people in touch with the most recent advances in the field you share. But recognize that it is often difficult and intimidating for junior colleagues to articulate their questions and needs, and to approach more senior faculty. Recall that things you say may—without you intending it—lead them to feel more anxious, more inadequate, or hopeless about their own future. It's important to contextualize your feedback so it is actually constructive rather than undermining, and offers direction rather than simply criticism.

1. Let your junior colleagues know that they are welcome to talk with you—just on one occasion or on a frequent basis. The gift of your full attention is often the most important one you can give a less experienced colleague.

2. Clarify expectations about the extent to which you can, or will, offer guidance concerning personal as well as professional issues. If you are not comfortable assisting in some areas, suggest another faculty member who may be able to assist. Recognize and evaluate what you can offer, and keep in mind that you cannot be expected to fulfill every function.

3. Inform junior faculty about how frequently you will be able to meet with them. Be explicit if you have a heavy travel schedule, are about to take a sabbatical, or will be assuming an administrative position. Discuss alternative means of communication (e.g., email or telephone) and encourage them to consult others who have proven to be reliable advisors. Try always to keep appointments you do make.

4. Provide specific information about as many topics as you can, such as the informal rules of the profession and of navigating the department and institution. Help junior faculty learn what kinds of available institutional support they should seek to further their own career development. Tell them about funds to attend a workshop, for example, or release time for special projects.

5. Recognize that sometimes your own experience is relevant and useful to colleagues who are more junior; hearing accounts of how you accomplished something (or failed to), including obstacles you faced, can help normalize and contextualize experiences

for them. At the same time, it's good to bear in mind that circumstances change in academia, in the various colleges, units, and in departments. So it's good to underscore the need for junior colleagues to look into specific rules, policies and practices as they currently exist rather than relying on information passed on anecdotally.

6. Share the "tacit" rules of being successful in the business of research and within the relevant unit with junior colleagues.

7. Provide opportunities for junior colleagues. For example, suggest his/her name to be a discussant at national meetings or other such opportunities that will increase his/her visibility. Generally, take opportunities to promote the junior faculty member's research.

8. Ask your junior colleague to develop and share a work plan that includes short-term and long-term goals as well as a time frame for reaching those goals.

9. Give criticism as well as praise when warranted. Always present criticism in a private and non-threatening context with specific suggestions for improvement in the future. Rather than emphasize past problems or mistakes, focus on future actions that may remedy or redress those problems.

10. Tell junior faculty where they stand—how they are doing, whether they are meeting your expectations, and if they are showing what it takes to move up. Be specific. Don't just tell a junior faculty member that it's necessary to publish more in high-quality journals, but suggest which journals those are, and give guidelines about approximately how many papers to shoot for in those journals before tenure.

11. Take responsibility to encourage junior faculty to be proactive about asking questions, seeking feedback, and making connections with senior colleagues. Take the time to make sure junior faculty are doing so.

12. Communicate. Failing to communicate is the biggest pitfall for all relationships. Remember that face-to-face meetings can often clear up misunderstandings better than email. Problems need to be discussed as soon as possible.

There are a number of specific areas in which you may be in a good position to help, or you may feel it is best to point the junior colleague toward someone who might be a better source of advice. These include:

1. Grantwriting. There are many features of the process of obtaining external funding that are unwritten or vague. Advisors can help by clarifying funders'/referees' criteria for successful grant proposals. Sharing negative experiences you have had in trying to secure outside funding, and how you managed or overcame them, may also be helpful.

   In some fields, junior faculty may be well-served by including senior colleagues as Co-PIs, Co-investigators or consultants in grant proposals. Give junior faculty advice about who might be helpful to include. Also, encourage junior faculty to apply for one of several "early career" grants (e.g., K01-Mentored Career Development Award

[NIH]; Young Investigator Award [NSF]) and be available to provide substantial feedback on their early efforts.

2. Fostering networks for your junior colleagues. Whether or not you can provide something a junior colleague needs, suggest other people who might be of assistance: other UM faculty or colleagues from other universities. Introduce your junior colleagues to those with complementary interests within your unit or department, elsewhere on the UM campus, or at other universities. For example, at conferences, a simple introduction at a coffee break or an invitation to join your table for lunch may be sufficient to initiate a lasting advising relationship for a junior colleague.

3. Providing forthright assessments of their research through close readings of their work and trying to provide these assessments in a timely manner.

4. Providing opportunities for junior colleagues. For example, suggest his/her name to be a discussant at national meetings or other such opportunities that will increase his/her visibility. Generally, take opportunities to promote the junior faculty member's research.

7) Tips for department chairs and directors

Department chairs and program directors set the tone for how many faculty in the unit—senior and junior—will view the issue of career advising. If the chair or director does not appear to truly value the practice, or merely gives it lip service, it will be clear to all concerned that it is not a valued activity in the unit. By taking career advising seriously, and consistently communicating that it is part of the responsibility of all faculty, chairs and directors can help create a climate in which better career advising takes place.

1. Build into the evaluations of senior faculty a share of responsibility for mentoring new colleagues. For example, during reviews for merit increases, chairs and directors can take into account the quality and quantity of career advising by asking explicitly for this information on the annual review forms. Have senior faculty document in their annual report their efforts to assist junior faculty in getting research grants, establishing themselves as independent researchers, and having their work published in peer-reviewed outlets. Collaborative research—especially when the junior scientist is the lead author—may also be a sign of a productive career advising relationship. You may also want to ask junior faculty to indicate which senior faculty have been helpful to them, as a sort of check on these self-reports.

2. Take multiple opportunities to communicate to senior colleagues the importance of providing career advice to junior faculty.

3. Ensure that the procedures and standards involved in the tenure and promotion processes are clear to junior faculty.

4. Ensure that all junior faculty know about University policies intended to ease the work-family conflict such as stopping the "tenure clock" and modified duties.

5. Create opportunities that encourage informal interaction between junior and

senior faculty. You might create a fund for ordering pizza, a lunch budget, a gift card for a local coffee shop for them to share, etc.

6. Provide a "tip sheet" for new arrivals. A tip sheet would include items such as contact people for key services around the Department or unit. More broadly, check to ensure that the newly-arrived faculty have access to the information, services, and materials (e.g., computing or lab equipment) needed to function effectively in the environment.

7. Recognize that senior faculty may not be completely certain how best to engage in career advising. Help them! For example, sponsor a lunch for senior faculty in which the topic of discussion is career advising and faculty can exchange information and ideas on the subject.

8. Provide the junior faculty member with a yearly review—in addition to a formal interim (3rd year) review—of her/his accomplishments and discuss goals for the future. Recognize that junior faculty may find it difficult to assess the significance of criticism; be careful to frame criticism in a constructive way, but also be as clear as possible. Be sure to provide some written follow-up, summarizing the discussion (or to ask your junior colleague to do that, so you can review it).

9. Use email as a mechanism to ensure the entire faculty has equal access to key decisions, information, and career opportunities.

8) Tips for junior faculty

Many units or departments will formally assign one or more senior faculty members to assist junior faculty. Sometimes, however, these relationships never develop or additional people are needed. In the worst case, the relationships set up formally may actually be destructive. More benignly, but still seriously, sometimes senior faculty appear to have no available time; then junior faculty feel they are either not getting what they need or fear they are intruding.

Junior faculty should feel that they are in charge of establishing and maintaining mentoring relationships. If a relationship is destructive or unhelpful, allow it to languish. It is much better to avoid interaction with a senior colleague who is not helpful than to continue it. However, avoidance alone is not enough. At the same time that you let one relationship dwindle, be sure to seek alternative relationships that are more helpful.

Despite appearances, most senior faculty are committed to the development of junior faculty and will readily provide career advice, if asked. Try to identify senior faculty in your department—or even in another department—who you think might have helpful advice for you; be the one to initiate a meeting. Alternatively, ask for an introduction from a colleague if you are uncomfortable introducing yourself. The ADVANCE Program at the University of Michigan[3] offers advice and help connecting faculty with career advisors, or your chair or director can assist in identifying someone who would be an appropriate career advisor.

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[3] The **ADVANCE Program at the University of Michigan** (ADVANCE) began as a five-year, grant funded project promoting institutional transformation with respect to women faculty in science and engineering fields. With the University's commitment to continue funding through June 2011, the program will gradually expand to promote other kinds of diversity among faculty and students in all fields.

Additionally, don't limit your search for career advisors to your own institution. To establish a relationship with senior faculty in your research area from other institutions, ask them if they would be willing to meet with you on the phone, over email, at a conference, or invite them to present a seminar or talk in your department.

One person might serve as an advisor or mentor on departmental matters, another might provide information about and assistance with career opportunities, and another might serve as a role model for managing career and family responsibilities.

1. Read the faculty handbook (http://www.provost.umich.edu/faculty/handbook/), and become familiar with the research and background of your advisors' research and career. Read their CVs whenever you can.

2. Get the unwritten information. There are unwritten organizational structures, rules and customs defining the departmental and institutional culture. Respect and become acquainted with the staff clerical workers and treat them like the professional colleagues they are; they can be valuable sources of information about informal structure. Learn what services are available from the department and institution such as clerical help, release time, research assistance, and financial support.

3. Recognize the influential people in the department. Be observant and find out which behaviors are valued and which are not.

4. Be active and energetic. Do not assume that anyone else will look out for your interests. For example, in some departments teaching assignments are scrupulously fairly assigned, in others not. Equally, in some departments, junior faculty are encouraged only to develop a few new courses during the tenure probationary period, and they are encouraged to repeat them. If you feel that any of your teaching assignments is either unfair or unwise for you, be sure to seek out advice from other faculty about the issue, and about how to get it addressed. It is not best to simply suffer in silence; it is best to get the situation remedied and senior faculty in the department or even in the dean's office will be able to advise you about it.

5. For those on tenure track, develop a strategy that will guide your progress as a scholar, teacher, and colleague over the next five years. A lot of information about the tenure process is not written down. Make it your responsibility to find out by asking questions. Share the information and your strategies with your peers as a way to build camaraderie and to develop additional sources of information and support. For those not on a tenure track, develop a strategy for promotion and advancement. Again, ask questions about how to achieve your career aims.

6. Keep careful records of your activities (e.g., research and scholarship, grants written and funded, service activities, teaching and/or mentoring). Scrutinize your own record regularly to judge if your effort and priorities are aligned; be a proactive manager of your own career portfolio. This will greatly assist you, while evaluating new opportunities, and as you prepare for career advancement or tenure.

7. Determine if there are publications that you should avoid publishing in because they are not valued. Try to not waste your time serving on committees that are not valued, or teaching courses that do not strengthen your case for advancement or for tenure.

Be sure to seek advice from senior faculty members about what committees to serve on, and then volunteer for those committees.

8. Seek information, advice, and assistance in developing, implementing, and revising your strategy; do not make major decisions without talking to other people.

9. Actively seek feedback from colleagues, senior faculty, department chair, or unit director. Recognize that other junior faculty—both at the University of Michigan and elsewhere—are often sources of valuable advice and help too. For example, another junior faculty member may have developed a teaching module that you can adapt for your purposes; or, as a group, junior faculty in a department or across a couple of departments may be able to provide one another peer mentoring; or ask specific administrators or senior faculty to discuss particular issues.

10. Do not assume that no feedback means there are no problems.

11. If your position was defined in specific terms when you were hired, be sure you have a copy of the job description. You want to be sure there are no aspects of the job you are expected to do that you don't recognize.

12. An annual review should be in writing. If it is negative and you believe the comments are legitimate, you should discuss them with your career advisors, including your chair or director, and plan what you need to do to improve. If you believe a comment is not accurate, provide written materials to refute the evaluation.

13. Develop your own networks with junior faculty colleagues and others in your field.

14. Read and discuss any written policies about tenure and/or promotion with your career advisor(s).

15. Let your career advisors, chair or director, and colleagues know when you have done good work. Be sure that professional information is put into your personnel folder.

16. Communicate. Failing to communicate is the biggest pitfall for all relationships. Remember that face-to-face meetings can often clear up misunderstandings better than email. Problems need to be discussed as soon as possible.

9) Integrating work and personal life: University policies

In March 2004, the *University of Michigan Gender in Science and Engineering Report of the Subcommittee on Family Friendly Policies and Faculty Tracks* published recommendations to modify policies related to work-family issues. The policies being examined for revision include more flexible and extensive coverage for leave without pay, modified duties, and stopping the tenure clock. The report also discusses the need for additional on-campus daycare. The report and all UM policies are available online at the links listed below.

http://www.umich.edu/~advproj/GSE-_Family_Friendly_Policies.pdf
http://www.provost.umich.edu/faculty/handbook/index.html
http://spg.umich.edu
http://www.provost.umich.edu/programs/dual_career

Other UM resources include:
Work/Life Resource Center: http://www.umich.edu/~hraa/worklife
Center for the Education of Women: http://www.umich.edu/~cew

10) Summary: Questions to ask and to answer

This is a list of questions junior and senior faculty may use to remind them of issues they need to discuss that were outlined in the previous sections.

Department or Research Unit Culture	
	Who are the key people in the department or research unit?
	What are appropriate ways to raise different kinds of concerns or issues and with whom?
	Who can help me set up an email account, find out about resources like copying or processes like grading?
	How do people find out about and get nominated for awards and prizes?
	What organizations are important to join?
Research	
	Can you tell me about the Institutional Review Board, which provides approval for human and animal subject experiments?
	How do I set up my lab?
	How do I get grants?
	Are my grant proposals appropriate for this department or unit?
	Are there research or equipment projects being developed by other faculty in the department that I can or should get involved with?
	May I read some successful grant proposals, as close to my research area as possible?
	What conferences should I attend?
	Are there people that I should collaborate with?
	How do you get on professional association panels?
	What are the journals to publish in? Have any colleagues published there?
	Am I publishing enough?
	How can I increase my visibility in the field?
Teaching	
	What classes do I need to teach?
	How do I get a good teaching schedule?
	How do I get to teach important classes?
	How do I deal with sticky situations or problems with students?
	Do I have enough graduate students?
	How are teaching evaluations handled and weighted?
Service	
	What are the important committees to serve on?
	How can I get nominated to be on them?
	Are there committees to avoid?

	How is this work documented?
Promotion and Tenure	
	What are the department's formal and informal criteria for promotion and tenure?
	What or who can clarify these criteria?
	What would you have wanted to know when you began the tenure process?
	How does one build a tenure file?
	Who sits on the tenure committee and how are they selected?
	How should I prepare for the annual review?
	What can I negotiate when I get an outside offer?
	How should I prepare for the third year review?
	Is my job description matching the work I do?
	Are my research, teaching, service and grants of an appropriate level?
	Who should I meet in the institution, in the discipline and even worldwide?

11) Additional resources on career advising and mentoring

Web and institutional resources

Adviser, Teacher, Role Model, Friend: On Being a Mentor to Students in Science and Engineering, National Academy of Sciences, National Academy of Engineering, Institute of Medicine, National Academy Press, Washington DC, 1997.
http://www.nap.edu/readingroom/books/mentor/index.html

The Association of Women in Science is a non-profit association which works to promote women's activities in all scientific fields, from mentoring to scholarships to job listings.
http://www.awis.org/careers/mentoring.html

The Center for Research on Learning and Teaching (CRLT) website provides a bibliography and links to online resources on mentoring. Topics covered include: institutional mentoring programs, mentoring women faculty and faculty of color, discipline-specific mentoring, and training materials for mentors and mentees.
http://www.crlt.umich.edu/publinks/facment.html

How to Mentor Graduate Students: A Guide for Faculty at a Diverse University.
http://www.rackham.umich.edu/downloads/publications/Fmentoring.pdf

How to Get the Mentoring You Want: A Guide for Graduate Students at a Diverse University.
http://www.rackham.umich.edu/downloads/publications/mentoring.pdf

Providing Faculty with Career Advice or Mentoring: Principles and Best Practices, UM, College of LSA, August 2007.
http://www.lsa.umich.edu/lsa/facultystaff/academic_affairs/policies/
Select on this page: Faculty Career Advising (Mentoring) - 8/07 Version

The University of Michigan Office of the Provost and Executive Vice President for Academic Affairs has links to articles and other information on mentorship. *http://www.provost.umich.edu/mentoring/index.html*

The Center for the Education of Women offers free counseling to University of Michigan faculty (as well as to staff, students and residents of surrounding communities; call 998-7210). Faculty may wish to discuss career goals, job fit, negotiation strategies, work/life issues, problems affecting career progression or other needs. CEW also supports two professional development networks for faculty women: the Women of Color in the Academy Project and the Junior Women Faculty Network. In addition, CEW offers other kinds of programs addressing, for example, salary negotiation, grant proposal writing, parenting in the academy, financial planning, and research presentation. For more information contact the Center at 998-7080, or visit *www.umich.edu/~cew.*

Other resources and bibliography

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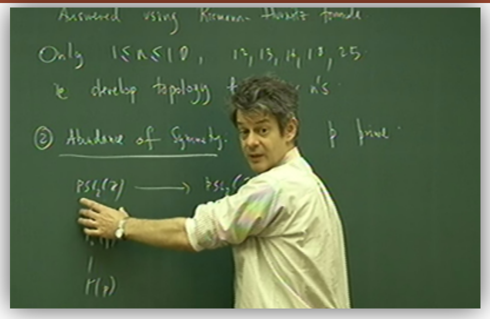
Retentions and counteroffers

a. Requesting a counteroffer
b. Template
c. Child Care retention form



There are a number of issues to that are considered when the department negotiates a counteroffer.

- Relative value of retaining the faculty member vs. hiring new faculty members. All resources for retentions come from the same pool as for hiring new faculty.
- The nature of the competing institution. Is it a peer or more highly-ranked institution? Reputation of the institution making the outside offer will be a determining factor in the strength of a counter-offer.
- Contributions to salary for retention will come from the department's retention salary pool, merit increase pool or funds designated for future faculty hires in the department.
- In general, special teaching reductions should not be part of a retention negotiation.
- What are the elements of the outside offer, and which of those should be matched or countered? In your conversations with the faculty member, it is essential to understand what is most important to the person. It may be a higher salary, access to specific equipment or facilities, funds to support students, recognition, or proximity to collaborators, for example. Knowing the relative importance of these to the person will help you determine where to focus your efforts at retention.
- Equipment or resources that contribute to the common good of the department or college will be viewed as better investments than resources specifically for one faculty member. STARS requests (see **3g**) can be considered for retentions.
- Appointments to endowed positions will be made according to the CNS Endowed Positions policy in effect at the time of the retention.
- What will be the effect of the counteroffer on other members of the department? Will this divert funds from departmental priorities that faculty have agreed upon? Is the budget council supportive of retention?
- The final letter will include a response deadline, generally within two weeks of the faculty member receiving the final letter.

To request a counteroffer for a faculty member in your department, please send the following to Associate Dean for Faculty Affairs Shelley Payne:

1. Current CV for the faculty member

2. Copy of outside offer letter(s)

3. If space in the Child Care Center is a component of the counteroffer, complete the Child Care Retention Application form.

3. Cover letter from department chair indicating support for the retention and the proposed retention offer. In the proposal, indicate the portion of any salary increase that will come from the department's merit pool and from the retention pool. The department's and other unit's contributions to other components of the counteroffer should also be described.

The counteroffer will be negotiated with the dean's office. Upon approval of the terms of the counteroffer by Dean Hicke, a draft may be shown to the faculty member. A final counteroffer letter will be forwarded to the Provost for approval before it can be offered to the faculty member for signature.

DATE

Faculty Name, RANK
The University of Texas at Austin
Department/Section of XXXX
CAMPUS ADDRESS
Austin, TX 78712

Dear XXX,

We write to clarify and formalize the counter-offer extended to you by <Name of Institution>. Upon your acceptance, this offer will become effective September 1, 20XX:

- Your total nine-month salary compensation will increase from $XX,XXX to $XX,XXX (state the difference, as well as, what sources will be funding)
- The College of Natural Sciences will recommend that you be named the holder of the XXXX XXXX *(include endowment title, corpus account #*) beginning September 1, 20XX. This endowed appointment will be for a period of six (6) years (*edit to agree with date of next periodic faculty review, i.e., post-tenure review, etc.*) and will be renewable for additional six (6) year periods as stated below. This arrangement for periodic renewal provides for a regular check on the use of endowed monies for our premier faculty. It is our intention to renew your endowed appointment as long as you continue to perform your teaching and research activities at the level expected for this prestigious position.
- Describe any additional concessions (teaching relief, additional funding, etc.) including the effective begin and end dates, the source and any other pertinent details. (*separate bullet for each concession, please)*

Please let us know of your decision and return this letter with your signature by <insert date 2 weeks away>. We value the contributions you have made to the Department of XX and view your career as one of great promise that will bring added prestige to our Department and the University of Texas. We know that your colleagues in the Department of XXX will join us in saying how much we hope that you accept this offer and continue as a faculty member at The University of Texas at Austin.

Sincerely,

Chairman's Name
Chairman's Title/s

Linda A Hicke
Dean
College of Natural Sciences

I accept this offer and agree to all the terms within:

Incumbent's Name (eid) Date

Twelve slots are set aside annually to assist in faculty recruitment and retention. Applications for these spaces are submitted by the department, and decisions are made by May 1 of the preceding spring on a first-come, first-served basis.

Process

- The department submits the form to the coordinating administrator, Carmen Shockley, via Shelley Payne. A copy of the form follows.
- Decisions are made by May 1 of the preceding spring on a first-come, first-served basis.
- If the recruit declines or the retention is unsuccessful, the department assumes financial responsibility for tuition until another child is enrolled or a period not to exceed 6 months. There is usually a long waitlist for slots and it is unlikely that another child would not be enrolled.

http://www.utexas.edu/provost/policies/childcare/

THE UNIVERSITY OF TEXAS AT AUSTIN
OFFICE OF THE EXECUTIVE VICE PRESIDENT AND PROVOST
1 University Station, G1000
Austin, Texas 78712
(512) 471-4363

THE UNIVERSITY OF TEXAS CHILD DEVELOPMENT CENTER RETENTION APPLICATION FORM

Date: ____________________

College: ____

Department: ____

Department Contact: _________________________________ Contact Phone: ___________

Employee's Name: ____

Employee's Title: ____

Employee's Office Address: ____

Employee's Phone & Email: ____

Offer From: Text_______________________________ Need child care beginning: __________
Institution | Semester and Year

Child(ren) needing care:

Child's name:__________________________________ Date of Birth:_____________

Child's name: _________________________________ Date of Birth: _____________

Child's name: _________________________________ Date of Birth: _____________

This application is to apply for one or more child care spaces at a UT Child Development Center (UTCDC) to be used as part of a faculty retention package

____ ____________________
Department Chair | Date

____ ____________________
Dean | Date

____ _____________________
Executive Vice President and Provost | Date

Teaching workload

a. Faculty workload template
b. Instructional budget flowchart
c. Teaching assignments

Departments must balance fulfilling undergraduate and graduate teaching needs and ensuring full participation of all faculty members in our teaching mission. Teaching activities can include formal courses, training undergraduate and graduate students in the research environment and developing new curricula and courses. A template has been developed for helping chairs determine the number of undergraduate courses offered by the faculty each year and distributing these among faculty at different levels of seniority and research activity.

Course projections for the next academic year are due in October. Teaching workload information for each faculty member including leaves and unbalanced teaching loads is due in April.

Determining Department Undergraduate Teaching Workload

Departments are responsible for ensuring that their TN/TT faculty cover a minimum number of undergraduate courses each year. This minimum number will be determined using the process below. Decisions about which faculty teach which courses are left entirely to the departments. Each faculty member is expected to teach at least one course per year.

1. Calculating Course Total

Departments are responsible for accurately identifying the level of research activity of each faculty member. Then, using the workload approved for the department, the total number of courses to be taught by the department is determined. See template on the next page.

2. Determining Course Reductions

Approved course reductions are subtracted from the total. Departments are responsible for identifying and justifying all reductions other than those for the department chair and chair's fellows. These are due to the Dean's office in April.

- **Department Chair**: Each department chair is expected to teach one course per year. Reductions are allocated accordingly, based on the chair's otherwise expected teaching load.
- **Chair's Fellows**: Each department will be awarded a number of chair's fellows course reductions. The chair's fellows can be grouped and used at the chair's discretion. The department allocation is determined as follows.
  Research: one course reduction for every 15 research-active faculty teaching 1-1 or greater
  Service: one course reduction for every 25 faculty
- **Endowment Chair/External Funding Buyout**: The equivalent course reduction will be based on proportion of salary paid for by those funds. Faculty names and amounts must be listed in the table provided.
- **FRA:** Each FRA that is awarded is equivalent to one course reduction.
- **Other**: Any course reductions that are part of offer or retention letters should be listed here. This is also the section where reductions for university service (e.g., vice provost), FMLA, teaching commitments to other colleges, or adjustments for previous overloads should be noted. Reductions in this section are subject to review and approval**.**

3. Calculating Department Workload

Of the total number of courses to be taught by faculty in the department, 75% (or 80% in departments with 1-0 teaching loads) must be undergraduate courses. This number constitutes the "department teaching workload" for the upcoming AY. Changes in faculty status will result in adjustments to the department workload. These changes must be communicated to the Dean's office as soon as possible.

4. NTT Teaching Budget

The number of NTT faculty that will be approved per department will be determined as follows:

\# NTT Instructors = Total Instructors Needed – Department Teaching Workload

5. NTT Workload

NTT faculty may be assigned to teach any departmental course, in accordance with the department needs. The normal workload is three 3-hour courses per semester for full-time appointment. Certain courses, or administrative assignments, will reduce the total number of courses for a full-time appointment. These may include, but are not limited to, teaching large laboratory courses, teaching sections of large lecture courses (for example, classes with more than 300 students), developing and teaching new courses, and serving as coordinator for courses with large numbers of sections. Such reductions in teaching load must be approved by the department workload committee and the CNS Workload Committee. Departmental workload adjustments will be publicized within the department and will be applied consistently.

SAMPLE DEPARTMENT TEACHING WORKLOAD FORM

Number of TT/TN Faculty

Total Faculty (2015-16)	38	
Subtract LWOP	- 1	*(list names in table below)*
Faculty Available	37	*(use this number in filling out workload below)*

Department Workload

1. List the number of available faculty that fall in each category based on their research activity *alone*.
2. List the number of course reductions. Individual faculty reductions must be specified and approved.

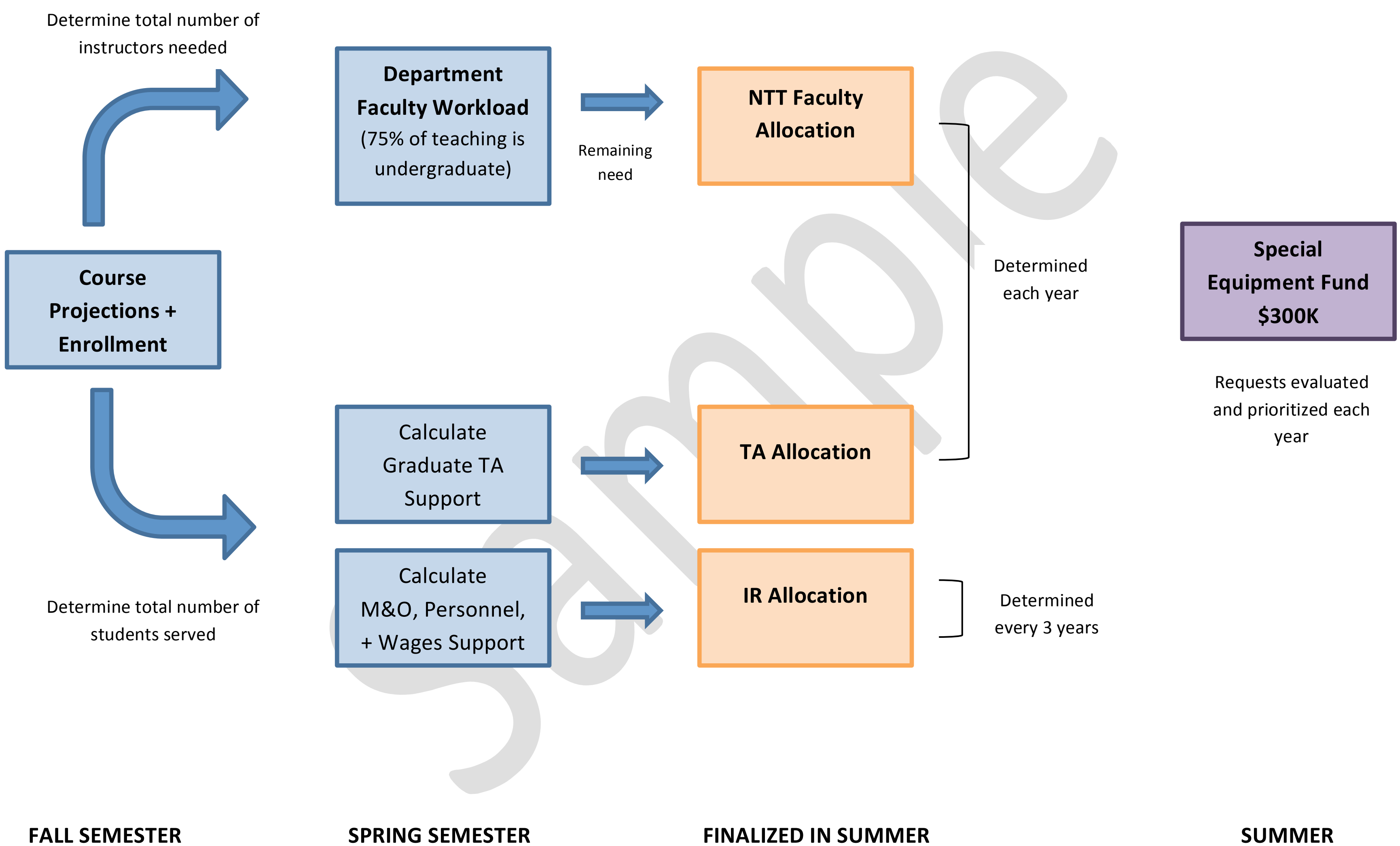
Department Teaching Workload (Example)			**Number of Courses**
Level of Research Activity	Teaching	# of Faculty	
New Faculty: Year 1 or 2	1-0	1	1
Active Research	1-1	34	68
Minimal Activity	2-2	1	4
No Active Research	2-3	1	5
	Total Faculty	**37**	
		DEPT COURSES	**78**
Department Course Reductions			
Department Chair			1
Chair's Fellows *(research or service)*			3
Endowed Chair Buyout *(list names in table below)*			
FRA			1
Other *(specify)*:			
Professor X – stipulation of offer letter			1
		DEPT COURSE REDUCTIONS	6
		Total dept courses (after reductions)	72
		Minimum Number of Undergraduate Courses to be TT Taught (75%)	**54**

LWOP + Buyouts and chair's fellows

Faculty LWOP	Name	9-month Rate	Amount Released
	Professor Z	$90,000	$90,000
Endowed Chair Buyout	Name	9-month Rate	Amount Released
Chairs fellows	Name	9-month Rate	Amount Released

Sample

Distribution of CNS Instructional Resources for Undergraduate Education (full implementation for AY 2015-16)



(Semesters are in the AY year preceding implementation.)

Sample

20XX-20XX			Fall Course	Fall Course	Reduced Teaching *	Spring Course	Spring Course	Reduced Teaching *
Last Name, First Name	EID	Academic Title	IBxxx			-		Chair's Fellow (IBxxx) Professor Name
Last Name, First Name	EID	Academic Title		-	Leave-FRA	ASTxxx		
Last Name, First Name	EID	Academic Title			LWOP			LWOP
Last Name, First Name	EID	Academic Title			ICMB Fellow	ASTxxx		
Last Name, First Name	EID	Academic Title	ASTxxx	ASTxxx	UBTL			UBTL

Reduced Teaching options*

1. Chair's Fellow and Unbalanced Teaching Load (UBTL) - indicate course normally taught by the faculty member and how students enrolled in these classes will be served. *Approval of this proposal requires that no additional funds for instruction are needed for the Department to meet its course-offering obligations.*

2. Leave without Pay (LWOP) - Has leave request been approved?

3. Leave from the Instructional Budget, such as FRA, or Grant funding. Has leave request been approved?

4. Offer Letter, Institute Fellow (specify), or other source

NOTE: For Chair's Fellow - In an attachment, briefly describe the criteria used to select the nominee and include a description of the nominee's project.

____

Department Chair (Printed Name and Signature)

Faculty leaves and modified duties

a. Requests for faculty leave
b. Requests for modified instructional duties
c. Requests for unbalanced teaching loads
d. Requests for outside employment
e. Faculty sick leave form
f. Faculty Research Assignments (FRA)
g. Chair's Fellows

Faculty may request leaves or modifications of duties to accommodate research activities or in alignment with UT family-friendly policies.

When considering leave requests, chairs should consider impact on course scheduling and availability for students. It is the Department Chair's responsibility to evaluate whether the leave is in the best interest of the department and to document how departmental teaching obligations will be met in the faculty member's absence. You should not forward a leave request to the Dean's Office until curricular issues are resolved.

Associate Dean for Faculty Affairs will review leave forms and FRA Acceptance forms as part of the overall Faculty Teaching Assignments, due March 15 for each academic year.

Approved leave requests are forwarded to the Office of the Executive Vice President and Provost [and the FRA Acceptance to the Office of the Vice Provost and Dean of Graduate Studies, as applicable] for final approval.

Faculty leave requests may include:

- Leave without pay (LWOP)
- Leave from the instructional budget (release time)
- Faculty Research Assignment (FRA **see 10f**)
- Chair's Fellows
- Leaves associated with family friendly policies (see **10b, 10e** and **16**)

Leave without pay

- Receiving **no pay** from the university for all or a portion of regular assignment. These may be for academic development, e.g. external fellowship, or for personal reasons, e.g. parental leave
- Limit of two years except for extraordinary circumstances
- At the discretion of the department and college, supplements may continue during academic development LWOP periods but not for personal leave.

Leave from instructional budget

- The faculty member continues to have full time assignment with all or a portion of salary paid from funding sources other than faculty salaries.
- There are no instructional responsibilities for the portion of assignment on other funds.

The University of Texas at Austin
FACULTY REQUEST FOR LEAVE

Superseding Request? Yes ☐ No ☐

For instructions and definitions used, please see *Instructions for the Faculty Request for Leave Form*

Name ______________________ UT EID ______________________

Job Title Select option ______________________ Dean's Office Staff Contact ______________________

1. Please list ALL Primary and Joint faculty positions

College/School	Department	Percent Time	Requesting leave from this position?		Position ID
Select college/school	Select department	______	Yes ☐	No ☐	______
Select college/school	Select department	______	Yes ☐	No ☐	______

2. Leave request information

Choose First Type: ☐ Leave Without Pay (LWOP) ☐ Release Time (RT)

Percent Time ______ Begin Date ______ End Date ______

a. Leave Reason(s) ☐ Research, Scholarship, Creative Works ☐ Visiting Faculty ☐ Professional Activities ☐ Personal

b. Project title or subject ______________________

c. Description of activity ______________________

d. Source(s) of leave stipend ______________________

e. Where will the individual be working? ______________________

Choose Second Type (if applicable): ☐ Leave Without Pay (LWOP) ☐ Release Time (RT)

Percent Time ______ Begin Date ______ End Date ______

a. Leave Reason(s) ☐ Research, Scholarship, Creative Works ☐ Visiting Faculty ☐ Professional Activities ☐ Personal

b. Project title or subject ______________________

c. Description of activity ______________________

d. Source(s) of leave stipend ______________________

e. Where will the individual be working? ______________________

3. Benefit to the university

To be completed by department administrator

4a. Length of faculty service ______________________

b. Previous LWOP and RT in last five years ______________________

To be completed by department head

5a. Teaching arrangements ______________________

b. Instructional and service-related activities that will remain ______________________

To be completed by dean's office

6a. Instructions for supplement ______________________

Signatures

Requestor ______________________ Date ______

Department Chair(s) ______________________ Date ______

______________________ Date ______

Director(s) ______________________ Date ______

______________________ Date ______

Dean(s) ______________________ Date ______

______________________ Date ______

Executive Action

☐ ***Approved***

☐ ***Approved with Contingency***

☐ ***Approved with Special Notification***

☐ ***Denied***

____

Executive Vice President & Provost

____

Date

Instructions for the Faculty Request for Leave Form

Line 1. Positions.
Include all primary and joint positions, even if from multiple colleges. Note: Position ID's can be provided by a department administrator.

Line 2. Leave Type.
Choose up to two types per form, if applicable. Additional forms may be submitted if necessary.

- Leave Without Pay (LWOP) – Funding not paid/administered through the university.
- Release Time (RT) – Release from the instructional budget using funds administered through the university.

Line 2a. Leave Reason.
Check all boxes that apply.

- Research, Scholarship, Creative Works – e.g. grant research, college research fellowship, writing a book, etc.
- Visiting Faculty – e.g. Faculty teaching at another university; might/might not be part of a formalized Visiting Faculty Agreement.
- Professional Activities – e.g. Serving as Director of XYZ Institute.
- Personal – Do not include specific details on leave form.

Line 2b. Project Title or Subject.
Provide the name or subject matter of project you will be involved with while on leave (if applicable).

Line 2c. Description of Activity.
Provide a brief description of activities to be conducted during leave period. e.g. Conduct research related to work on book.

Line 2d. Source of Leave Stipend.
Include percent time funded by each source for both LWOP and RT requests. Include account number(s), if known, for Release Time requests. If an external organization/institution is paying the faculty member directly then that organization's name should be noted. Personal Funds should be noted in cases where a faculty member's own funds are being used.

<u>Example 1</u>
LWOP (100%): Guggenheim Foundation 75%, personal funds 25%

<u>Example 2</u>
RT (50%): National Science Foundation 25% (26-XXXX-XXXX), National Institutes of Health 25% (26-XXXX-XXXX)

Line 2e. Work Location.
Include international and/or domestic location(s); do not use abbreviations.

Line 3. Benefit to the University.
Include a brief description of why the leave is in the best interest of the university and how it will improve your teaching and scholarship. e.g. Will bring prestige to the university and new ideas and concepts to the classroom.

Line 4a. Length of Service.
Provide the number of years of faculty service at UT Austin.

Line 4b. Previous Leave(s).
Include the dates for all LWOP and RT leaves taken within the past five years.

Line 5a. Teaching Arrangements.
List the class(es) that will not be taught and describe how each will be handled. e.g. Class(es) will be canceled, taught in another semester, or taught by another faculty member (provide name).

Line 5b. Instructional and Service-Related Activities.
Describe the instructional and service-related activities that the faculty member will still be responsible for during the leave period. e.g. Supervision of graduate students, individual instruction courses, course development, advising, serving on budget councils and departmental committees. Indicate "None" if not applicable.

Line 6a. Salary Supplement.
Individuals on leave without pay for personal reasons may not continue to receive their supplement during the period of leave. The dean's office should provide instructions for handling the supplement, if applicable.

Tenure-track and other full-time faculty members may request **modified instructional duties** (MID) for one semester when certain personal circumstances prevent them from being able to perform their classroom teaching duties, and when such modifications are found to be in the interest of the University's instructional programs. MID is not a leave, does not affect the probationary clock, and replaces the faculty member's classroom teaching duties only with an alternative work assignment.

Procedure:

1. The faculty member writes a request to his/her Chair.
2. If the Chair is in agreement with the faculty member's request, he/she will forward the request, along with an accompanying memo of support, to the Dean.
3. If the Dean is in agreement with the proposal, she will then send the Provost a memo of support along with the chair's letter and the requesting faculty member's original letter.
4. The Provost replies to the Dean, and the Dean notifies the department.

In some circumstances, a faculty member may request an unbalanced teaching load to maximize research and scholarship or to facilitate department course offerings. With an unbalanced teaching load, the faculty member teaches shifts all or part of the teaching from one semester to the other.

Procedure:

1. The faculty member writes a request to his/her Chair.
2. The chair confirms that this will not adversely affect course scheduling and course availability for students. The unbalanced teaching load must not result in an increase in the instructional budget.
3. If the Chair is in agreement with the faculty member's request, he/she will include the modified teaching as part of the faculty workload and teaching assignments for the academic year (**see form in Section 9c).**

Outside employment activities that contribute to the effectiveness of the faculty member as a teacher and productive scholar and can meet the individual's and institution's obligation of public service are encouraged. There are, however, limits, and approvals must be obtained.

Outside activities:

May not interfere with performance of primary responsibilities

May not exceed 20% when full-time with the University

The faculty member cannot receive additional compensation for consulting within own school, college, ORU

Procedure

Near the beginning of each fall semester, faculty and staff submit Requests for Outside Employment to their supervisors for approval. This fall, the university will continue to implement the UT System Conflict of Interest/Conflict of Commitment/Outside Activities policy found in HOP 5-2011. However, there are three changes in the process that have been implemented by the Board of Regents and the UT System

1. The process will include Requests for Prior Approval of outside activities and outside employment in addition to disclosures such as those made earlier this year.
2. Faculty and FLSA-exempt staff should use UT System's electronic **Outside Activity Portal (OAP)** instead of the Outside Employment paper forms used previously.
3. Reporting will be on a calendar-year instead of academic-year basis.

Directions for preparing and submitting Requests for Prior Approval and disclosures for this conflict of interest policy are on the Provost's Office website.
Employees should make timely disclosures of outside employment and activities throughout the calendar year. UT System requires individuals to certify their disclosures in the OAP for the previous calendar year January 1 and March 31of each year. Please consult the Provost's Office website to determine who is subject to this policy, to learn about training for HOP 5-2011, and to access information about using the OAP.
Anyone who does research and has disclosed already under Objectivity in Research – Financial Conflict of Interest (HOP 7-1210), does not have to disclose the same activities again in the OAP. However, they may need to file a Request for Prior Approval for outside activity using the OAP. Additional information about this policy is available on the Provost's Office website.

Department Approval

Papers forms are no longer used for outside activities requests. Department chairs will approve/not approve requests through the approver portal
http://outsideactivity.utsystem.edu/

The University of Texas at Austin

FACULTY MONTHLY REPORT OF SICK LEAVE TAKEN

Name: ______________________________ Department: ______________________________

(Print or Type)

EID: ______________________________ College/School: ______________________________

Title: ______________________________ Account No: ______________________________

Certification (Signatures)

Faculty Member: ______________________ Department Chair: ______________________

Date: ______________________ Date: ______________________

	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
1					UT HOLIDAY							
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30						------						
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Total												

For UT FACULTY:
Original: Executive VP and Provost
Copy 1: Dean,
Copy 2: Chair

Faculty Research Assignments are:

- Administered through the Graduate School
- Provide release from reaching responsibilities 100% for one semester or 50% for long-session
- Require a return to service
- Half of the funding is provided by Faculty Development funds, the rest is faculty salaries

Purpose:

Faculty Research Assignments (FRA) provides semester-length leaves for tenured faculty members. Typically, the objective of an FRA is initiation, furtherance, or completion of a specific research project. Occasionally, awards are made for longer-term research development. FRAs are usually not awarded merely to allow faculty members more time for research; most successful proposals encompass objectives that would be difficult to accomplish without an FRA. In any case, the proposed work must have its own coherence, limits, and purpose. FRAs are awarded only when there is a reasonable prospect that the proposed project will have a positive outcome.

Eligibility

Tenured faculty members (associate and full professors) who satisfy the following standard eligibility condition may apply for a 2014 - 2015 FRA: by the beginning of academic year 2014 - 2015 the faculty member must have completed at least four full academic years of service in residence at UT Austin since any previous FRA award. (Example: a tenured faculty member who was supported by an FRA at any time during the academic year 2009 - 2010 would be eligible to apply for another FRA to be held during the academic year 2014 - 2015 provided the faculty member had fulfilled his or her normal duties at UT Austin during all the intervening four academic years.) If there is no previous FRA award, then by the beginning of academic year 2014 - 2015 the faculty member must have completed at least four full academic years of service in residence at UT Austin. Faculty will use the Graduate School Online Awards System in UT Direct to apply for FRAs and SRAs - no hard copies are involved. The online system is designed to make the nomination, review and award processes much more streamlined. The FRA applications are reviewed and ranked by a faculty committee within CNS. Depending on the level of available funding, the Dean will approve the top-ranked applications and forward the successful applications to the Faculty Development Program in the Graduate School.

All FRA applications must be approved by the chair before they can be submitted for review.

Each chair has an allocation of Chair's Fellow assignments that can be used to release a faculty member from teaching for one semester to allow time for faculty academic development, curriculum development or service activities. Departments are allocated 1 Chair's Fellow for every 15 research-active faculty not on other fellowships or teaching reductions plus 1 for every 25 faculty.

Assignments

- Faculty member remains on the instructional budget but is released from teaching responsibilities for that semester
- Chair's Fellows are listed on the department faculty workload template
- Return to service required

Non-Tenure Track Faculty

a. Hiring and offer letter template
b. NTT handbook for information on assessment and promotion

Non-tenure track faculty, including lecturers, research faculty and clinical faculty are an integral part of the University. The lecturers are essential to our under-graduate teaching mission, and they provide a variety of other services, such as student advising. Hiring, mentoring and professional development of these faculty should be done with the same care and respect as the hiring of faculty on the tenure track. They should be included in departmental activities and the faculty decision-making process, particularly with respect to curriculum.

CNS has established a lecturer standing committee. They are developing the Lecturer Handbook, which provides information for both the lecturer and the department chair. They participate in the NTT Faculty Forum and are an important source of communication between the lecturers, the department, and college administration. Current members of the committee are:

Jane Arledge (Math)
Ruth Buskirk (Biology)
Cynthia Labrake (Chemistry)
Mike Scott (Computer Sciences)
Lydia Steinman (Human Ecology)

Hiring

Departments may hire both part-time and full-time lecturers. Full-time lecturer positions should be advertised nationally. The College of Natural Sciences expects each unit to hire and retain the best possible lecturers. Two- or three-year contracts may be offered to new hires that have demonstrated teaching excellence. Copies of the standard and multi-year contracts follow.

The departments will set the NTT faculty salaries, with approval from the College. The lowest salary for full-time lecturers must be higher than the department's fulltime Assistant Instructor salary.

On occasion, postdoctoral fellows or research associates serve as lecturers, in addition to their research appointments. There are a number of benefits in doing this, both for the lecturer and the students. However, this creates budgetary and appointment problems. Their research appointments rates are often far higher than the rate for a beginning lecturer or even a senior lecturer. This creates an inequity since more experienced lecturers are receiving less for teaching the same course, and it increases our instructional costs. However, appointing the researcher at a lower rate would reduce their salary. Beginning this academic year, we are appointing new research staff lecturers at the same rate that a new, full-time lecturer would be appointed. If the instructional rate is lower than the person's current classified rate, the laboratory director or department will need to make up the difference as a supplement from research or other funds.

Full-time NTT faculty members are eligible for many of the same benefits made available to full-time tenure-stream faculty members and full-time staff.

The department will provide an orientation to all new NTT faculty members.

SAMPLE OFFER LETTER **1 YR or < LECTURER POSITION**

CNS Updated June 2014

<*Date*>

XXXXXXX
XXXXXXX

Dear <*Candidate's name*>:

I am pleased to inform you that the Dean of the College of Natural Sciences has authorized me to offer you an appointment to the faculty of the <*Department of* > at The University of Texas at Austin:

Title:	Lecturer
Period of Appointment:	9/1/14 – 5/31/15
Percent Time:	75.00%
Nine-month Academic Rate:	$46,000
Total Stipend:	$34,500

This commitment is for a temporary appointment without tenure for the above-stated period only.

All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System. All employees are subject to the provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Your teaching assignment for <*Semester & year*> will be <*number*> section(s) of <*course number and title*>. Should enrollment fluctuate, causing cancellation of any course section you have been assigned to teach, the percent time of your appointment or your assignment will be adjusted in accordance with College policy. As a member of our teaching faculty, you are expected to participate in the course-instructor evaluations. Questions concerning your course assignment, which is determined by the chair of the department, should be addressed to <*Chairperson*> at <*512-XXX-XXXX*>.

If you have other specific performance expectations describe these. For example: "*Your duties will include coordination of the lower-division sections of XXXXXX" or "Your duties will include serving as undergraduate adviser for the program in XXXXX."*

• Include the following paragraph for NEW benefits-eligible employees.
• "NEW employee" includes those whose previous UT appointment was to a student academic title (e.g., GRA, TA, AI).
• Omit the benefits paragraph when the candidate is a continuing benefits-eligible employee—faculty or staff.

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resources will provide you with full information on available University services and resources at the New Employee

Welcome/Orientation. You should attend this as soon as possible upon your arrival. For this purpose please note that new employees have 31 calendar days from their initial appointment date <*(September 1) or (January 16)*> to enroll for insurance coverages.

Include the following paragraph when all pre-employment screening requirements apply (i.e., candidate is NEW to UT):
• When the candidate is a current UT employee and has an I-9 on file but has not had a background check nor satisfied the transcript requirement, substitute the following paragraph for the one above.
• If a UT employee candidate for the position has had a background check, drop the text referring to this (second and third sentences), leaving only the transcript authorization requirement text (last two sentences).
• If the candidate previously satisfied all pre-employment screening requirements for a faculty appointment (i.e., all pre-employment forms are on file), then omit the paragraph.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include the following:

(1) Completion of the I-9, Employment Eligibility Verification form and provision of required documentation within three working days of the start date of your assignment. This documentation is required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States and will be handled upon your arrival.
(2) A background check as required by institutional policy for newly appointed faculty. For this purpose, you will receive an email with instructions for accessing the Background Check Administration system to provide the necessary information for conducting the background check.
(3) Satisfaction of a credentialing requirement that is a criterion for institutional accreditation. Please complete and return the enclosed Official Transcript Authorization for New Faculty form to the department for handling.

We are enthusiastic about your proposed appointment and look forward to having you as a member of the faculty. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Should you have any questions concerning the offer you can contact me at (512) <*Department Chair's phone*>.

Sincerely,

<Name>
Department Chair

Enclosures:
Attachment B for 2-9991-PM - Information for New Non-Tenure Track Faculty Members
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Dean Linda A. Hicke, College of Natural Sciences
Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

______________________________________ __________________________

<*Candidate's name*> Date

SAMPLE OFFER LETTER**:** **MULTI-YEAR LECT/SR LECTURER**

CNS Updated June 2014

<**Date**>

XXXXXXXX
XXXXXXXX

Dear <**Candidate's name**>:

I am pleased to inform you that the Dean of the College of Natural Sciences has authorized me to offer you an appointment to the faculty of the <*Department of*> at The University of Texas at Austin:

Title:	Senior Lecturer
Period of Appointment:	9/1/14 – 5/31/15
	9/1/15 – 5/31/16
	9/1/16 – 5/31/17
Percent Time:	100%

Your nine-month academic rate will be $_____________ for the 20xx-xx academic year and will be reviewed annually thereafter. This is for a temporary appointment without tenure. For FIXED Contract terms: <The commitment is for the stated three-year period only.> For ROLLING contract terms: < The commitment is for a rolling three-year period. After completion of the first year in the assignment an additional year will be added, so that your assignment will be for a continuous three-year period.>

All appointments to the faculty are subject to confirmation by the Board of Regents of The University of Texas System. All employees are subject to the provisions of the *Rules and Regulations* of the Board of Regents and the *Handbook of Operating Procedures* of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Although specific course assignments will be made at the discretion of the Department Chair, it is expected that your teaching assignment will be focused on the following courses over the period of this appointment: XXXXX and XXXXXX. Your teaching assignment for the fall of <**academic year**> will be <**number**> section(s) of <**course number and title**>. Should enrollment fluctuate, causing cancellation of any course section you have been assigned to teach, the percent time of your appointment or your assignment will be adjusted in accordance with College policy. As a member of our teaching faculty, you are expected to participate in course-instructor surveys. Questions concerning your course assignment, which is determined by the chair of the department, should be addressed to <*Chairperson*> at <*512-XXX-XXXX*>.

If you have other specific performance expectations describe these. For example "*Your duties will include coordination of the lower-division program in XXXXXX" or "Your duties will include serving as undergraduate adviser for the program in XXXXX."*

• Include the following paragraph for NEW benefits-eligible employees.

• *"NEW employee" includes those whose previous UT appointment was to a student academic title (e.g., GRA, TA, AI).*
• *Omit the benefits paragraph when the candidate is a continuing benefits-eligible employee—faculty or staff.*

The enclosures cover important information for new faculty members at The University of Texas at Austin, including an overview of retirement and other benefits. You will be entitled to all employee benefits authorized by the state legislature. Human Resources will provide you with full information on available University services and resources at the New Employee Welcome/Orientation. You should attend this as soon as possible upon your arrival. For this purpose please note that new employees have 31 calendar days from their initial appointment date *<(September 1) or (January 16)>* to enroll for insurance coverages.

Include the following paragraph when all pre-employment screening requirements apply (i.e., candidate is NEW to UT):
• When the candidate is a current UT employee and has an I-9 on file but has not had a background check nor satisfied the transcript requirement, substitute the following paragraph for the one above.
• If a UT employee candidate for the position has had a background check, drop the text referring to this (second and third sentences), leaving only the transcript authorization requirement text (last two sentences).
• If the candidate previously satisfied all pre-employment screening requirements for a faculty appointment (i.e., all pre-employment forms are on file), then omit the paragraph.

This offer is contingent upon satisfactory completion of all pre-employment screening requirements. These include the following:

(1) Completion of the I-9, Employment Eligibility Verification form and provision of required documentation within three working days of the start date of your assignment. This documentation is required by the Federal Immigration Reform and Control Act to verify employment eligibility to work in the United States and will be handled upon your arrival.
(2) A background check as required by institutional policy for newly appointed faculty. For this purpose, you will receive an email with instructions for accessing the Background Check Administration system to provide the necessary information for conducting the background check.
(3) Satisfaction of a credentialing requirement that is a criterion for institutional accreditation. Please complete and return the enclosed Official Transcript Authorization for New Faculty form to the department for handling.

We are enthusiastic about your proposed appointment and look forward to having you as a member of the faculty. Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Should you have any questions concerning the offer you can contact me at (512) *<Department Chair's phone>*.

Sincerely,

<Name>
Department Chair

Enclosures:
Attachment B for 2-9991-PM - Information for New Non-Tenure Track Faculty Members
Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
Senior Vice Provost for Faculty Affairs Janet Dukerich
Dean Linda A. Hicke, College of Natural Sciences
Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment and attest that the credentials reflected in the curriculum vitae submitted with my application are correct:

____ ___________________________
<Candidate's name> Date

Workload

NTT faculty may be assigned to teach any departmental course, in accordance with the department needs. The normal workload is three 3-hour courses per semester for full-time appointment. Certain courses, or administrative assignments, will reduce the total number of courses for a full-time appointment. These may include, but are not limited to, teaching large laboratory courses, teaching sections of large lecture courses (for example, classes with more than 300 students), developing and teaching new courses, and serving as coordinator for courses with large numbers of sections. Such reductions in teaching load must be approved by the department workload committee and the CNS Workload Committee. Departmental workload adjustments will be publicized within the department and will be applied consistently.

Appointments

Lecturer: initial appointments will be for 1 semester or 1 academic year. Whenever possible, appointments should be for the academic year.

Senior Lecturer: Appointments should be for 2 academic years. Three-year appointments should be made when feasible.

Distinguished Senior Lecturer: Distinguished senior lecturers should receive rolling 3-year appointments.

Details of such appointments will come in the form of a contract letter no later than the first day of class.

Review

Review: Each lecturer will be reviewed annually. NTT faculty members will submit Faculty Activity Reports annually and will administer Course Instructor Surveys for all classes.

As stated for all faculty in *2013-14 Guidelines for Annual Review of Faculty*: "annual reviews shall focus on individual merit relative to assigned responsibilities, and the basis of the review is the record of teaching, scholarship, and service. The following materials for the year under review are to be assessed:

- Annual Faculty Activity Report (FAR)
- Current curriculum vita
- Student evaluations of teaching, including all written student comments
- Additional materials as available, such as peer teaching observations, any documentation directly relevant to the record of teaching, scholarship or service, and information submitted by the faculty member."

During the first two semesters (or longer as needed) the review will include at least one peer assessment, student reviews (CIS), and a meeting with a departmental representative.

3rd year review: After 5-6 semesters of teaching, the lecturer will receive a full review of performance, including teaching, service, and research (See Appendix 1. Activities). The review should be done by a faculty subcommittee, and, where possible, a senior lecturer shall be a member of the committee. The review should include analysis of peer reviews, CIS, the lecturer's teaching statement and self-reflection and any other materials submitted by the lecturer in a Teaching Portfolio.

The results of the 3rd year review should be communicated in a meeting between the department chair or designee and the faculty member. At this time, there should also be a discussion of the future role of the NTT faculty member in the department. If the faculty member is meeting or exceeding expectations and wishes to be on track for promotion to senior lecturer, the chair should inform the lecturer of the requirements for promotion. If the NTT faculty member is not either meeting or exceeding expectations, the contract should not be renewed.

Faculty Course Instructor Surveys

Course Instructor Surveys (CIS) are a standardized mechanism for feedback to faculty from students and can assist in the continuous improvement of a faculty member's teaching.

Research indicates that care must be taken in order to glean accurate interpretations of CIS scores. In an attempt to get more meaningful information, academic units might consider implementing one or more of the following when using CIS scores for evaluation of teaching and for promotion purposes.

- Aggregate similar scores for comparison
- Take into account the acceptable temporary dip in scores that sometimes occurs as a result of innovative teaching techniques, or when teaching a course for the first time
- Consider any discipline- or department-specific issues that affect CIS scores
- Make a meaningful attempt to understand and take into consideration the well-documented biases inherent in student ratings

Faculty Peer Observation

Peer observation is a mechanism for constructive feedback and continuous improvement. Peer review and discussion can be used for increasing departmental communication about teaching, for evaluation purposes (review and promotion) and for improving teaching. The observer must be provided with the instructor's syllabus, exam samples, and other significant teaching materials used (for example, the course web site).
Prior to the peer observation process, the departmental leadership should discuss examples of and criteria for excellent teaching as well as the warning signs of teaching that may need improvement. Because teaching styles vary, observers should be open to consideration that an instructor's style, however different, may be effective. The observer should give constructive comments and feedback to the lecturer and may provide evaluative comments to the department chair as requested.

Tools for Effective Observation

Evaluations should include the use of short forms that merit careful attention by the reviewer. Questions on the forms should call for a narrative response or a choice among three or four responses. See APPENDIX IV.

Each peer evaluation/observation report should include:

- Number and title of course observed
- Date of report
- Name and signature of observer
- Date of pre-observation meeting between observer and instructor, at which the syllabus and assignments are reviewed, special instructor concerns are addressed, and a mutually agreed class and date are specified
- Date of classroom observation(s)
- An instrument that reflects methods by which instructor engages students in active learning
- Date of post-observation meeting of observer with instructor, at which the observation was discussed; and
- Instructor's signature affirming that the discussions took place.

Preparation and Training for Effective Peer Observation

Before peer evaluations are conducted, peer evaluators should be given detailed guidance and an opportunity for training. As a minimum, the departmental criteria for effective teaching should be discussed. Observers should be requested to recognize instructors have different teaching methods and to consider the effectiveness of teaching styles that might differ from their own. Evaluation templates should be provided to guide the evaluator's observations of teaching. (See Appendix IV.)

Advancement

The basis for promotion to senior lecturer or distinguished senior lecturer should be defined and communicated to the NTT faculty. The set of basic criteria that follow provide common standards for the entire College, and departments may add department-specific criteria. These criteria should be discussed with individual faculty at their third-year review and at subsequent reviews.

The standards for advancement will include sustained excellence in teaching and in at least one other area (service or research). Additional consideration will include the instructor's participation in instructional and curriculum activities beyond his or her classroom. Lists of such activities may include, but are not limited by, the research and service activities listed in Appendix I. Activities. The activities considered for service will be beyond the lecturer's position that counts towards the teaching load.

It is expected that in order to qualify for promotion, a NTT faculty member will "exceed expectations" in most categories in annual reviews. Teaching excellence will be determined by having

- high peer evaluations
- high CIS scores as compared to those instructors teaching comparable courses
- evidence of reflective teaching and efforts for improvement

Evaluation of a lecturer's contributions in the classroom will consider course organization, student engagement, innovation and creativity, and enthusiasm.

The University's recommendations for NTT faculty advancement http://www.utexas.edu/provost/research/non_tenure/ (2005 Hart) provides the following information.

Recommendations of the Implementation Committee on the Status of Non-Tenure-Track Faculty
"For faculty with investment in and ongoing service to the University, there should be a career path with several promotion opportunities and comprehensive performance evaluation. After six years of service, the evaluation would normally include discussion of opportunities and expectations for promotion to Senior Lecturer."

"After 10 years of service in rank, Senior Lecturers may petition to be considered for promotion to Distinguished Senior Lecturer. . . Promotion to Distinguished Senior Lecturer should be reserved for extraordinary service and performance as defined by individual units."

"The recommended comprehensive review for each level does not imply mandatory promotion and candidates should realize that promotion is not automatic. Furthermore, there is no "up or out" requirement. Rather, the review should provide clear feedback about the candidate's strengths and weaknesses, information relevant to decisions concerning contract renewal, and information about the *likelihood* of promotion to a higher rank."

Communication within the College

All new lecturers will be encouraged to attend the new lecturer orientation provided by the University.

The College has a standing committee on NTT faculty that reports through Faculty Affairs and provides a mechanism for communicating lecturer concerns to the College and the departments.

CNS Promotion and Tenure committee: One Distinguished Senior Lecturer will be elected by voting NTT faculty in the College to serve a two-year term on the college committee. The NTT member of the committee will serve on the subcommittees for all lecturer promotions.

All CNS NTT faculty are invited to explore and use resources for professional development, including those listed in APPENDIX III. Resources

Integration with department

Voting faculty: NTT faculty members who have had a total of four or more continuous long session semesters of service with appointments of 50% time or greater are voting members of the general faculty. They should be invited to participate in faculty meetings for discussion and voting on course and curriculum issues.

NTT faculty members should be included in any faculty meetings when appropriate. In particular, they should be invited to attend meetings in which curriculum and teaching are discussed.

Meeting with department leadership: The chair and other department leadership, such as associate chair and director of undergraduate advising, should meet with the NTT faculty at least once a year. This provides a forum for exchange of ideas and communication of changes in policies related to NTT faculty.

Departmental mentors: The departmental leadership should facilitate matching with or assignment of mentors for NTTF for the purpose of development and communication about teaching.

APPENDIX I. Activities

Service:
In addition to sustained excellence in teaching, the standards for advancement will include faculty contributions in at least one other area, such as service or research. The activities considered for service will be beyond the lecturer's position that counts towards the teaching load. For example, if academic advising or program leadership is counted towards, or used to reduce, the lecturer's fulltime workload during a long semester, additional service or research would be expected as part of the promotion file.

1 Advising
- Undergraduate Adviser
- Honors Advisor

2 Development of innovative teaching technology
3 Sponsor student organization
4 Outreach
- K-12
- Community, Local, State/National/International
- Presentations to the public
- Judge science fairs and science competition

5 Student Recruitment and Retention
- orientation
- admissions
- boot camp
- summer bridge
- assessment for course placement
- TIP
- Explore UT

6 Committee membership
- departmental
- college
- UT
- State, National or International organizations
  Professional organization: Local/ State/National/International
  Community organization: Local/State/National/International

7 Administrative
- directing a program (e.g. Health IT)
- developing a new program
- coordinating multiple sections of a course
- supervising LAs/graders/TAs
- scheduling courses
- Undergraduate Curriculum Chair

8 Other Academic Activities
- Work with CTL Credit by Exam
- College Board Advanced Placement Course and Exam

- International Baccalaureate Courses and Exam
- UIL Exams (High School Academic Competitions)

Teaching, beyond the classroom:

1 Professional development (teaching)
- participates in workshops, CTL events, etc.
- UT events
- off-campus events (including education conferences)
- informal
  - discussing teaching issues with colleagues
  - sharing resources to improve teaching
- presentations on teaching and curriculum
  - UT events
  - off campus events

2 Course development (meeting student and departmental needs)
- majors and service courses
- honors courses
- dual credit courses
- online courses
- signature courses

3 Innovation
- Innovative questions, clicker use, case studies
- delivery of materials outside class
- flipping, coordination with online resources
- inquiry-based learning

4 Performing peer observations and evaluations

5 Mentoring

Research

1 Papers
   refereed
   non-refereed

2 Books

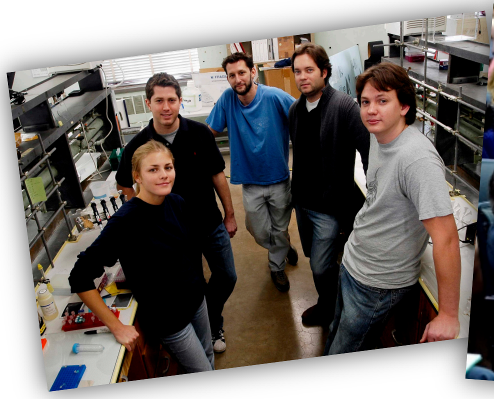
3 Editor or reviewer for professional journals

4 Grants, external funding

5 Presentations
   at UT
   at other institutions
   at regional/national/international conferences

6 Student research mentoring
   undergraduate
   graduate

Undergraduate and Graduate Teaching



a. Course scheduling and coursework policy
b. TAs and graduate student support
c. Student grievances
d. Teaching Awards

Teaching is a major component of our mission and faculty will be engaged in teaching at both the undergraduate and graduate level. As chair, you will oversee the undergraduate curriculum and assign faculty teaching. You will work with the chairs of graduate studies for teaching in graduate programs that involve your faculty.

Creating a community of students, faculty and staff in your department will enhance the educational mission and make the department a rewarding place for everyone who works there.

Course scheduling

Course scheduling (see **Sections 9** and **12b**) should be done with student needs in mind. Faculty convenience can be considered but should not be the driving force in determining the time, frequency and capacity of classes. It does not work to have all classes scheduled between 9 and 3:30 on Tuesday/Thursday.

Posting of Course Syllabi: A syllabus must be provided to students on the first class meeting day, and it be posted electronically. As department chair, you are responsible for ensuring that your faculty meet this requirement. This policy is consistent with the biggest piece of advice that the Associate Dean for student Affairs offers to faculty—if you provide students a thorough syllabus and stick to what it says, then they have little room for later grievance.

Posting of Required Textbooks: By Texas statute, faculty are now required to provide public notice of required textbooks for courses no less than 30 days prior to the start of the semester. Departments will be working with faculty to collect this information and provide notice through the University Co-Op. Faculty may also directly upload information to the Co-Op through a web portal, but may also work through your department.

A BAKERS'S DOZEN OF COMMONLY ABUSED ACADEMIC POLICIES

These constitute the most common student complaints. Since student grievances will come to the chairman first, it is in your best interest to make sure your faculty are aware of and adhere to these policies.

1. Final examination. Guidelines for final examination are the most detailed of all academic policies, and are also the most abused. Adherence to the posted final exam schedule, posted in the Course Schedule, is required and exceptions are rare. Requests for time or room change require approval of the department chair and the dean of the college. In addition, permission of the department chair is required if a final exam is not given.

2. Course syllabus. The syllabus is essentially a contract between student and instructor. It is the first thing the department chair and the dean of the college ask for to arbitrate disputes between faculty and students. Fortunately, the faculty member is required to provide a copy of the syllabus by the first meeting day of the class and make it publicly available on the University web site. The syllabus should include details about course content, prerequisites, drop deadlines, attendance policy, exam times, make-up policy, grading procedure and much more. The bigger the syllabus, the less the instructor is to get hassled later.

3. By the 12th class day. Students with special concerns, be they athletes who might miss class meetings, students with religious observances that interfere with class meetings, or students with disabilities who need special accommodation, are all supposed to notify the instructor about these special needs. Especially in large classes, responding to these requests can be difficult to manage, so you need to be organized and responsive. If the instructor is going to be a stickler for that 12th class day requirement, they should keep lists of student requests and what the accommodation will be.

4. Required meetings outside scheduled course times; night exam conflicts. Required class meetings including required office hours, discussion sections, lectures and exams can be scheduled only at times published in the *Course Schedule*. If exams are scheduled at times not identified in the *Course Schedule*, make-up exams must be provided without penalty. Be aware that because there has been a significant increase in the scheduling of evening exams, it can be difficult for students to create a full schedule without a conflict arising. When a scheduled night exam unavoidably conflicts with other scheduled evening exams or labs, a solution must be found that does not affect student performance.

5. Substantial examination during the last week of classes. It is not permitted to give exams counting for more than 30% of the course grade during the final week of classes. Also be aware that a large percentage of faculty schedule exams during the final week of class instead of during the official final examination period..

6. Incompletes. An incomplete (X) is a temporary delay in reporting the final course grade. It is to allow students with nonacademic issues the time to make up missing work so that a fair final grade is assigned. It is not to allow a student to replace graded coursework. A written agreement between student and instructor should accompany every "incomplete" so there is a clear understanding of what must be done to complete the work. The student must complete the requirements and the instructor must report a final course grade by the last date for grade reporting in the next long-session semester, or an F will be recorded as the final grade. In the event of a need for extending this deadline, the dean's office looks carefully at such requests and may require students to provide documentation of their circumstances prior to making decisions on extensions.

7. Course evaluations. Course Instructor Surveys (CIS) must be completed for every formal course taught at UT Austin. The University takes a dim view of faculty who do not complete this, if for no other reason than that the evaluations are an essential piece of promotion, post-tenure review, merit raise, teaching awards and reappointments. You will be emailed later in the semester with the option to choose online vs. paper evaluations for your courses. Instructors and Teaching Assistants are not to be present in the room while surveys are being administered.

8. Grading equity and clarity. Equity: Grading policies must be applied uniformly in accordance with the grading policy identified in the syllabus. Replacement or "extra credit" grading opportunities must be provided to every student. Not providing the same opportunity to earn a grade to every student in a class raises an immediate flag in the Dean's Office. Clarity: Many faculty curve the course grades, since this allows correction of any unanticipated difficult challenges on a test, etc. At the same time, one has to manage and appreciate the ambiguity as to where a student stands in your course. A common student complaint is "I had a xx% going in to the final so I don't understand why I ended up with a grade of C." Articulating your standards as clearly as possible in the course syllabus will reduce explaining things to students at the end of the semester.

9. Availability of coursework. Faculty must provide students with access to all written material submitted as part of a course. If coursework is not returned to the student it must be retained by the instructor for one long semester following the completion of the course. If a student asks to see the work, you have to provide it.

10. Makeup work. A reasonable policy for makeup work should be identified in the syllabus. Requiring a student to drop a course because an exam is missed for good cause is not acceptable, nor is it appropriate to view makeup work in a punitive manner. Although the Dean's Office cannot enforce simple human decency, it will exert pressure through the department chair to achieve fairness for students who have documented nonacademic reasons for incomplete assignments.

11. Q-drop policy. Know and correctly implement the Q-drop policy. In particular, faculty must:

1. Provide substantial course assessment before the imposed Q-drop deadline (in principle by the 20th class day) but certainly no later than the mid-semester drop deadline (typically around the 49th class day). See the Registrar's page at http://registrar.utexas.edu/calendars for specific dates.
2. Provide realistic advising to students considering a Q-drop and do not encourage them to remain in the class past the Q-drop deadline unless there is a reasonable possibility of success;
3. After *approximately* the 49th class day, students can only drop a course by providing substantiated nonacademic reasons to the College or the Dean of Student's Office (exact dates vary by semester and are listed on Registrar's link above or the next page of this memo). After the drop deadline the instructor may be asked to provide information about student progress in the course to validate or refute a nonacademic drop or withdrawal request, but the College has ultimate authority in assessing these.
4. Please encourage students experiencing significant nonacademic problems (extended health problems or family emergencies) to contact the Dean's Office or the Dean of Student's Office for assistance.

12. Processing of nonacademic and scholastic dishonesty cases. Refer nonacademic (family, health, etc) problems and scholastic dishonesty cases to appropriate offices. If uncertain about where to refer a student with a nonacademic problem, contact the Assistant Dean Mike Raney mraney@mail.utexas.edu in the Dean's Office. Also contact Mike Raney for consultation or advice about cases of potential academic dishonesty. For advice, you can also call Student Judicial Services in the Dean of Students Office (http://deanofstudents.utexas.edu/sjs/). Do not decide to manage academic dishonesty issues off the record. It can end badly if you do not follow procedure, and a large number of the cases that end up in the dean's office come from incorrect handling of such cases.

13. Confidentiality. A student has a right to confidential distribution of grade information. The return of graded coursework must be done in a manner that ensures confidentiality. Further, spreadsheets with student grades is considered “category 1” data by the university and must be protected with encryption on your local computer and in email communications. Instead consider switching your grading to one of the secure web- based grading systems. Finally, parents may not be given information about student performance without student consent. To be safe, politely minimize conversation with parents about their children and speak only in general terms about academic issues. Persistent parents should be referred to the Dean’s Office for an explanation of confidentiality rules.

REGISTRATION AND GRADING POLICIES

ROSTERS

Official class rosters are available to instructors through CLIPS and Blackboard. CLIPS furthermore provides instructors with a roster including a picture of each student. This is a very easy procedure that requires only that you know your UTEID. It is a great way to familiarize yourself with the names of your students. Please note that the roster and the photo ID list is considered “category 1” data by the university and requires appropriate measures be taken in their use and distribution.

ATTENDANCE

University regulations require instructors to keep attendance records for students with less than 30 hours. If the size of the class makes checking roll impractical, assign several homework sets and check these against your class roll to isolate attendance problems. Report these problems to the student's academic dean. This can be done electronically using the absence/failing report (see below).

ADDING AND DROPPING COURSES

The academic calendar is provided at http://registrar.utexas.edu/calendars. The College of Natural Sciences adheres strictly to the published deadlines of the University. The following information is generally true during each new long semester. Summer courses are subject to a somewhat compressed version of this procedure:• **4th class day: Dropping courses electronically:** During the first four class days, students may add and drop courses with the Registrar’s online registration service, ROSE (Sept.4 for Fall, Jan 17 for Spring).

5. **12th class day: Dropping a class with possible refund:** During days five through twelve students may drop courses online, but must go to the department offering the course to seek permission to add a course. Be advised that some departments do not allow adds/drops after the fourth class day. For those departments that do allow adds/drops, the add-transactions before the twelfth class day will be processed in the respective department. Students who wish to add a class after the twelfth class day should be required to go to the Student Division of the Dean's Office (first floor of W. C. Hogg) to provide justification

for the proposed change. The student must have written permission and documentation of class attendance from the instructor and departmental approval.

6. **49th class day (approximate): Last day to drop a course with approval:** After the 12th day of class, and until the deadline for dropping courses a student wishing to drop a course will get the forms from the Dean's Office (WCH 1.106) or their departmental advising center and ask the instructor to sign the drop form. Instructors are also asked to indicate on this form the grade (**A**-**F**) that the student has earned in the class up to this point. In contrast to previous years, instructors are not asked or able to assign a **Q** vs **F** on this form; henceforth the students are completing this paperwork for a Q-drop.
7. **Nonacademic Q-drop:** After the last day for academic Q-drop students with substantiated nonacademic reasons (as determined by the Dean's Office) may be allowed to drop a course. Faculty will be asked to provide information on student performance up to the time of the nonacademic Q-drop request but are not responsible for making the decision about assigning a grade of Q. Please encourage students who experience significant nonacademic problems such as extended health-related problems or family emergencies to contact the Dean's Office.
8. **One-time Drop Policy:** Students have the option once in their undergraduate degree to drop a class or drop out of all classes in a semester right up to the last class day. This new policy was proposed and approved by UT Faculty Council on May 9, 2011, and more information is available at http://www.utexas.edu/faculty/council/2010-2011/legislation/EPC_OTE.html. According to the policy as approved by the Provost, a student who has completed at least two long semesters here at UT can drop a class only if he or she has an average grade of D+ or below in the class at the time of the request and if there are no pending investigations of scholastic dishonesty for the course in question. Please include this information about adds and drops with your course syllabus. It will help to clear up much of the confusion that students have about the add/drop cycle.

REPETITION OF FAILED AND DROPPED COURSES

Students who complete courses with grades of C- or better cannot retake any course offered in the College of Natural Sciences for the purpose of improving their grade point averages. Exceptions can be made when a student has a legitimate academic reason for repeating a course (e.g., repeating a calculus course completed several years ago when a change of major requires additional calculus coursework, or coursework directly dependent on calculus). Students also can audit a course without enrollment, with permission of the instructor.

ABSENCE AND FAILING REPORTS

Faculty should notify students of excessive absences or poor performance on-line via "Absence-Failing" notices. These can be filled out on CLIPS or Blackboard, such that that student will receive an email from you with a notice of the situation and a direction to meet with you, a TA, etc. Absence-Failing reports need to be filled in after the first reporting period and before the end of the Q period if students are to receive maximum benefit from them. If you have questions, you may speak Mike Raney mraney@mail.utexas.edu here in the CNS Student Division offices

PROHIBITION OF SUBSTANTIAL EXAMINATIONS DURING LAST CLASS WEEK

No final examinations may be given before the examination period begins, and no change in time from that printed in the official schedule is permitted. An instructor with a compelling reason to change the time of an examination must obtain the approval of both the department chair and the dean of the college or school in which the course is taught before announcing an alternative examination procedure to the students. No substantial examinations may be given during the last class week or during the reading days and the no-class days included in the final examination period. An examination counting for more than 30% of the final course grade is considered to be substantial. A change in the room assignment for an examination may be made only with the approval of the registrar.

FACULTY PRESENCE ON CAMPUS DURING FINAL EXAMINATION PERIODS

A faculty member is responsible for ensuring that final examinations for his or her courses are adequately staffed, that he or she is available for related questions and to resolve problems, and that final course grades are turned in on time. Unless a faculty member has received approval for travel under regular University policy, he or she must be available on campus during final examinations in his or her courses, or available in the Austin area and easily reachable by telephone or e-mail. The faculty member must remain in the Austin area until his or her grades are finalized. If a faculty member must travel during this time, he or she must include on the request for travel authorization how final examination matters will be handled and how he or she can be reached in case of an emergency.

COURSES TAKEN ON A PASS/FAIL BASIS (CR/NC)

The University defines a **D-** as a passing grade for undergraduate students. The instructor is obliged to assign a grade of **CR** (Credit) for a student registered on a pass/fail basis who has a **D-** or better in the course. It is important that the roster indicate the student is registered for the course on a pass/fail basis. Otherwise, a letter grade must be assigned. There is a time limit for students to change courses from a grade basis to pass/fail basis and vice versa. During the long session, it is the same as the final deadline for drop/withdrawal for academic reasons. See the current academic calendar for the exact date. After that deadline, students should see a counselor in the Student Division of the Dean's Office of their college.

For majors in CNS, the College has instituted a minimum C- standard of passing grades for courses in order to progress to subsequent courses. For example, a grade of C- in M408N (calculus-I) is required to progress to M408S (calculus-II). This standard applies to graduation requirements as well (see +/- grading below).

INCOMPLETE GRADES (X)

(From the UT Austin General Information Catalog) *A grade of Incomplete, X, is a temporary delay in reporting the final course grade. A student is expected to complete a course, including self-paced courses, in a single semester, summer term, or summer session. If the course is not completed as expected, the student normally will not be given additional time to complete it, or to do additional work to achieve a better grade. In rare instances, for nonacademic reasons and at the discretion of the instructor, a temporary delay of the final course grade, symbol X, may be recorded.*
Improper uses of the symbol X. A student must not be assigned the symbol X to provide (1) the opportunity to raise a grade for any reason other than the approved reasons cited below; (2) time to prepare coursework in addition to that assigned the entire class; or (3) time to repeat the entire course.
Approved uses of the symbol X. The symbol X is not issued for student or faculty convenience; it may be issued for one of the following reasons only in the case of compelling, nonacademic circumstances beyond the student's control.

1. *Missing the final examination: The student is unable to take a final examination because of illness or for another nonacademic reason. A physician's statement or other satisfactory verification is required.*
2. *Incomplete classroom assignment: The student has not been able to complete the required class or laboratory assignments for a reason other than lack of adequate effort. A request for temporary delay of the final course grade because of incomplete class or laboratory work can be made only if the student has a passing average on the class work or laboratory work already completed and has taken and passed the final examination (unless a final examination is not given in the course or the student is unable to take the examination for reasons indicated in the previous paragraph).*
3. *Reexamination petition: Only a student who has a grade average of at least C on all class work and laboratory work submitted before the final examination may request a temporary delay of the final course grade because he or she failed the final examination, which is the examination given during the final examination period as defined in the official examination schedule. If the instructor denies the petition, the student's final course grade remains as originally determined. If the instructor grants the petition, and the student earns a grade of at least C on the reexamination, then the instructor substitutes the reexamination grade for the original examination grade in determining the student's final course grade. If the instructor grants the petition, and the student earns a grade on the reexamination of less than C, then a final course grade of F must be recorded.*

Our perspective in the Dean's Office is that students sometimes pressure their instructors to assign an **X**. This results in the **X** often being assigned improperly, as a means of allowing a student to avoid a poor grade. Here are considerations that should be used in deciding whether to give an incomplete:

- An **X** may properly be assigned for students who must miss the final due to illness or other imperative nonacademic reasons.
- An **X** may also be given when the student has not been able to complete all the required assignments for reasons other than lack of diligence *but only if the student has a passing grade on the work completed*. Finally, an **X** may be

assigned if the student qualifies for a reexamination and the instructor chooses to give a reexamination. (See the *General Information* bulletin for details.)

- An **X** should not be assigned to allow the student an opportunity to repeat the entire course; the only assignments or exams that should be completed to resolve the **X** are those that were missed for legitimate reasons during the semester.
- An **X** should be assigned only if the student has been informed and the exact procedures by which the student will make up the work are agreed upon. The assignment of an **X** constitutes a contract between the student and the instructor. It is often helpful to have the arrangement in writing, specifying what the student is expected to do to complete the course, including due dates. The instructor who assigned the **X** is responsible for evaluating the student's subsequent work. If another faculty member is to be involved, the procedures for this should be clearly understood by all parties in advance. If an instructor does not assign a grade or a symbol to a student on the final roster, the Registrar will automatically insert an **X**. This grade in no way obligates the instructor to allow the student to complete missing work. Students who stopped attending class or who never attended class should be assigned an **F**. Students have one long semester to make up an **X** and extensions are rare. After one long semester, the **X** converts to an **F** if no other grade is reported.

FINAL GRADES
Faculty should not leave town or disappear before turning in final grades for your students. Seniors' names are starred on the grade sheets and their grades must be received in time to determine eligibility to graduate. A schedule for reporting final grades is provided to the department. Please notify the College if you are unable to comply with these deadlines so we can try to prevent problems for students.

PLUS/MINUS GRADING The university has instituted plus/minus grading for all students. Instructors have discretion whether to implement the +/- system in any course where a letter grade is assigned, but you must state your intention in the course syllabus. That is, they may choose to award grades of A, B, C, D, F, or the full list of +/- grades below. The instructor should indicate which grading system will be used and the requirements to earn these grades. The plus/minus grades and grade points listed below will be used to calculate grade point averages for undergraduate and graduate students.

A 4.0	**A-** 3.67		
B+ 3.33	**B** 3.0	**B-** 2.67	
C+ 2.33	**C** 2.0	**C-** 1.67	
D+ 1.33	**D** 1.0	**D-** 0.67	**F** 0.0

The College of Natural Sciences, in consultation with faculty representatives from each department on the College Course and Curriculum Committee, have decided that in general, a grade of C- constitutes a passing grade for the course, both to meet degree requirements and to meet prerequisites for later coursework in Natural Sciences.

ACADEMIC POLICIES CONFIDENTIALITY

Student confidentiality is protected under the Family Educational Rights and Privacy Act (FERPA) of 1974. This means that it is not possible to give out any information about students or grades to anyone without the student's written permission.
Issues to consider include:

- Grades may not be posted by name or social security number
- No portion of the SSN may be posted, distributed or made public in any way, even with consent of the student.
- Students must give written permission to discuss academic issues with others, including parents.
- Homework or exams may not be left unsupervised for students to pick up and should be returned in a manner that maintains student confidentiality.
- Written permission must be given by a student prior to writing letters of recommendation if the student’s academic record is to be discussed. Faculty may continue to use student specific password protected systems (such as UT Direct and its applications) to communicate academic work, grades or other confidential information to individual students. Students may also access their final course grades using UT Direct services. ITS has developed an e-grade book application that provides faculty with a password protected system to communicate academic work grades to individual students. For those faculty who wish to post student grades on the Web, at least two options are available through the University.

Quest Quest is an assessment system maintained by the College of Natural Sciences which also has a gradebook feature. https://quest.cns.utexas.edu. Training is provided. Contact Heather Van Ligten heather.vanligten@austin.utexas.edu.

Canvas The university is phasing out Blackboard in favor of a new platform called Canvas. More information and training modules are available from the Center for Teaching and Learning: http://ctl.utexas.edu/teaching/technology/lms. Confidentiality of student records also extends to the electronic storage of this information. Such data is considered ‘Category 1’ data by the University and must be handled with great care. For example, storing spreadsheets with student grades on your laptop can only be done if you have encryption software protecting it; spreadsheets of student grades cannot be emailed between you and TAs unless the email is encrypted, etc. In the latter case, it is better practice to communicated information via Blackboard or CLIPS, or Quest. For more information on “CAT1” data, you may consult the College’s Director of IT, Mark McFarland m.mcfarland@austin.utexas.edu.

PROHIBITION OF SEXUAL HARASSMENT OF STUDENTS

It is the policy of the University of Texas at Austin to maintain an educational environment free from sexual harassment and intimidation. Sexual harassment is expressly prohibited and offenders are subject to disciplinary action (http://www.utexas.edu/student/registrar/catalogs/gen-info/appD.html)
"Sexual harassment" is defined as either unwelcome sexual advances or requests for sexual favors, or other verbal or physical conduct of a sexual nature, by a faculty member or other employee of the university, when

- submission by a student to such conduct is made explicitly or implicitly a condition for academic opportunity or advancement;
- submission to or rejection of such conduct by a student is used as the basis for academic decisions affecting that student
- the intended effect or reasonably foreseeable effect of such conduct is to create an intimidating, hostile, or offensive environment for the student. The Office of the Dean of Students has been given the primary responsibility for responding to questions about and receiving complaints of sexual harassment of students. Students who believe they have been subjected to sexual harassment may consult with the associate dean of students. However, they also may address their questions or complaints to the department chairperson or other University administrative personnel. In such cases the chairperson or the administrator should immediately contact the associate dean of students for consultation. Investigation of a specific complaint of sexual harassment will be initiated upon submission of a written and signed statement by the student to the associate dean of students, department chairperson, or dean. Investigation and resolution of such complaints will be through the Office of the Executive Vice President and Provost. Confidentiality will be maintained to the extent permitted under the law, and the rights of the individuals involved will be protected. Disagreement with the resolution of the complaint will be handled according to the usual procedures for grievances. In addition to complying with the above policy dealing with sexual harassment, students and faculty members should conduct themselves in an appropriate manner and should avoid compromising situations involving any romantic or sexual relationship between a faculty member and a student who is enrolled in a course taught by the faculty member or who is otherwise under the supervision of the faculty member. This policy is not intended, in any way, to discourage the interaction of faculty and students where harassment or a conflict of interest is not a factor; however, the policy is intended to clarify that it is inappropriate for a faculty member to form romantic or sexual relationships with students working under the faculty member's direct supervision. It should be stated that students making unwanted advances on faculty or teaching assistants is also not to be tolerated. If a faculty member or teaching assistant is ever in an uncomfortable interaction of this nature with a student, he or she should contact the Dean of Students. This also applies to situations of harassment or verbal abuse by students. **STUDENTS WITH**

DISABILITIES (http://www.utexas.edu/diversity/ddce/ssd/) The rights of students with disabilities are protected under Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act, which are civil rights provisions aimed at ending discrimination against persons with disabilities. Section 504 specifically refers to post-secondary and vocational education services. The legislation reads: "No otherwise qualified handicapped individual in the United States shall, solely by reason of his handicap, be excluded from the participation, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." The University of Texas at Austin provides a wide variety of services to assist students with

disabilities in becoming active members of the University community. These services vary according to the different types and severity of impairments.
The Services for Students with Disabilities (SSD) office of the Student Dean's Office is charged with assisting disabled students. They estimate that about 2000 students suffer from disabilities including mobility impairments, learning disabilities, visual impairments, hearing impairments, ADD and ADHD, and others. By law, these students are guaranteed a learning environment with reasonable accommodation of their disability. As an instructor you are required to provide reasonable accommodation of students with disabilities. Many of the problems that might arise during the semester can be avoided by letting students know that you are aware of your responsibility to provide these accommodations, especially with respect to modifications to the examination procedure.

OBSERVANCE OF RELIGIOUS HOLY DAYS (Student and Faculty)
Religious holy days sometimes conflict with class and examination schedules. Sections 51.911 and 51.925 of the *Texas Education Code* relate to absences by students and instructors for observance of religious holy days.
Section 51.911 states that a student who misses an examination, work assignment, or other project due to the observance of a religious holy day must be given an opportunity to complete the work missed within a reasonable time after the absence, provided that he or she has properly notified each instructor.
It is the policy of The University of Texas at Austin that the student must notify each instructor at least fourteen days prior to the classes scheduled on dates he or she will be absent to observe a religious holy day. For religious holidays that fall within the first two weeks of the semester, the notice should be given on the first day of the semester. The student may not be penalized for these excused absences but the instructor may appropriately respond if the student fails to complete satisfactorily the missed assignment or examination within a reasonable time after the excused absence.
Section 51.925 prohibits the University from discriminating against or penalizing an instructor who is absent from class for the observance of a religious holy day. Proper notice must be given to the department chairman. Prior to the beginning of classes each semester, the instructor must provide the department chairman a list of classes that will be missed due to observance of a religious holy day and acknowledged by the chair. Consistent with regular University policy, the instructor is responsible for finding a qualified substitute U.T. Austin instructor for any such classes.

ACADEMIC DISHONESTY
Cheating is not tolerated in this College. If there are questions about a suspected cheating problem, Assistant Dean Mike Raney (mike.raney@austin.utexas.edu) in the Dean's office is a resource. Ultimately the Office of the Dean of Students is responsible for adjudicating academic dishonesty complaints. Additional information on the definition of academic dishonesty including plagiarism can be found at http://deanofstudents.utexas.edu/sjs/.
COURSE MANAGEMENT RECOMMENDATIONS

COURSE MANAGEMENT RECOMMENDATIONS

QUEST

The College maintains a homework and content service, Quest Learning and Assessment (https://quest.cns.utexas.edu) of which many faculty are familiar for assigning online homeworks or preparing printable exams. Faculty can choose from questions in the 80,000 item bank spanning all disciplines or can write their own questions. Students can complete homeworks online and Quest will record and manage grades in the gradebook feature. We have the facility for content delivery (either in the form of text modules or short video tutorials/lectures), which can be linked to assessment question as an evening "learning module" assignment to be given to students. More information on Quest and how it can be used in your class can be found at http://getquest.cns.utexas.edu/.

A support team is available to work with you in the design and assembly of your course in Quest.

- Heather Van Ligten (program coordinator) hvanligten@utexas.edu
- April De Costa (billing support) quest.billing@utlists.utexas.edu
- Dr. Nathan Erickson (content support) nathanwerickson@cns.utexas.edu
- Ian Campbell (technical support) quest@cns.utexas.edu
- Ryan Reasor (videographer) ryan.reasor@austin.utexas.edu
- Farley Fite (videographer) farley.fite@austin.utexas.edu

Please feel free to call on these folks as you work on your courses or want to learn about the resources Quest has to offer.

The College assesses a cost recovery charge to students for access to Quest. Students will pay $25/semester/course, with no student required to pay more than $50/semester. Similar to other mandatory instructional materials such as textbooks and iClickers, students must be notified of this charge in course syllabi. The following syllabus language is required:

> *This course makes use of the web-based Quest content delivery and homework server system maintained by the College of Natural Sciences. This homework service will require a $25 charge per student for its use, which goes toward the maintenance and operation of the resource. Please go to http://quest.cns.utexas.edu to log in to the Quest system for this class. After the 12th day of class, when you log into Quest you will be asked to pay via credit card on a secure payment site. You have the option to wait up to one week to pay while still continuing to use Quest for your assignments. If you are taking more than one course using Quest, you will not be charged more than $50/semester. Quest provides mandatory instructional material for this course, just as is your textbook, etc. For payment questions, email quest.billing@utlists.utexas.edu.*

PIAZZA
Several faculty have experimented favorably with a commercial discussion board product called Piazza. It allows students to post questions on a discussion board and then either you, TAs, or other students in the class can respond. Questions can be tagged by topic or section of the course. File uploads are possible. For those doing math-intensive work, it accepts LaTeX commands for mathematical typesetting. I have found it a great reliever of stress amongst students to have questions answered at their pace, not restricted solely to my office hours. For more information, please contact Heather van Ligten hvanligten@math.utexas.edu.

CENTER FOR TEACHING AND LEARNING—FACULTY INSTRUCTION SERVICES AT UT
The University has strengthened and consolidated its faculty support services for instruction with creation of the Center for Teaching and Learning. The Web site, http://www.utexas.edu/academic/ctl/ is a remarkable source of materials and information that can help you improve your entire teaching experience. Please go to the web site and explore. I am sure you will learn things that will be of real value to improving the quality of your course as well as providing resources to simplify the teaching process.

TUTORING AND STUDY GROUPS
The College and University are committed to providing attractive learning environments outside the classroom for students who need additional assistance beyond what you can provide through discussion sessions and office hours. Both the CNS Academic Communities Program and the UT Leaning Center offer these kinds of resources, especially for faculty teaching the large lower division courses.
Academic Communities. The Academic Communities Program (ACP) was created in 2005 to provide to University of Texas at Austin students resources and services that promote success in introductory courses in math and sciences and encourage students to utilize positive learning and study skills throughout their academic careers. Through a combined effort between CNS course instructors, the College and UT Housing, residence hall dining rooms are transformed into evening study environments with a TA presence, tutoring, and study group formation. For more information on the various activities offered by ACP, go to http://cns.utexas.edu/community/resident-hall-study-groups.
Undergraduate Teaching Assistants: Many departments are increasingly relying on undergraduates to assist with courses either as lab assistants, study coaches, tutorial leaders, etc. Besides being a low-cost supplement to an instructional team, such trusted undergraduates can often identify well with the students enrolled in your course and provide faculty valuable feedback on the student perspective. The College has several programs to aid in the training and professional conduct of such assistants. Contact Jennifer L Smith jlsmith@austin.utexas.edu for information.
Learning Center. The UT Learning Center in Jester provides a variety of opportunities for students to improve their chances for success in the classroom. A broad array of workshops and classes assist students with study skills development as well as foundational preparation in math, reading and writing, and English-language skills. In addition, free or inexpensive tutoring is provided for many introductory-level courses.

TAs and Graduate Student Affairs

a. Graduate student support

In order to recruit the very best students to our programs, it is crucial that departments and graduate programs provide full financial support - monthly stipend, tuition, and insurance benefits - for all graduate students enrolled in PhD programs. Department Chairs should work closely with affiliated graduate programs (namely Graduate Studies Committee chairs, graduate program directors, graduate advisors) to ensure that departmental funds available for graduate student or graduate program support (i.e. endowment funds, indirect cost return, etc.) are being used effectively. The size of CNS graduate programs should be driven by the availability of grant funds and program funds to support graduate students (including PI grants and training grants) and by the demand for PhD or Master's degree graduates in individual fields. Size should not be linked to the number of TA slots required to support undergraduate courses.

b. Appointment of graduate Teaching Assistants

Funds available for Teaching Assistants are determined by undergraduate education needs. Refer to **section 13b** for details on the budgeting process.

If a student complaint cannot be handled by an individual instructor or through informal negotiations (see **Section 23)**, there are formal processes that must be followed. Most of these go through the department chair. As department chair, you should note whether there are patterns of complaints and grievances involving a particular faculty member. Early intervention can prevent continuing problems and abuse.

STUDENT COMPLAINTS AND GRIEVANCES
Should a student have a concern about your course that you are unable to remedy to both party's satisfaction, the next recourse for the student is the department chairperson. Please direct the student to your chairperson rather than to the Dean's Office. It is the chairperson's responsibility to send the student to the Dean's Office if the grievance is not resolved at the departmental level. If you wish, please consider making use of the Office of the Ombudsman. The ombudsman is authorized to investigate and seek to mediate and resolve student complaints and grievances concerning academic or administrative policies, procedures, or decisions at the University. Each complaint is carefully scrutinized to determine whether the student's grievance is actionable. The telephone number is 471-3825.

Undergraduate student grievances

1. **Academic Integrity issues:**
   Contact Assistant Dean Mike Raney
2. **Academic grievances including grade disputes**
   If a student concern cannot be handled with the instructor, the next recourse for the student is the department chair. The student should be sent to the Dean's Office only if the grievance is not resolved at the departmental level.
   If you wish, please consider making use of the Office of the Ombudsman. The ombudsman is authorized to investigate and seek to mediate and resolve student complaints and grievances concerning academic or administrative policies, procedures, or decisions at the University. Each complaint is carefully scrutinized to determine whether the student's grievance is actionable. Students should initiate grievance question with the instructor, then the department chair and Student Ombuds. If the problem cannot be resolved by the department or Student Ombuds office, the next step is Associate Dean David Vandenbout.

3. **Non-academic grievances** (primarily issues involving either discrimination or misconduct)
   - Grievances involving any form of discrimination or harassment should be filed directly with the Office of Institutional Equity, http://www.utexas.edu/eos/.
   - Issues involving faculty, staff or supervisor misconduct should be presented first to the department chair, then to the Dean.

Graduate student grievances

It is Graduate School policy that Graduate students have the right to seek redress of any grievance related to academic or nonacademic matters. Every effort should be made to resolve grievances informally between the student and the faculty member involved or with assistance of the graduate adviser, Graduate Studies Committee chair, or department chair. The Student Ombuds (**Section** 23) can also provide valuable assistance.

Four main categories of grievances are:

1. **Academic Grievances** (examples include: adherence to degree requirements, changes in supervising committee membership, situations involving program termination). When these grievances cannot be resolved at the departmental level, the **Graduate School** will handle the formal grievance process, which is outlined in the Handbook of Operating Procedures. A graduate student must submit a formal written grievance to the Graduate School within 6 months of the acquisition of knowledge of the grievance. The Grad School will notify the chair of the GSC, the department chair or program director, and the dean of the college when a grievance is filed.

2. **Non-academic grievances** (primarily issues involving either discrimination or misconduct)
   - Grievances involving any form of discrimination or harassment should be filed directly with the Office of Institutional Equity, http://www.utexas.edu/eos/.
   - Issues involving faculty, staff or supervisor misconduct should be presented first to the department chair, then to the college Dean, and then to the Graduate School (if necessary, in that order).
3. **Employment Grievances for Teaching Assistants and Assistant Instructors** (issues related to the academic freedom of individual TAs, non-renewal of a TA or AI position, withholding of salary or promotion). When there is a grievance, the teaching assistant or assistant instructor may request the informal assistance of the Faculty Grievance Committee and Hearing Panel, or a formal complaint can be filed with the chairperson of the Faculty Grievance Committee
4. **Employment disputes involving Graduate Research Assistants**
   Whenever possible, grievances should be resolved informally between the GRA and the employing faculty member. Employment disputes by GRAs should be handled according to departmental review policies. The order for review for employment disputes is:

   a. The faculty member employing/supervising the GRA
   b. The graduate advisor
   c. The department chair or head of the hiring unit that employs the GRA
   d. The dean of the college. The decision of the dean is final.

One exception to the academic grievance process is the case of grade disputes. Graduate student grade disputes should be handled according to standard departmental review policies, not by the Graduate School. The order of review for grade disputes is: course instructor, graduate adviser, department chair (or director of the graduate program) and the dean of the college.

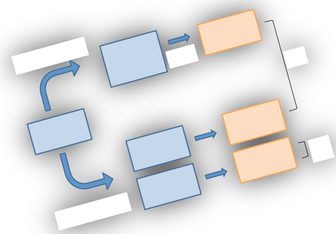
The College has established a Teaching Awards Committee to ensure that our outstanding teachers are nominated for appropriate awards. The committee is chaired by Associate Dean David Vanden Bout. Departments can ensure that their faculty members receive consideration for awards by preparing and maintaining teaching files for their faculty. You may choose to appoint an awards committee in the department. This committee could review peer evaluation, CIS scores and other materials to identify outstanding teachers in the department. They should solicit teaching statements from these faculty and request any unsolicited statements and correspondence from students to add to the files. When the college asks for nominees for awards, the department will then be able to provide names and appropriate materials for consideration by the college committee.

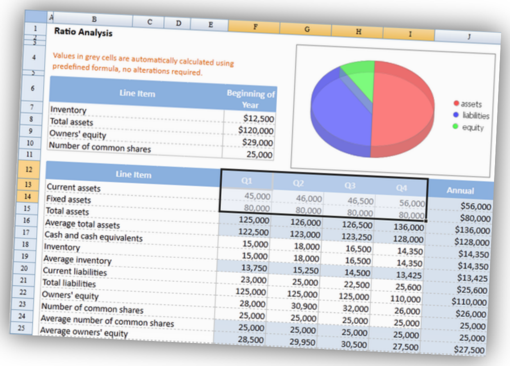
University-Wide Teaching Awards

- Academy of Distinguished Teachers Award
- William David Blunk Memorial Professorship
- Dads' Association Centennial Teaching Fellowships
- Friar Centennial Teaching Fellowship
- Jean Holloway Award for Excellence in Teaching
- Minnie Stevens Piper Foundation Teaching Award
- President's Associates Teaching Excellence Awards
- Regents' Outstanding Teaching Awards
- Joe and Bettie Branson Ward Endowed Excellence Award

The College committee will help determine the appropriate award category for each candidate. For some awards, e.g. Academy of Distinguished Teachers and Regents' Teaching Award, length of teaching career and previous awards are important considerations. Others are entry-level awards. Be aware of specific criteria and emphasize strengths in those areas in the application. The chair letters are usually given strong consideration by teaching award committee members. It is important that the chair's letter shows strong and compelling support for the candidate and is tailored to the specific award. The college-level committee will assist with an initial review of the packet and will help identify any missing information or apparent weaknesses in the file so that these can be addressed prior to final submission.

Department Budget





Ratio Analysis

Values in grey cells are automatically calculated using predefined formula, no alterations required.

Line Item	Beginning of Year
Inventory	$12,500
Total assets	$120,000
Owners' equity	$29,000
Number of common shares	25,000

Line Item	Q1	Q2	Q3	Q4	Annual
Current assets	45,000	46,000	46,500	56,000	$56,000
Fixed assets	80,000	80,000	80,000	80,000	$80,000
Total assets	125,000	126,000	126,500	136,000	$136,000
Average total assets	122,500	123,000	123,250	128,000	$128,000
Cash and cash equivalents	15,000	18,000	16,500	14,350	$14,350
Inventory	15,000	18,000	16,500	14,350	$14,350
Average inventory	13,750	15,250	14,500	13,425	$13,425
Current liabilities	23,000	25,000	22,500	25,600	$25,600
Total liabilities	125,000	125,000	125,000	110,000	$110,000
Owners' equity	28,000	30,900	32,000	26,000	$26,000
Number of common shares	25,000	25,000	25,000	25,000	25,000
Average number of common shares	25,000	25,000	25,000	25,000	25,000
Average owners' equity	28,500	29,950	30,500	27,500	$27,500

a. Annual budget process
b. Instructional budget
c. Administrative budget
d. Faculty salary budget
e. Endowment budgets

The chair is responsible for managing the departmental budgets. These include instructional and administrative funds, faculty funds (recruitment, merit and retention) and departmental endowment accounts.

Careful planning and effective use of existing funds can allow departments to enhance faculty recruiting and support new initiatives.

Budget process

Beginning in 2014-15, each department and major unit within the Dean's office will participate in an annual budget review process. The purpose of the review is to help the Dean's office understand and prioritize the funding needs and requests within the College.

Each department/unit will be asked to prepare a summary of existing resources and new funding requests in each of three areas:

* administrative functions (instruction, staffing and M&O)
* college-level priorities (graduate support, staff merit and faculty hiring)
* department-level priorities

A budget committee consisting of Dean Hicke, the associate deans, two assistant deans and three senior faculty will hear presentations from each of the units in November/December. These presentations should discuss the strategic use of existing finances, highlight departmental priorities and specify requests for new funding. Reallocation of existing resources and allocation of new resources will be the responsibility of the budget committee.

Details and budget templates will be available in August.

The instructional budget is closely tied to department workload and instructional goals (see **section 9**).

Instructional Management Goals

- To ensure that sufficient seats are available for CNS undergraduates to make degree progress.
- To ensure that our limited instructional resources are equitably deployed and efficiently used.
- To provide departments with maximum flexibility to align resources with their priorities.

Calendar: Semesters below refer to the academic year prior to the year of implementation.

Fall Semester (October)

- Departments submit course projections (fall and spring only) for the next academic year.
- Associate Dean for Undergraduate Education reviews and approves projections.
- Final approvals communicated to departments prior to original phase of course scheduling.

Spring Semester

- Departments submit their requests for special equipment funding. (*February*)
- Departments submit teaching workload information, including: (*April*)
  (a) research activity ranking for each faculty member.
  (b) course reductions for next AY (e.g., LWOP, FRA, offer letter stipulations, etc.)
  (c) names of faculty teaching undergraduate courses outside dept (e.g, UGS 302).
- Dean's office evaluates special equipment funding requests and makes awards. (*April*)
- Number of approved NTT faculty positions calculated for each department. (*May*)
- Departments submit names and rates for NTT faculty who will be teaching courses. (*May*)

Summer (July)

- Enrollment is estimated once freshman registration is nearly complete.
- Preliminary TA and NTT allocations are sent to each department for review.
- Special equipment funding is distributed to departments.

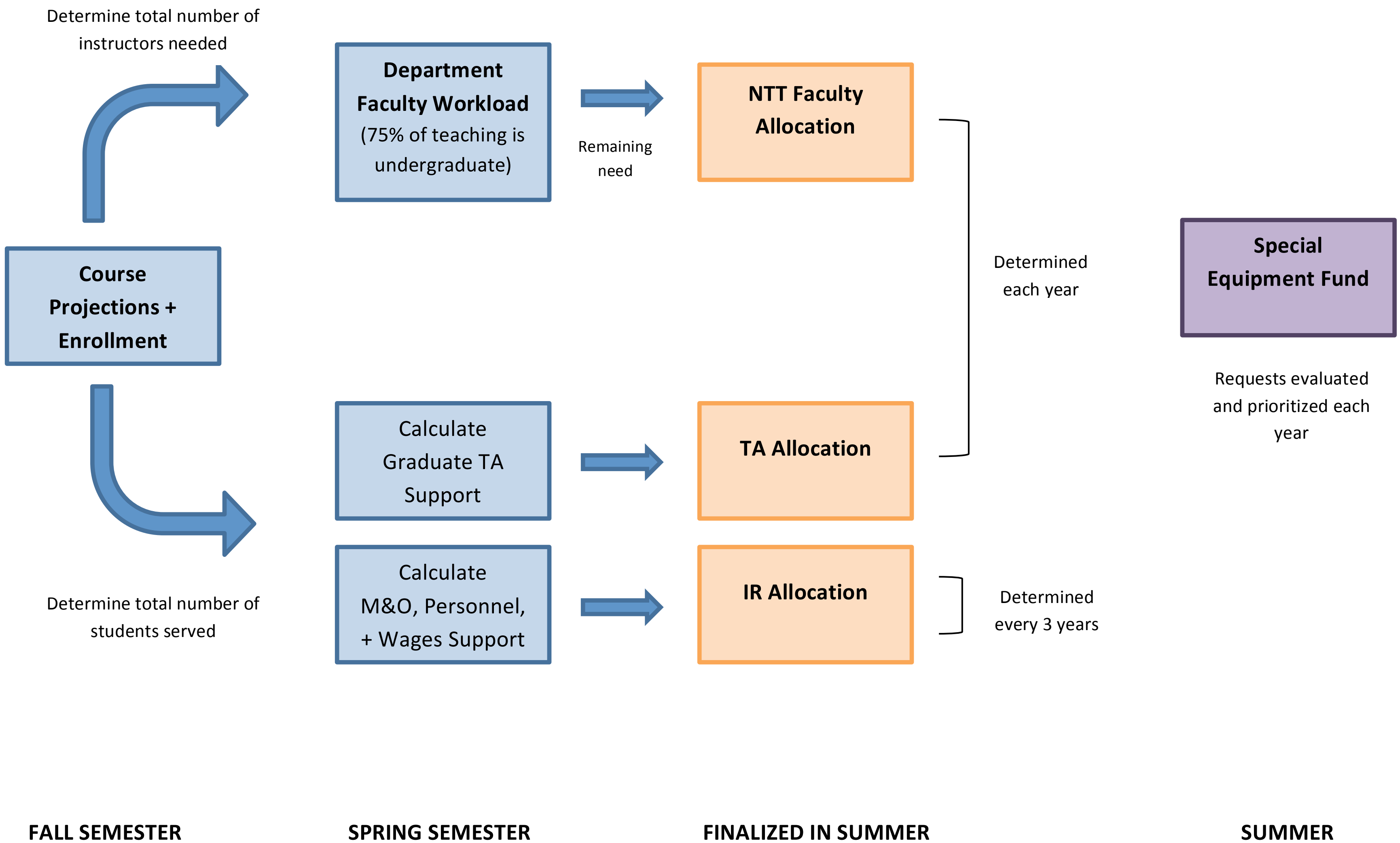
September of AY

- NTT and TA allocations are deposited into department instructional accounts.
- IR allocations (including wages) are deposited into department IR account(s).

Spring of AY

- Any TA funds not utilized in the long semesters are swept back to Dean's office to help cover summer instructional costs.
- Decisions about summer instructional funding are made after summer registration closes.

Distribution of CNS Instructional Resources for Undergraduate Education (full implementation for AY 2015-16)



(Semesters are in the AY year preceding implementation.)

Department staff

Departments currently have salary lines and M&O funds to manage administrative costs. As the University moves toward a shared services model, this is likely to change, but most administrative services currently reside in the department. The chair, in consultation with the budget council should evaluate the efficiency of administrative services and, if needed, make modifications in the administrative structure to best meet current needs of the department. Department staff merit raises will usually be self-funded and this should be kept in mind when filling positions and looking at the organizational structure.

Research facilities and cores

If the department provides research facilities and core services, a model in which users bear some of the costs of the services should be considered. Some types of costs, such as administrative assistance and office supplies, cannot be charged to federal grants and must be provided from department funds. Others such as reagents or construction of research equipment can be paid by the research from grant funds.

Faculty salaries are managed using three pools of funds: recruiting salaries, merit funds, and retention funds. Ultimately, these all come from the College faculty reserves. Thus, spending large amounts on faculty retentions, for example, will ultimately affect the number of recruitments.

Salaries for new faculty

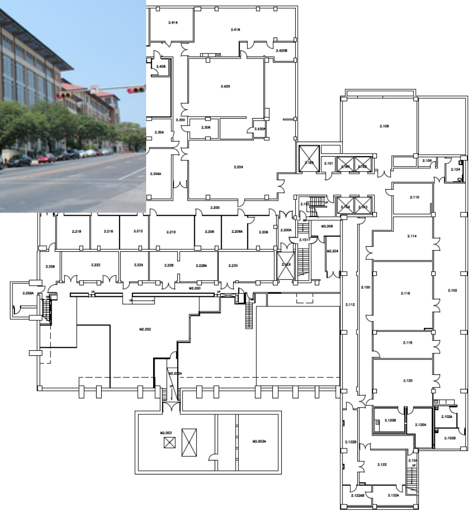
During recruitment planning (see **section 3**), Dean Hicke will indicate the salary available from CNS for each planned recruitment. Departments may choose to use endowment funds to enhance recruiting packages, where appropriate, but should discuss this with the Dean or Associate Dean for Faculty Affairs before making higher offers to candidates.

Merit and retention funds

During the summer, Dean Hicke will provide each department the amount of their pools of merit and retention funds. These are calculated based on current faculty salaries, past history of retentions and relative need for competitive salaries.

The use of endowment funds is described in detail in **section 17**. All endowment funds should be used in accordance with donor wishes, in keeping with University policies and with the good of the department in mind. Department chairs should review endowment budgets annually.

Facilities and space



a. Allocating space
b. Renovation and repair
c. Managing department research cores and facilities

Although all space is considered CNS space, departments will manage space assigned to them by the Dean. Reassigning space as needed will allow more effective use of space for recruitment and retention of faculty. The appropriate use of space for common needs in the department should also be considered when looking at the overall space plan.

Allocating space

- All space is considered college space, and our goal is to ensure that space is used efficiently and in alignment with the college's Strategic Plan and Master Space Plan. Thus, space assignments should not be considered permanent. Final authority of space allocation resides with the Dean.
- Department chairs should attempt to address space needs of their faculty within the space currently occupied by their existing faculty and staff. As research groups expand and contract over time, reassignment of space within the department will be inevitable. Authority for these internal reassignments resides with the chair.
- All of our departments share space in buildings with other departments. Issues concerning shared space, or requests for space reassignment of space from one department to another, should be handled by the chairs of those departments, in consultation with the Assoc. Dean for Research and Facilities.

Renovation and repair

- All building renovations should be coordinated through the Director of Facilities (Ann Harasimowitz) and the building manager.

- Repair requests from faculty or staff should be directed through the building manager.

Managing department research cores and facilities

- Research cores are typically operated as Service Centers, i.e. supported in part or in full by user fees.

- Departmental research cores and facilities that operate as service centers have a Manager, designated by the chair, who is responsible for submitting the Service Center rate request. The chair must approve the proposed rate structure before forwarding to the Dean's office.

Staff

The department staff members are critical to the smooth operations of the department. This section outlines the University procedures for staff positions, including hiring and evaluating staff and handling grievances and dismissals.

Staff hiring

Excellent recruiting and hiring practices help reduce turnover and ensure that the university is staffed with productive employees. The following resources guide you through various steps of the hiring process to help you find and hire the right employees. Links to templates and information on the hiring process can be found at http://www.utexas.edu/hr/manager/hiring/hire.html

Steps in the process

http://www.utexas.edu/hr/manager/hiring/

- **Post the position and recruit**: In order to post a job opening for any type of benefits-eligible position, you must get the position approved by Staffing and Career Management Services. Log in to HRMS to request the position.
- **Form a selection panel**: You should start by choosing who you want to serve on the panel—it's best to do this as soon as possible so the panel can be involved in posting the position and choosing interviewees. The panel should consist of a minimum of three members who represent external and internal customers, a cross-section of the department, and a variety of positions. At least one member should be thoroughly familiar with the knowledge, skills and abilities required to perform the functions of the position and with the work environment of the position. You may also want to consider asking a staffing consultant from HR to serve on the panel. All panel members will review all applicant packets, gain consensus on who should be interviewed, compose the interview questions, conduct all interviews as a team, and recommend the top applicant(s) for the position. Each panel member must make a commitment to understand and follow selection process policies and procedures and abide by Equal Employment Opportunity and Affirmative Action guidelines.
- **Interview and select the best candidate**: Because applicants must meet all of the position's required qualifications in order to be considered, you'll probably want to start by screening each applicant's materials to determine if they meet the requirements. You can then eliminate any applicants who don't meet all the required qualifications—this is an efficient way to avoid wasting time on selection matrixes for unqualified applicants. Once you eliminate unqualified applicants, you can either proceed to interview the entire applicant pool or you can use the matrix to help you select the top, most-competitive candidates for interviews. Focus on the technical and performance skills of the job, and design questions that get specific examples from the applicant about how their experience relates to your position. If you're not sure if you can legally ask a question, don't ask it. Remember to ask the same questions to every applicant you interview.
- Request a background check
- Review criminal history
- Check references
- Verify eligibility to work in the US
- Hire. See template letters that follow.

- Complete the recruiting summary or assign the person to the position in HRMS.
- Send out regret letters

For hiring a temporary employee through UTemps, see http://www.utexas.edu/hr/manager/hiring/temp.html

After you have hired

- Register the new employee through TXClass for the New Employee Orientation
- If the employee will need mainframe access, create a *DPUSER logon
- Request authorizations for all applicable mainframe applications and Web systems
- Request that the *DEFINE office manager place the new employee on any necessary desks and views
- Create the beginnings of a performance appraisal
- Create an employee file for the new hire. See Employee files (http://www.utexas.edu/hr/manager/hiring/files.html) for more information.
- Have the employee complete the items in the New Employment Checklist http://www.utexas.edu/hr/current/new/checklist.html

Required training for new staff employees

New employees should complete required training, e.g. laboratory safety, compliance, as appropriate

Offer letter template for classified employee

{January 21, 2015}

{Name}
{Address}

Re: Job Number {00-00-00-00-0000}

Dear {Name},

I am pleased to offer you the position of {Job Title} in the {Department Name} department at the University of Texas at Austin.

We are offering you a salary of ${Salary} per month. Your start date is {Start Date}. *INCLUDE FOR POSITIONS THAT ARE NOT EXPECTED TO CONTINUE:* This position is {funded by a grant} OR {of limited duration}, therefore your employment is contingent, in part, upon {the continued receipt of these grant funds} OR {completion of the project.} Currently, we expect your position to be funded through {Month, Date and Year.} You will report to {Supervisor's Name}. Your work schedule is {Schedule}. This offer is contingent upon the satisfactory outcome of your criminal background check. Additionally, you will be required to complete forms and submit documentation establishing your eligibility to work in the United States within the first three days of your employment.

The university offers new employee orientation every Monday at {Orientation Time} and {Orientation Location}, where you will receive information about:

- Benefits
- Parking
- Required University Training
- University Policy

Regarding benefits, you must elect benefits coverage within 30 days of your start date. You can review the benefits on our Web site at http://www.utexas.edu/hr/current/insurance/. To attend new employee orientation, please contact {Orientation Coordinator}.

You are considered a probationary employee during the first 180 calendar days of continuous service from the date of initial employment. We will explain these and other administrative details to you during your initial orientation.

If you have any questions or concerns regarding this offer, please contact {Department Contact} at {Department Number}. We look forward to receiving your decision by {Deadline}.

Again, congratulations on your selection for this important position at the University of Texas at Austin. This is an exciting time for us; and we look forward to you joining our team.

Sincerely,

Offer letter template for code 1000 employee

{January 21, 2015}

{Name}
{Address}

Re: Job Number {00-00-00-00-0000}

Dear {Name},

I am pleased to offer you the position of {Job Title} in the {Department Name} department at the University of Texas at Austin.

We are offering you a salary of ${Salary} per month. Your start date is {Start Date}. *INCLUDE FOR POSITIONS THAT ARE NOT EXPECTED TO CONTINUE:* This position is {funded by a grant} OR {of limited duration}, therefore your employment is contingent, in part, upon {the continued receipt of these grant funds} OR {completion of the project.} Currently, we expect your position to be funded through {Month, Date and Year.} You will report to {Supervisor's Name}. Your work schedule is {Schedule}. This offer is contingent upon the satisfactory outcome of your criminal background check. Additionally, you will be required to complete forms and submit documentation establishing your eligibility to work in the United States within the first three days of your employment.

The university offers new employee orientation every Monday at {Orientation Time} and {Orientation Location}, where you will receive information about:

- Benefits
- Parking
- Required University Training
- University Policy

Regarding benefits, you must elect benefits coverage within 30 days of your start date. You can review the benefits on our Web site at http://www.utexas.edu/hr/current/insurance/. To attend new employee orientation, please contact {Orientation Coordinator}.

IF APPLICABLE INCLUDE: Your position is designated as Administrative Officer. As such, you serve at the pleasure of the President.

If you have any questions or concerns regarding this offer, please contact {Department Contact} at {Department Number}. We look forward to receiving your decision by {Deadline}.

Again, congratulations on your selection for this important position at the University of Texas at Austin. This is an exciting time for us; and we look forward to you joining our team.

Sincerely,

Offer letter template for classified temporary employee

{Date}

{Name}
{Address}

Re: Offer of Temporary Employment

Dear {Last Name},

On behalf of The University of Texas at Austin, I am pleased to offer you the temporary position of {Title}, in the department of {Department Name}. This offer is contingent on the successful completion of a background check.

The pay rate for this {Exempt/Non-exempt} temporary position is {$$ Rate} per {Month/Hour}. You will report to {Supervisor's Name}. Your expected start date of temporary employment is {Date}, subject to completion of the background check. You will be required to complete forms and submit documentation establishing your eligibility to work in the United States within the first three days of your employment.

Your schedule is {Schedule}; however, your actual work hours may vary depending on business needs. This temporary assignment will end on {Date}. *[Note: If not a fixed schedule, then fairly represent the expectations for working, e.g. "You can expect to work approximately 12 hours per week."]*

[Optional statement:] If there is further need and funding is available, further employment may be offered but is not promised or guaranteed.

This temporary position is not benefits eligible and does not accrue paid leave. This offer does not guarantee nor imply permanent employment with the university. Due to the short length of the assignment, you will be considered a probationary employee during the entire length of this assignment.

Should you accept this contingent offer, your continued temporary employment will require both satisfactory job performance and compliance with existing and future university and departmental policies. *[Note: cite important departmental policies and fulfillment of policies specific to the position.]*

If you have any questions or concerns regarding this offer, please contact {Department Contact} at {Department Number}. We look forward to receiving your decision by {Deadline}.

Please signify your acceptance of this offer by returning a signed copy of this letter.

Sincerely,

{Hiring Manager}

DRAFT

{Candidate Name}

I hereby accept employment on the conditions set forth in this letter.

____
Signature

Web Resources:

University Home Page	www.utexas.edu
Human Resources	www.utexas.edu/hr
Payroll	www.utexas.edu/payroll
Parking	www.utexas.edu/parking
University Policies	www.utexas.edu/policies

DRAFT

All staff, including department staff and research staff receive yearly evaluations. The purposes of performance evaluations are (1) to provide a fair assessment of the employee's performance, (2) to assist the employee to improve performance, (3) to provide a basis for an appropriate level of compensation, and (4) to support and provide documentation for personnel actions under approved policies.

Evaluation schedule

Performance evaluations are scheduled to ensure that every regular employee (appointed one-half time or more for at least four and one-half months) is evaluated annually prior to reappointment for the succeeding year.

Confidentiality and Disposition of Forms

The completed annual Performance Evaluation form for each employee is part of that employee's official personnel file in each department. Each supervisor is to conduct performance evaluations. The final step in the evaluation process involves review by the department Chair or Director. Chairs will be asked to verify that all staff in their department have been evaluated each year. As an official part of each departmental personnel file, the Performance Evaluation form shall be treated as confidential.

Completing the evaluation

Performance evaluation forms are available online (http://www.utexas.edu/hr/forms/university_appraisal_form.doc). A copy follows. No other form should be used, unless approved by the President. (Supplementary departmental planning materials or management information should be kept separate from this form.) The evaluator should describe each key responsibility by using a word or a brief phrase or sentence to say what, how, and when each task is performed. The "Guide for Evaluation" on the back of the form will assist in describing performance levels which meet, exceed, or fail to meet expected levels. The review includes an overall summary of the performance evaluation, taking into consideration the level of performance on each key responsibility. The overall summary, again using the "Guide for Evaluation," may be very brief or may be more descriptive if needed. Specific targets for improvement should be noted. The review must note the actual date of the evaluation, name and title of the evaluator/supervisor who has direct knowledge and supervisory responsibility for the employee. Spaces are also provided for the supervisor to date and initial the form to record when the performance evaluation was discussed with the employee. It is not necessary for the employee to sign or initial the form bur doing so provides a record that the evaluation was discussed with the employee.

Management Review

This space is provided for the department Chair, or Director to record comments, including any disagreements with the evaluator's rating or comments. This space is to be completed with signature and date.

Certification

The chair is responsible for certifying that all evaluations of department personnel have been performed. Compete the certification form (copy follows) and forward to the CNS Office of Business Affairs by the deadline (usually early June).

THE UNIVERSITY OF TEXAS AT AUSTIN
ANNUAL PERFORMANCE APPRAISAL

FOR CLASSIFIED PERSONNEL AND NON-TEACHING PROFESSIONAL STAFF

For Appraisal Period Ending:	
Employee Name:	
Title:	
Department:	

OVERALL PURPOSE OF THE POSITION

KEY RESPONSIBILITIES	APPRAISAL OF PERFORMANCE

OVERALL PERFORMANCE APPRAISAL

Guide for Appraisal:

- Performance **exceeds** expectations: Performance overall exceeds expectations.
- Performance **meets** expectations: Overall performance is good and solid.
- **Does not meet** expectations: Performance has not met key responsibilities.

In the space below, please provide a rating and summary of the employee's overall performance. In determining the overall rating, please consider the ratings in each key responsibility and, if applicable, the percent time or weight of each key responsibility.

Please also note specific areas of performance where improvements can be made and describe the Performance Action Plan for addressing any performance deficiencies and the scheduled follow-up dates on the plan.

Overall Rating and Comments:

Many jobs are positions of Special Trust since the employees filling them have access to Category-I data. For more info on Special Trust and/or Category I data go to http://www.utexas.edu/vp/it/policies/uts165/specialtrust.php.

The position for which this appraisal is being completed ☐ *is* or ☐ *is not* a position of Special Trust.

If this is a position of Special Trust, compliance procedures call for the completion of a new form each year. As part of this annual appraisal process, all Special Trust employees should log on to http://www.utexas.edu/vp/it/policies/uts165/specialtrust.php and complete a new form. Questions should be directed to the Chief Information Security Officer.

SUPERVISOR/EVALUATOR INFORMATION			
Name of Evaluator/Supervisor:			
Title:		Signature:	
This performance appraisal was discussed with the employee on:			(date)

EMPLOYEE INFORMATION			
Name of Employee:			
Title:		Signature:	
This performance appraisal was discussed with me on:			(date)

MANAGEMENT REVIEW
In the space below, please enter any comments on this evaluation (optional).

Department Head:			
Signature:		Date:	

EMPLOYEE COMMENTS
In the space below, please enter any comments on this evaluation (optional). Your comments are part of the appraisal and will be included in your personnel file.

Signature:	
Comments provided on:	(date)

THE UNIVERSITY OF TEXAS AT AUSTIN

WHAT STARTS HERE CHANGES THE WORLD

Unit Name ____________________

Name of Director/Head of Unit ____________________

Name of Department ____________________

Certification Letter to the Dean

In connection with the required completion of annual performance evaluations for The University of Texas at Austin, for the year ending June 6, 2014:

1. I am responsible for seeing that annual performance evaluations for the employees in the departments and functions under my scope of organizational responsibility have been completed. I certify that to the best of my knowledge and belief that such annual performance evaluations have been completed.

2. Please note any exceptions, including those listed in the cover memo and any others that apply to your evaluation process.

Additional comments:

____

Print Name

____

Signature

____

Date

Grievances and processes for resolving them are discussed in more detail in **Section 23**. Official university grievance policy can be found in the Handbook of Operating Procedures.

Policy 5-2430 at http://www.policies.utexas.edu/policies/grievance-policy

The chair should try and resolve problems at the department level. This process can be assisted by Conflict Management and Dispute Resolution Services
http://www.utexas.edu/hr/current/services/dispute/
The Conflict Management and Dispute Resolution Office promotes the resolution of workplace disputes at the lowest level possible using conflict resolution and collaborative processes. The office further supports university departments in providing a neutral setting where conflicts are resolved in a positive and constructive manner for all employees. The dispute resolution officer (DRO) serves as an impartial third party to help staff express their workplace concerns, resolve and manage conflict, and learn more productive ways of communicating. The DRO seeks to promote a fair and interest-based conflict management system through the alternative dispute resolution process under the Grievance Policy, mediation, conflict coaching, and training.

Take advantage of every opportunity to recognize staff through CNS and University Awards. Particularly in times of tight budgets, the recognition and monetary awards can help with morale. Have your department awards committee keep a file of letters and comments regarding outstanding service by staff members and other materials that will allow them to submit recommendations for awards.

The President's Staff Awards

These awards recognizes staff of The University of Texas at Austin in four categories:

- Staff Service
- Outstanding Staff
- Outstanding Supervisor
- Student Employee of the Year

Information about these awards can be found at:
http://www.utexas.edu/hr/awards/excellence/

CNS Staff Excellence Awards

- **New Employee**
  This award recognizes excellent work performance by a **new** natural sciences staff member whose efforts to impact their department goes above and beyond the day-to-day responsibilities of their job, including conscientious performance, excellent customer service, outstanding dedication, competence, and resourcefulness. One new employee award is given annually.

- **Supervisor**
  This award recognizes excellent work performance by a current natural sciences **supervisor** whose efforts to impact their department and lead their employees goes above and beyond the day-to-day responsibilities of their position, including creating a positive and motivating work environment, maintaining open lines of communication, and exhibiting fairness and equality in resolving issues. One supervisor staff excellence award is given annually.

- **Staff**
  This award recognizes excellent work performance by a natural sciences staff member whose efforts to impact their department go above and beyond the day-to-day responsibilities of their job, including conscientious performance, excellent customer service, outstanding dedication, competence, and resourcefulness. Four staff will be selected to receive this award.

Nominations are due in March
http://www.cns.utexas.edu/about/excellence-awards/nomination

STAFF SEPARATIONS

This list is to be used as a comprehensive guideline for successfully separating employees from the university and the College of Natural Sciences. Not all items listed will apply to every separating employee.

1. **Have the resigning staff member write a resignation letter or email to the supervisor**. Supervisor should accept the letter in writing by signing and dating the resignation letter, or if the resignation was via email, reply to the email with acceptance.
2. **Consult the HR Separation Checklist**
http://www.utexas.edu/hr/manager/tools/separation.html
3. End the Assignment in Human Resource Management System (HRMS) as soon as possible after you are notified that the employee will transfer to another department, leave university employment, transfer to a state agency, died, or have a break in their employment.
4. Reclaim Physical Resources
    - Keys - desk, file cabinets, office, building, vehicle, etc.
    - Access Cards
    - Uniforms
    - Tools/Equipment
    - Identification Card
    - Long Distance Card
    - Mobile Devices
    - Laptop/Computer/PDA
    - University Records
    - Departmental Parking Tags/Cards
    - Credit Cards
    - Pro Card
    - Business Cards
5. Remove IT Resources
    - Lock Mainframe ID
    - Deactivate Web space account
    - Deactivate UTS account
    - Remove Data Warehouse authorization
    - Deactivate EID roles
    - Remove Apollo authorizations
    - Remove DPUSER authorization
    - Deactivate Mail systems
        - AEMS
        - UTmail
    - Remove DEFINE (ERP) authorization
    - Remove authorization in Blackboard
6. Remove Telephone Access
    - Reclaim Long Distance card
    - Deactivate Long Distance account
    - Disconnect EID from Smartvoice mailbox
    - Clear out Smartvoice mail box

- Reset Smartvoice PIN
- Reset Smartvoice message

7. Department Administrative Process
    - Ensure timesheets are completed
    - Collect employee's optional Sick Leave Pool Donation form
    - File a "Supplemental Report of Injury" (SR6) form for each lost-time WCI claim within the previous 2 years
    - Send request to Employee Management Services to remove any unused FML or SLP hours
    - Ensure employee updates forwarding mailing address online
    - Delete signature authority
    - Deactivate building access codes (BACS)
    - Reset door access codes
    - Notify UTPD to disable employee secret code (471-4441)
    - Change organizational chart
    - Remove/replace additional duties responsibility (i.e. Fire Warden, Staff Council, Facilities Manager, committees, councils etc)
    - Change bldg. directories and signs
    - Rescind UT driving privilege (UTDRIVERS)
    - (Drivers who no longer drive for your department should be deleted from the system. Make a copy of the driver's detail screen, notate when and why the driver is being deleted, and put a copy into the driver's personnel file.)
8. Department Network Process
    - Notify desktop support
    - Clean hard drive, etc.
    - Remove fileserver access
    - Update staff databases
    - Update staff mailing list
    - Update departmental Web pages
    - Change shared passwords
    - Remove desktop access (active directory)
    - Remove access to departmentally run software
9. Post Effective Date of Separation
    - Ensure final approval of timesheets
    - Process payment for remaining annual leave (vacation), holiday, and FLSA Overtime
    - Update equipment inventory in Financial Resources Management System

Staff dismissals – reorganization, reduction in staff, or funding sources not realized

Dismissals under the following conditions are without recourse to the University's procedure for appealing disciplinary actions, but may be processed for review through the grievance policy. This policy applies to all classified and non-teaching employees, other than Administrative Officers, regardless of the length of appointment, or the percent time appointed.

Reorganization or Reduction in Staff

Recommendation for reorganization or reduction in staff within the offices, departments, divisions, schools, and colleges of the University should be transmitted through the Dean’s office for final approval by the President. Positions may be deleted as a result of approved reorganization or staff reduction recommendations in order to achieve maximum efficiency and cost effectiveness. Any employee holding a position so eliminated shall be permitted to work for at least sixty (60) days in advance of the proposed date of termination or until the expiration of his or her current appointment, if less than 60 days.

Funding Source Not Realized

Each appointment to a classified or other non-teaching position other than an administrative officer position is made for a period of time not to exceed one fiscal year. Subject to the availability of funds, such employees may be considered for reappointment for the succeeding fiscal year. Continuation of an appointment is not an obligation of the University in the event the funding source for the full term of appointment to that position is not realized. A person employed in a position for which funding is not realized shall be terminated as of the date current funding for that position is exhausted. Temporary funding of a position from an alternate source in anticipation of the renewal of a funding source shall not constitute a continuing obligation of employment in the event that such renewal does not materialize. The requirements of a bona fide financial exigency as outlined in this *Handbook of Operating Procedures*, are not applicable to the determination that a funding source has not been realized for a specific classified or non-teaching employee. Recommendations for dismissals due to funding sources not realized shall be transmitted through appropriate administrative channels for final approval by the President or the President's delegate.

Special Procedures for Dismissals Under This Policy

Advance notice, when possible, should be given to employees to be dismissed under provisions of this policy. To the extent possible, notice shall be at least sixty (60) days in advance of the proposed termination. Recommendations submitted for approval must clearly set out the positions to be deleted, why the deletions are necessary, and why the specific positions were targeted for deletion rather than those being retained. Any employee so dismissed shall be offered reemployment if his or her position is reinstated within the next twelve-month period.

Special Assistance by Human Resources ("HR")

Affected employees who express a desire to continue employment with the University may apply for other suitable vacant positions within the University. They shall be given assistance by Human Resources, which will give special notice to departments having vacant positions of the availability of subject employees. Such employees may be appointed without the necessity of a job posting as normally required for vacant positions. This special consideration will continue for a twelve-month period, or until regular University employment is secured, whichever comes first.

Staff dismissals – disciplinary

Purpose

It is the policy of The University of Texas at Austin ("University") to encourage fair, efficient and equitable solutions for problems arising out of the employment relationship and to meet the requirements of state and federal law. These policies and procedures are applicable to conduct or job performance of an employee that results in a decision to impose a disciplinary penalty of demotion, suspension without pay or dismissal

Discipline and Dismissal Policy and Procedures - Requisite Standards of Conduct

Each employee is expected to acquaint themselves with performance criteria for their particular job and with all rules, procedures, and standards of conduct established by the Board of Regents of The University of Texas System, the institution and the employee's department or unit. An employee who does not fulfill the responsibilities set out by such performance criteria, rules, procedures and standards of conduct may be subject to adverse personnel action.

Conduct that is subject to disciplinary action:

Work Performance, misconduct.

All employees are expected to maintain standards of conduct suitable and acceptable to the work environment. Disciplinary action, including dismissal, may be imposed for unacceptable conduct. Examples of unacceptable conduct include, but are not limited to:

- falsification of timesheets, personnel records or other institutional records;
- neglect of duties, loafing or wasting time during working hours;
- smoking anywhere except in designated smoking areas;
- gambling, participating in lotteries or any other games of chance on the premises at any time;
- soliciting, collecting money or circulating petitions on the premises other than within the rules and regulations of the institution;
- bringing intoxicants or drugs onto the premises of the institution, using intoxicants or drugs, having intoxicants or drugs in one's possession, or being under the influence of intoxicants or drugs on the premises at any time (see also **HOP 8-1030**, "Manufacture, Sale, Possession, Distribution, or use of Alcohol or Illegal Drugs");
- abuse or waste of tools, equipment, fixtures, property, supplies or goods of the institution;
- creating or contributing to unhealthy or unsanitary conditions;
- violations of safety rules or accepted safety practices;
- failure to cooperate with supervisor or coworker, impairment of function of work unit, or disruptive conduct;
- disorderly conduct, horseplay, harassment of other employees (including sexual harassment) or use of abusive language on the premises;

- fighting, encouraging a fight or threatening, attempting or causing injury to another person on the premises;
- neglect of duty or failure to meet a reasonable and objective measure of efficiency and productivity;
- theft, dishonesty or unauthorized use of institutional property including records and confidential information;
- creating a condition hazardous to another person on the premises;
- destroying or defacing institutional property or records or the property of a student or employee;
- refusal of an employee to follow instructions or to perform designated work that may be required of an employee or refusal to adhere to established rules and regulations;
- repeated tardiness or absence, absence without proper notification to the supervisor or without satisfactory reasons or unavailability for work; and
- violation of policies or rules of the institution or The University of Texas System.

Investigations

1. All incidents that involve the potential for disciplinary action shall be investigated by the employee's supervisor or other designated administrative official.
2. If the investigation results in evidence that establishes with reasonable certainty that the employee engaged in conduct that warrants disciplinary action, the supervisor shall follow the pre-disciplinary hearing procedures before seeking approval for the proposed disciplinary action.

Pre-disciplinary Hearings

Policy

An employee shall be informed of the basis for any proposed disciplinary action resulting in demotion, suspension without pay or dismissal and have an opportunity to respond before a final decision is made to take disciplinary action. The hearing serves as an opportunity to avoid mistaken decisions to impose discipline and is not intended to definitively resolve the propriety of the disciplinary action being considered.

Procedures

There is no prescribed form for this hearing. It should be informal. However, before reaching a final decision to impose discipline, the supervisor shall:

a. inform the employee, either in person or in writing, of the reasons for the proposed disciplinary action, the facts upon which the supervisor relies, the names of any persons who have made statements about the disciplinary incident and the content of such statements;
b. give the employee access to any documentary material which the supervisor has relied upon; and

c. give the employee an opportunity to respond to the charges either orally or in writing within a reasonable time and to persuade the supervisor that the evidence supporting the charges is not true.

If the supervisor is not persuaded that the evidence is untrue, the supervisor will review the evidence and proposed disciplinary action with the Associate Vice President for Human Resources or his or her delegate and will obtain the approval of the appropriate department head or administrative equivalent before proceeding to impose the disciplinary penalty.

Imposing the Disciplinary Penalty

Notice

Upon completing the pre-disciplinary hearing procedures and obtaining the approval of the appropriate department head or administrative equivalent, the supervisor shall inform the employee in writing of the following:

a. whether the disciplinary penalty is demotion, suspension without pay or dismissal;
b. the effective date of demotion or dismissal;
c. a specific period for a suspension without pay, not to exceed five (5) working days:
d. the specific incident, conduct, course of conduct, unsatisfactory work performance or other basis for the disciplinary penalty;
e. any previous efforts to make the employee aware of the need to change or improve work performance or conduct; and
f. reference to any relevant rule, regulation or policy.

The supervisor shall also inform the employee of the right to appeal the disciplinary action and provide them a copy of the appeal procedure.

Effect Upon Employee Benefits

a. An employee who is demoted or suspended without pay continues to accrue vacation and sick leave, to be covered by group insurance, and to be entitled to other employee benefit programs.
b. If a demotion or suspension without pay is appealed and it is determined that there was not good cause for the demotion or suspension, the employee shall be entitled to payment for wages lost as a result of the demotion or suspension.
c. If it is determined upon appeal that a dismissal was not for good cause, the employee shall be reinstated to the same or similar position and shall be entitled to payment of back wages less any unemployment benefits received by the employee after the date of dismissal. Employee benefits such as vacation and sick leave shall be credited back to the date of dismissal.

IV. The Procedure For Appealing Disciplinary Actions is outlined in HOP 2420.

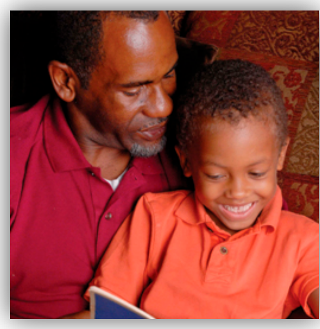
The CNS Staff Committee exists to improve communication, access to job-specific training, and staff morale by promoting a culture where staff members receive support and recognition of their contribution to the work of the College of Natural Sciences. The Committee originated out of a charge from Dean Hicke to examine ways in which the College can better serve, support and enhance its staff.

Committee members are representative of staff across the various departments and job descriptions within CNS. The current membership is as follows:

Ana Aguilar, Culture Collection of Algae
Sandra Catlett, Mathematics (Chair)
Stuart Cross, McDonald Observatory
Liz Flynn-Whittenton, Computer Science
Annette Hairston, UTeach
Cecil Harkey, ICMB
Norma Hernandez, Biology Advising Office (Secretary/Treasurer)
Dan Machold, Computer Science
Mike McIntosh, CNS ITS
Meghan Mullaney, Human Ecology
Katherine Reynolds, CNS Research and Facilities
Gary Thomas, Physics
Liz Wyckoff, Molecular Biosciences (Vice-Chair/Parliamentarian)

Ex officio members:
Cathy Stacy, Senior Assistant Dean for Strategy and Planning
Ricardo Medina, Assistant Dean for Business Services

Family-Friendly Policies



a. Sick leave and sick leave pool
b. Family medical leave
c. Parental leave
d. Extension of probationary period (see 5e)
e. Modified instructional duties (see 10b)
f. Dual career hiring (see 3e)
g. Child Development Center

The University has numerous policies, services and resources to support faculty and staff and their families. Some of these pertain specifically to recruitment and retention while others pertain to all faculty and staff.

Sick leave eligibility

- All employees appointed half-time or more for 4.5 months or longer accrue sick leave.
- Full-time employees accrue 8 hr/month. Part time employees accrue leave on a proportional basis.

www.utexas.edu/hr/current/leave/sick.html

Sick leave usage

- May be used when sickness, injury or confinement due to pregnancy prevents performance of duties.
- When the employee is needed to care for and assist a member of immediate family who is ill.
- If the absence occurs during a normal work day for regular employees, sick leave must be reported even if no classes were missed.

Sick leave notification

- Staff notifies supervisor and reports sick leave through weekly time reports
- Faculty member notifies department chair when there is a need to be absent for reasons related to sick leave use
- Department chair reports use through a monthly report (see form in section 10e) sent to the provost's office
- Licensed practitioner's certification may be required for extended leave period and for return to work
- Department must inform HRS-Leave Management when circumstances suggest Family Medical Leave (FML) may apply

Sick leave pool

- Serves benefits eligible employees who have exhausted all accrued leave to which they are otherwise entitled
- Program awards up to 720 hours (18 weeks) from the sick leave pool per condition
- Employee or immediate family member must be suffering from a catastrophic (life-threatening) illness or injury
- Employee continues to receive a paycheck and benefits
- Use of sick leave pool time is reported either through weekly time reports (staff) or monthly sick leave reports (faculty)
- Award is in hours only, salary is from department budget
- All employees ay make annual contributions to the pool as long as their own balance does not drop below 50 hours
- Employees terminating or retiring may donate their entire accrued sick leave balance to the pool

www.utexas.edu/hr/current/leave/pool.html

Family medical leave provides up to 12 weeks of job-protected leave during any 12-month period and up to 26 weeks for military

- All employees appointed half-time or more for 4.5 months or longer accrue sick leave.
- Full-time employees accrue 8 hr/month. Part time employees accrue leave on a proportional basis.
- Premium sharing continues during FML even when the employee is on leave without pay

FML eligibility

- Employees with a total of 12 months of state service AND who have worked at least 1,250 hours during the preceding 12-month period

FML usage

- Serious health condition of the employee
- Birth and care of employee's child
- Placement of a child for adoption or foster care with the employee
- Care of the employee's spouse, child or parent with a serious health condition
- "Qualifying exigency" for military active duty
- Care of covered military service member with a serious illness or injury sustained during active duty

Applying for FML

- Whenever the department or the employee feels there may be a need for FML, contact Human Resource Services **immediately.**
- HRS will provisionally designate the event as FML and send the employee the required paperwork
- Employee has 15 business days to return paperwork to HRS
- The University is responsible for designating leave as FML
- Certification from a licensed practitioner is required
- Employee must apply all available leave unless receiving disability benefits through Workers' Compensation
- FML may be taken intermittently, i.e. in blocks of time

www.utexas.edu/hr/current/leave/fmla.html

Parental leave provides up to 12 weeks of *unpaid* leave for employees who are not eligible for Family and Medical Leave coverage for the birth of a child or for the adoption or foster care placement of children under 3 years of age.

Parental leave eligibility

- Employees with less than 12 months of state service or who have worked less than 1,250 hours during the preceding 12-month period
- Employees are required to use all accrued and available annual leave, floating holiday and sick leave, when applicable, while taking parental leave.

Employer premium sharing

- The University will continue to contribute its share of premiums for an employee's insurance during the time that an employee is using available and appropriate leave accruals
- The employee is responsible for the total cost of insurance premiums while on Leave Without Pay

Foster Parent Leave

- Paid administrative leave for a foster parent to a child under the Department of Protective and Regulatory Services conservatorship to attend meetings in accordance with state law
- Applies to regular employees appointed half-time or more for 4.5 months

The University of Texas at Austin Child Development Center provides outstanding child care services to university students, faculty, and staff. They offer a developmental early childhood program for children six weeks to five years of age.

Eligibility

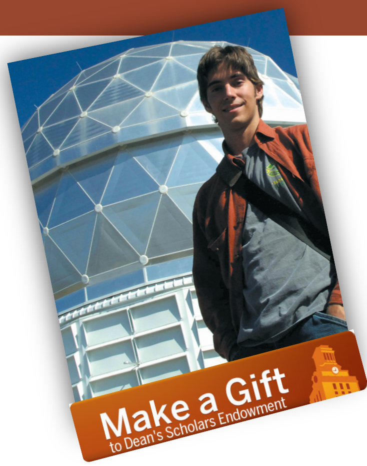
- Faculty, staff, students and affiliated campus programs are eligible to use the program
- Priority is given to faculty, staff who are appointed to a position for 30 hours or more with benefits, and students who are attending full time. For graduate students full time is 6 credit hours per semester and for undergraduate students it is 12 credit hours per semester.
- To be eligible to enroll, children must be 6 weeks to 5 years of age.

Application

- There is usually a waiting list for spaces in the Center. Applications for the waiting list should be submitted as soon as the employee becomes pregnant, or begins the adoption process.
- Twelve slots are set aside annually to assist in faculty recruitment and retention. Applications for these spaces are submitted by the department (**see 3h and 8c**), and decisions are made by May 1 of the preceding spring on a first-come, first-served basis.

http://www.utexas.edu/childcenter/

Endowments



a. **Use of endowment funds**
b. **Department endowment funds**
c. **Endowment reporting**

Effective use of endowment funds can allow departments to recruit and retain the best faculty, initiate new programs, and provide important services during times of restricted funding. Endowments include chairs, professorships, departmental endowments and other unrestricted funds. Proper management and oversight of these funds is a responsibility of the department chair.

Appropriate use of endowment funds

- Be aware of any restrictions on the use of endowments within your department. These are noted on the attached list of endowments. When in doubt, talk with the CNS Development Office.
- Plan to use endowment funds in a way that benefits the department as a whole.

Endowment Reporting and Compliance Initiative Timeline

Below is an annual timeline for when departments can expect to hear from the CNS Development Office for routine endowment reporting and departmental participation with endowment compliance initiatives.

September 1 – October 15 due: Annual Letters Project (Faculty, Unfilled Scholarships and Program endowments)

October 1: Biannual Department Endowment Reports

October 15 due: O'Donnell Report

November 15 – December 1 due: UT System Endowment Compliance Report (~33% random pull of CNS endowments are reviewed)

February 15: High Accumulated Balance & No Expenditures Review (FYI Only, so departments can make adjustments)

May 1: Biannual Department Endowment Reports

Fundraising

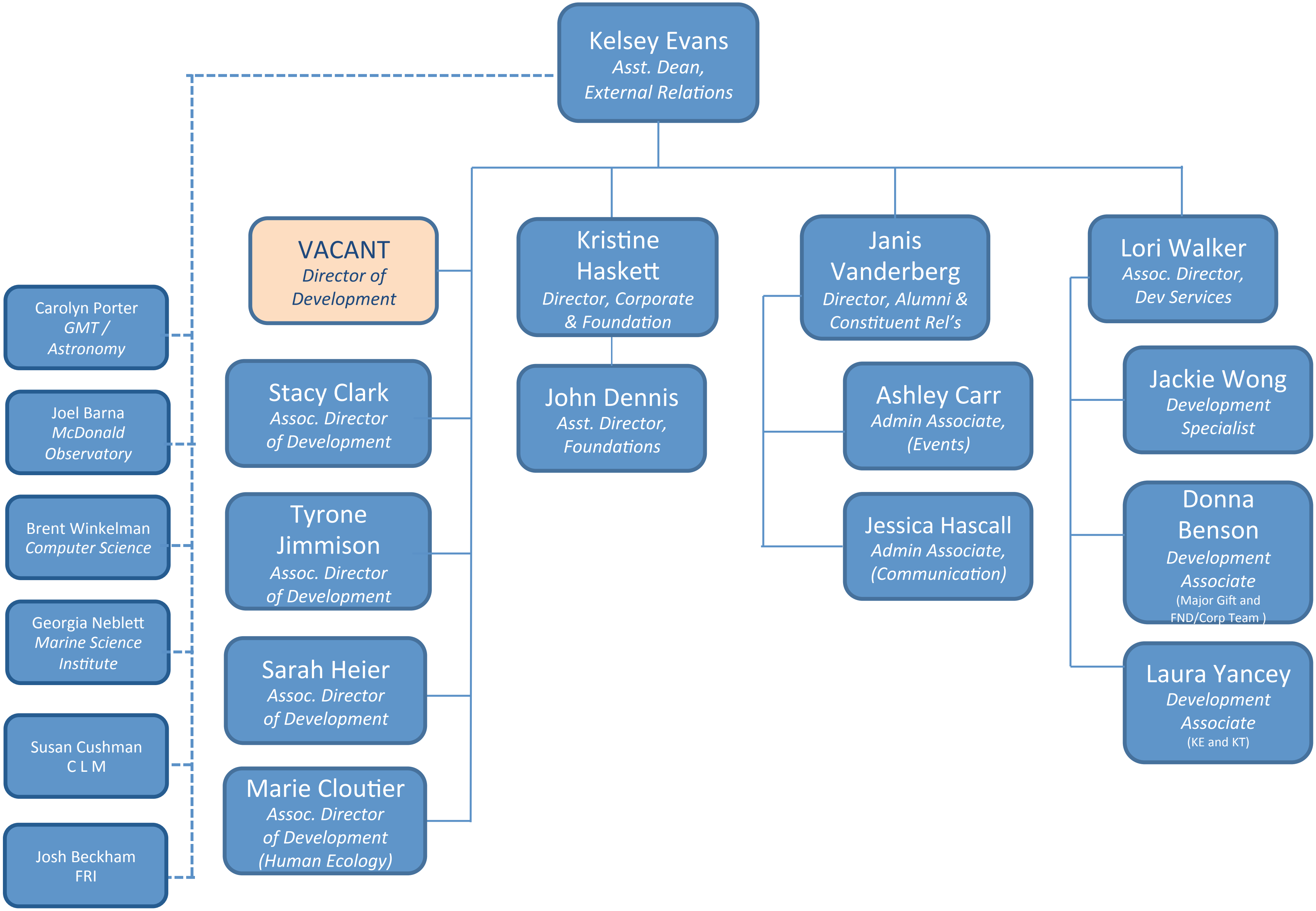
THE CAMPAIGN FOR TEXAS
WHAT STARTS HERE CHANGES THE WORLD
THE UNIVERSITY OF TEXAS AT AUSTIN

Fundraising is coordinated through the CNS Development Office. This section describes the organization of the development office and the role of the chair and department in fundraising.

THE UNIVERSITY OF TEXAS AT AUSTIN
College of Natural Sciences

External Relations Team Organization Chart

Summer 2014



7/7/2014

THE UNIVERSITY OF TEXAS AT AUSTIN
College of Natural Sciences

College of Natural Sciences Fundraising Priorities

2014-2015

There are two primary ways donors support College of Natural Sciences (CNS): via unrestricted gifts that are spent on immediate needs and priorities, and via gifts that are invested and become permanent endowments. Below is a summary description of both options.

Invest in Today's Needs and Opportunities

The impact of outright giving is immediate and powerful. With state support on the decrease, private support is more critical than ever. Gifts from loyal alumni, parents and friends allow CNS to support innovative programs and current priorities.

Donors can support today's needs and priorities with an outright gift designated to support college or departmental initiatives or through a gift to the College's annual fund program, *Hooked on Texas*. Do not underestimate the impact of annual giving - 1,000 alumni giving $1,000 a year represents a $1 million increase in the College's budget and is the equivalent of almost a $20 million endowment!

Key College programs in need of support include:

Facilities

The CNS Facilities Master Plan is a five-year strategy to help the College renovate and upgrade key CNS facilities. At the core of the University campus, the four primary modernization projects: Welch; RLM; Patterson; and Bio Labs, are key to helping CNS maximize its use of existing space, promote interdisciplinary collaboration, grow our faculty and establish a 'heart' of the college for our student population. The total renovation cost is estimated at $205 million. Twenty percent of this amount must come from philanthropy. Private support from alumni, friends and corporation will be key to our successful implementation of this plan. Naming opportunities within these renovated projects are available and will tie donor names to scientific excellence and collaboration in perpetuity. Giving levels will range from $50,000 to $10,000,000 (do we really want to set a $10M limit?).

Freshman Research Initiative

FRI offers first year students the opportunity to engage in authentic research experiences in chemistry, biochemistry, nanotechnology, molecular biology, physics, computer sciences and astronomy while being supported and mentored by faculty and graduate students. Students emerging from this program, which spans three semesters of integrated coursework and laboratory research, will participate in cutting-edge research, have a deep understanding of the scientific process, and gain considerable lab experience. Many FRI students publish in peer-reviewed journals and present their research at national conferences.

Giving Options	Required Annual Funding
Sponsor a New Research Stream	$100,000
Underwrite a Research Educator	$65,000
Undergraduate Innovation Research Fund	$25,000
Student Summer Support	$2,500 or $5,000

Annual Fund

Every year CNS asks its alumni, friends and current parents for their support to help keep the College meet its annual funding needs. With more than 50,000 living alumni and 11,000 undergraduate families, gifts of all sizes via the annual fund have the potential to add up and make a significant impact.

Donors may designate their gift to the College's area of greatest need or to the department of their choice.

Invest in the Future: Create an Endowment

Funding an endowment is a far-reaching act of philanthropy because an endowment provides support in perpetuity to CNS. An endowment is a permanent tribute to the person whose name it bears, and a sound investment in the future. Moreover, by selecting the title of your endowment, you can forever link your name, or that of a family member, friend, or respected professor to scholarly excellence.

Creating an endowment requires a minimum gift of $25,000.The donated funds are managed by The University of Texas at Austin Investment Management Company (UTIMCO). Your gift is invested — never spent — and each year a distribution (approx. 4.75%), is made to your chosen program or area. Investment earnings above the distribution help the endowment value grow over time, to keep pace with inflation and maintain your endowment's spending power.

Endowments can be created through a one-time gift or may be paid over a multi-year window. You may take up to five years to fund an endowment, and once it is officially established, you or anyone else may add to its principal at any time. Endowments are uniquely well-suited for UT families; often established by parents or grandparents, they can be added to in future years by children or other family members.

There are many endowment opportunities and funding levels available. Choosing what your endowed gift will support is simply a matter of selecting a giving opportunity that matches your interests. From professorships to undergraduate research to graduate fellowships, your legacy can take almost any form.

Students

Graduate Student Support

In order for UT Austin to compete with peer research institutions for the best graduate students, we must offer competitive fellowships. Graduate students are indispensable members of the research and education community because these students push the limits of research, bringing new ideas and challenges to solving societal problems. Graduate students act as mentors to thousands of our undergraduates and often liaise between faculty and students, helping to communicate scientific principles presented by professors. Fellowships provide graduate students with essential funding that enables them to pursue their education and research. By increasing the quantity and the quality of our endowed graduate fellowships, UT CNS will be more competitive in recruiting the very brightest students into our programs.

Endowment Options	**Endowment Minimum**
Endowed Discovery Fellowship	$750,000 *(funds full year)*
	$350,000 *(funds one semester)*
Endowed Presidential Graduate Fellow	$100,000 *(funds a stipend supplement)*
Annual Graduate Fellowship Award	$40,000 *(**not** an endowment – annual support)*

Undergraduate Student Support

Establishing an endowment to benefit our extraordinary undergraduates helps the College of Natural Sciences support today's young scientists. As the number of undergraduates performing cutting-edge research in laboratories increases, so too does our need to support these students with stipends and awards. Our goal is to increase the number of endowed undergraduate awards that specifically support students performing research in the lab. Hands-on experience brings science to life - help support today's undergraduates in the "real classroom."

Endowment Options	Endowment Minimum
Endowed Presidential Scholarship (EPS)	$50,000
Endowed Undergraduate Research Award	$50,000
Dean's Scholars Endowment	$25,000

Programs and Research

Investment in CNS programs and initiatives will help the College enhance its reputation as a leader in the development of new paradigms for educating math and science students of the 21st century, thus improving retention, diversity and graduation rates. Endowed Excellence Funds are endowments that provides funding for the most promising or pressing initiatives, giving the Dean and our Department Chairs the power to make strategic decisions to enhance our teaching and research missions. Excellence funds, under the discretion of administrators, can be used to support laboratory enhancements, student opportunities, faculty recruiting, professional conferences, graduate support, and research seed funding, among other initiatives.

Endowment Options	Endowment Minimum
Endowed Excellence Fund	$25,000+

Faculty

Investing in CNS faculty has a remarkable impact: endowed funds help recruit and retain the top scientists who go on to educate the next generation of scientists. Academic leaders like ours are highly sought after by peer institutions and we cannot advance the college without a strategic focus on recruiting the finest faculty while simultaneously strengthening our current faculty. Today, in order to maintain and to advance our position as a top science program, we must sustain our exceptional faculty who invigorate and enrich the classroom and research environments.

Endowment Options	Endowment Minimum
Endowed Leadership Chair	$2 Million
Endowed Faculty Chair	$1 Million
Endowed Professorship	$750,000
Endowed Faculty Early Career Award	$500,000

Annual Fund Process and Timeline

Every year the College of Natural Sciences asks its alumni, friends and current parents for their support to help the College meet its annual funding needs. With more than 50,000 living alumni and 11,000 undergraduate families, gifts of all sizes via the annual fund have the potential to add up and make a significant impact. Donors may designate their gift to the College's area of greatest need or to the department of their choice. CNS is committed to supporting a department-focused solicitation strategy as part of our larger CNS outreach effort. A typical timeline for the academic year looks like this:

September	Renewal Ask Email (all alumni) and Phone calls begin to CNS past & non-donors. ***Suggested DEPT Effort: Prep Fall E-newsletter to alumni and parents**
October	Fall Donor renewal Invoices mailed. Phone calls continue. ***Suggested DEPT Effort: EMAIL Fall E-newsletter by 10/1 to alumni and parents with DEPT specific online giving link included**
November	End of Year Ask from Dean Hicke to top donors (mail).
December	End of Year Thank you/Ask from Dept Chairs to their alumni/parents (Email). Thank you calls continue.
January	Calling continue. ***Suggested DEPT Effort: Prep Spring E-newsletter to alumni and parents**
February	Calling continues. ***Suggested DEPT Effort: EMAIL Spring E-newsletter by 2/1 to alumni and parents with DEPT specific online giving link included**
March	Email Update from CNS on Impact of Giving. Calling continues. ***DEPT Effort: Finalize ASK letter to Alumni and Parents**
April	Department Chair Letter Mailing to Alumni and Parents.
May	Email Follow-up.
June	Calling continues. **DEPT Summer E-newsletter**
July	Program Email ASK (FRI, BFL, UTeach, etc).
August	FY End of Year final Ask, pledge reminder, clean up calling.

To support this partnership, here is how CNS Development will structure Annual Fund fundraising, fees and distribution:

- All departmental annual fund gifts will be made to a central CNS account with a clear designation code for each department.
- Gifts raised between 9/1 and 2/28 will be deposited into this account and then distributed to your department on 4/1.
- Gifts raised between 3/1 and 8/31 will be deposited into this account and then distributed to your department on 10/1.
- CNS will bear the costs to run the annual fund program but will apply a 20% Cost Recovery fee to funds raised and designated to each department. We will apply this 20% to each of the two distributions.
- The cost to raise $1 averages .38-.42, so the 20% recovery fee is a split between your unit and the dean's office.
    - We will apply this 20% Cost Recovery Fee on gifts beginning on 1/1/14.

Questions? Please call Lori Walker at 512-232-0686

The Campaign for Texas: 2006 - 2014 campaign

UT Campaign Goal: $3 Billion

- $2.92 billion as of 7/7/14 in gifts/pledges
- 97% towards goal

CNS Goal: $350 Million

- $301.7 million as of 7/7/14 in gifts/pledges
- 86% towards goal

The Chair's Role in Development

As part of the development team, understand:

- Your strengths in the development cycle
- Specific actions you can implement which will maximize time and results and expand and increase the development culture within your own department

Identifying potential donors

- Encourage faculty to review their MS and PHD students rosters and identify any students who they know have done well / are doing well.
- Remind faculty at your next faculty meeting that they are our best ambassadors out in the world: pick up business cards of CNS grads for Development to update contact information
- Consider creating a way to let the CNS development team know where faculty are travelling - if we have a worthwhile alumnus there, we could arrange a coffee meeting

Assessment

- Produce an e-news piece on a regular basis that asks alumni to submit updates or news. People will often self-identify their success if given a way to do so.
- Invite alumni (and a gift officer) to events or functions that the department is already planning like a major society conference reception, a seminar, a back to school event, etc. that lets us meet/assess large numbers of people in a short time period
- Recognize exceptional alumni –formally through an event or in an informal spotlight story in a newsletter or on the flat screens in department. The act of seeking permission to recognize alumni/ donors is sometimes all it takes to move people towards gift discussion.

Cultivation

- Define your departments fundraising goals and why these funds will make an impact so that we have compelling needs to discuss as we cultivate alumni.

- Make time to travel with a gift officer to meet prospects and cultivate towards a gift. The leader's voice is usually the strongest in conveying why private support matters.
- Ask and empower a few faculty members to help in this effort – is there someone who is always going to Northern California and can partner with a Development Officer in that region? A specialist in an area of funding emphasis is a great spokesperson for a certain initiative..

Solicitation

- Role Play with your gift officer to learn how you divide roles most naturally – who sets up the ask and who actually makes the ask
- Learn how to be quiet and listen – after you ask – don't keep talking – sit back and let them talk (yes, we are allowed to stop talking!!).
- Take time to gain a basic understanding of estate planning and how a blended gift might be beneficial – both for the individual and for UT.

Stewardship

- Be the first to say Thank You – In person, In newsletters, In a notecard or letter
- Define and Implement a Thank you letter process within your department for timely gift acknowledgement – who writes template, who merges and prints, who gets signatures and mails?
- Use the funds the way you said you would, and if left unrestricted for your use, use them creatively to make donors go "wow, how cool that I was a part of that..."
- Work with your accounting person to keep track of how you use endowment or unrestricted funding to report back meaningfully

Service and participation

a. Commencement and award ceremonies
b. CNS committees

You are expected to participate in CNS activities and to encourage your faculty to participate. You will also be asked to provide names of faculty for service on a variety of college-level committees.

Commencement

All chairs are expected to participate in Commencement activities. Additionally, at least 10% of the faculty in your department should attend and participate.

Other occasions:

Chairs should participate and encourage their faculty to participate in other award ceremonies, celebrations and activities that recognize accomplishment and build community. These include Honor's Day, Faculty and Staff Appreciation Day.

College-level committees

You may be asked to provide names of faculty for service on a variety of college-level committees. Committee members are appointed by the Dean in consultation with the chair. These committees are important to the mission of the college and allow faculty and department-level input into decisions made in CNS. These committees include:

Promotion and Tenure

Teaching awards

Non-Tenure Track Faculty

Communication and Governance

a. Department governance and templates
b. Roles of the Chair, Associate Chair, and Budget Council or Executive Committee
c. Faculty meetings
d. Incorporating NTT faculty into the department

A major responsibility of the chair is to maintain good communication within the department and between the department and the upper administration. By listening to all the constituencies in the department and understanding the issues, the chair can effectively present the faculty viewpoint to the Dean. Similarly, the chair must be able to accurately convey information from the Dean to the department. By working effectively with the faculty and dean, the chair can positively influence the direction of the department and effect change when needed.

You can have considerable power over the culture of the department by influencing the dialog: maintaining productive discussions, being clear about what needs to change, communicating decisions once they are made, following up on decisions and generally setting a good example for faculty interactions.

Good communication is facilitated by having an effective form of department governance. The governance document should clearly establish the chain of communication and the roles of the chair, budget council and faculty in each aspect of academic life in the department.

There are three ways that a department may structure its governance:

- Budget Council
- Executive Committee
- Extended Budget Council

Please see the University policy on Budget Councils for a description of each and procedures for modifications to governance structure.

Governance must be reviewed and a vote taken on the resulting recommendation, whether to continue with the current mode of governance or to enact a new governance system, at least every three years.

Timeline

Fall (Year 3) Dean's office sends out reminders to departments whose governance structure will be up for review and renewal on August 31 of the following year.
Spring (Year 3) Department's tenured faculty vote to continue or recommend change to departmental governance structure.
Spring (Year 3) Department chair submits requests to dean for renewal of governance structure.
Spring (Year 3) Dean submits department's governance plan to the president for approval.
Summer (Year 3) Dean communicates approval or requested changes to governance to department.

Recommendation to Dean
A department's recommendation to the dean should answer the following:
1. What is the department's current form of governance?
2. What is the department's proposed form of governance?
3. On what date was the governance vote conducted?
4. What is the composition of the proposed governing body's membership; i.e. number of full professors, number of associate professors, and number of assistant professors, as appropriate?

Voting Status
A faculty member shall have voting status in a department on departmental matters if he or she holds a full-time appointment in the department in the rank of Professor, Visiting Professor, Associate Professor, Visiting Associate Professor, Assistant Professor, instructor, Senior Lecturer, or Lecturer. The release for research, career development, and endowed chair, or other such activities will not jeopardize the voting status. In addition, a voting member may be one who has a joint appointment in two or more departments that totals a full-time appointment at the University, and holds any of the ranks previously mentioned. However, voting status within a department's governing body is inclusive to those serving on that committee or council only.

Department Policies:
In addition to the statement on the form of governance, the department governance document should include the following departmental policies:

Promotion & Tenure
Annual and Comprehensive Periodic Review of Faculty
Merit Raises
Faculty Recruiting
Faculty Retention
Faculty Mentoring
Diversity and Gender Equity
The role of Non-Tenure Track Faculty in the governance

The department governance document will specify whether the primary form of governance in the department is by a **budget council**, **extended budget council** or **executive committee**. Smaller departments usually have a budget council while larger units may find it more practical to have an executive committee for handling routine items. Even when an executive committee is used, some decisions, such as promotion and tenure will still require a full budget council vote.

The budget council or executive committee is usually charged with making recommendations to the department on faculty hiring, promotion and tenure, faculty evaluation, merit raises, retentions, budgets and workload. Some of these recommendations are advisory to the chair, who is ultimately responsible for decisions in the department. For faculty evaluations and promotion and tenure, however, the chair makes an independent recommendation that may differ from the budget council assessment.

Larger departments may have one or more associate chairs. The associate chairs will assume specific functions normally performed by the chair. The roles of the chair, associate chairs and budget council are outlined below. The chair will provide the dean's office with a list of functions assigned to associate chairs.

The faculty should all be aware of the roles of the budget council or executive committee and of their individual roles in department governance. There is an opportunity to change the form of governance every three years when the department governance policy is discussed, and there is a vote on renewing or changing the governance document.

Responsibilities of Chair, Associate Chair and Budget Council

UT Policy and Regents Rules assign some functions to the Budget Council and others to the Chair of the department. Because the department Chair servers as chair of the Budget Council, the Chair will be the Dean's point of contact for those items. In larger departments, the chair may designate some of the chair's responsibilities to one or more associate chairs. The associate chairs are appointed by the Dean in consultation with the department chair. Items indicated * may be assigned to an Associate Chair for Undergraduate Education or ** Associate Chair for Operations. The chair should indicate the specific responsibilities assigned to an associate chair in a memo to the Dean.

Department governance	Determined by budget council and vote of full faculty Items assigned to the **Budget Council** in the list below are the responsibility of the decision-making body of faculty indicated in the approved department governance document, e.g. extended budget council, executive committee, merit sub-committee
Communication	The Chair serves as the communication link between the administration and the faculty. Holds regularly scheduled

	faculty meetings for dissemination of information and discussion.
Hiring tenure-track faculty	Budget Council.
Assigning *teaching or research mentors	Chair
Hiring NTT faculty	Budget Council or Chair, in consultation with the Senior Lecturers in the department.
Third year review	Budget Council
Promotion and tenure	The Chair is responsible for meeting with the candidate, soliciting external letters and assigning the council subcommittee that will prepare the assessments and recommendation. The Chair makes a separate recommendation and is available to meet with the CNS P&T committee to answer any questions during their deliberations. The Chair* should ensure that all peer evaluations and CIS surveys are completed prior to the budget council consideration of the dossier.
Promotion of NTT faculty	Chair
Annual reviews, CPR	Budget Council. The Chair may make a separate recommendation, but she may not overturn the budget council review. The chair is responsible for developing and monitoring remediation plans.
Faculty leaves, modified duties, separations	Chair
Salary rates	Budget Council. Chair may make a separate recommendation.
Retentions	Budget Council and Chair
*Curriculum	Chair. This includes course scheduling, projections, and capacity; TA assignments; appointing department course and curriculum committee members.
*Course assignments	Chair determines faculty teaching assignments
*Student grievances	Chair. Graduate student grievances should go to the Graduate Advisor first.

Faculty workload	The Chair is responsible for ensuring that all faculty meet their workload and that there is full participation in the undergraduate curriculum.
**Department staff	The Chair** is responsible for hiring, assigning duties, evaluating and dismissing staff.
**Staff grievances	Chair
**Department cores	Chair manages departmental core facilities and their budgets
**Space, facilities management	Chair
Strategic planning	Chair
Department budget	Chair*/**. Specific aspects of the instructional and department budgets may be assigned to the appropriate Associate Chair. The Chair is responsible for presenting the department's budget plan to the CNS Budget Committee each year.
**Compliance	Chair
Endowments	Chair. Use of endowment funds and endowment reporting. The budget council will make recommendations on appointments to endowed chairs or professorships.
Fundraising	Chair works with CNS Development Office to engage in fundraising activities.
Faculty participation in events and college committees	Chair

The chair should call regular meetings of the faculty to discuss faculty recruiting, curriculum and teaching, budget, and other issues of importance to the faculty and department. Many of the details of running the department are done by the chair, budget council and staff, but these are communicated to the faculty at the meetings. Faculty meetings also provide an opportunity to reiterate important communications from the administration and to seek input from the faculty. At a minimum there should be one faculty meeting per semester.

All teaching faculty, both tenure-track and non-tenure-track, should be invited to meetings where curriculum and instruction are discussed. These should occur at least once a year or more often if significant changes are being made to the curriculum.

The agenda for the faculty meeting should be circulated in advance of the meeting, and the meeting should be scheduled at a time that allows maximum attendance by the faculty. If votes are taken at the meeting, these should be recorded and kept in the department files for reference. A brief, follow-up email to the faculty outlining decisions reached at the meeting is useful, even if detailed minutes are taken and made available.

Lecturers and other non-tenure track faculty play a vital role in the department and college. However, they do always feel that they are fully integrated into the department. They should be provided with opportunities for mentoring, professional development and advancement. More details on most of these issues are included in specific sections of the handbook.

Communication with the NTT faculty

Include NTT faculty on email lists and make sure they are informed of department activities. They should also be in the faculty directory on the department website.

The chair and other department leadership, such as associate chair and director of undergraduate advising, should meet with the NTT faculty as a group at least once a year. This provides a forum for exchange of ideas and communication of changes in policies related to NTT faculty.

The departmental leadership should facilitate matching with or assignment of mentors for NTTF for the purpose of development and communication about teaching and to help them navigate the department.

CNS Committee on NTT Faculty

The College has a standing committee on NTT faculty that reports through Faculty Affairs and provides a mechanism for communicating lecturer concerns to the College and the departments. Departments are encouraged to work with this committee to share best practices and ideas. Current members of the committee are:

Jane Arledge
Ruth Buskirk
Cynthia Labrake
Mike Scott
Lydia Steinman

Safety

a. Campus safety
b. Research laboratory safety and training

Maintaining a safe working and learning environment is everyone's responsibility. The chair's role is to ensure that faculty, staff and students receive appropriate safety training and know how to get help when needed.

Campus emergency information
For information on campus emergencies, including alerts, closures and openings during emergencies or unfavorable weather situations, and lockdowns, go to http://www.utexas.edu/emergency/

Fire Alarms
Office of Campus Safety and Security, 512-471-5767, http://www.utexas.edu/safety/

Occupants of buildings on The University of Texas at Austin campus are required to evacuate buildings when a fire alarm is activated. Alarm activation or announcement requires exiting and assembling outside. Familiarize yourself with all exit doors of each classroom and building you may occupy. Remember that the nearest exit door may not be the one you used when entering the building. Students requiring assistance in evacuation shall inform their instructor in writing during the first week of class. In the event of an evacuation, follow the instruction of faculty or class instructors. Do not re-enter a building unless given instructions by the following: Austin Fire Department, The University of Texas at Austin Police Department, or Fire Prevention Services office.

Behavioral concerns
Behavior Concerns Advice Line (BCAL)512-232-5050

If there are concerns about a student in a class or about the behavior of a faculty or staff member, contact the Behavior Concerns Advice line at 512-232-5050.

Cases that present an immediate threat to self, others, or property should be considered an emergency and should be directed to The University of Texas Police Department (UTPD) by calling **911**.

Defibrillators on campus
Know the sites of automated external defibrillators in your building: http://www.utexas.edu/safety/aeds/

Environmental Health and Safety
For concerns about biosafety, for example: hazardous waste, radiation safety
512-471-3511
http://www.utexas.edu/safety/ehs/

Major hazardous spill or leak
Immediately evacuate the area and call 911 from a campus phone or 512-471-4441 from a cell phone.

Additional information on emergency preparedness:
http://www.utexas.edu/safety/ehs/

Many research laboratories on campus have hazardous materials and other safety issues. Chairs should remind faculty and research staff that all University safety rules must be followed. The University requires safety training for laboratory employees to insure that they are adequately informed about physical and health hazards present within the laboratory and methods for minimizing the risks of exposure. "Laboratory employees" include faculty, staff, and employed students who work in a laboratory setting. For this document the term "laboratory employees" applies as well to graduate and post-doctoral fellows and visiting scientists who work in laboratories. Required training is determined by job duties of the laboratory employee and the specific hazards within the lab.

PIs/lab supervisors are required to insure all their employees receive proper training, and to provide Site-Specific Hazard Communication training to "laboratory employees" and students in individual instruction courses. PIs/lab supervisors are responsible for ensuring that all training is properly documented and that individuals working in their labs do not engage in activities for which they have not been trained.

Details regarding required training are available on the Environmental Health and Safety website.

http://www.utexas.edu/safety/ehs/train/requirements.html

Any laboratory accidents must be reported to EH&S. If there is an injury, a first report of injury should be completed within 24 hours.
http://www.utexas.edu/hr/hrpro/wci/report.html

Injured employees contact the HealthPoint Occupational Health Program (OHP) for consultation at (512) 471-4OHP (4647). Students in a non-employment status should consult with a qualified medical provider for consultation, since University Health Services does not accept Worker's Compensation.

More complete information on laboratory safety is found in the EHS Laboratory Safety Manual:

http://www.utexas.edu/safety/ehs/lab/manual/3_fundamentals.html#iii9

Compliance and Ethics

There are some things that have to be done by faculty or staff, and it is your job to convince them to fill out the forms/do the online training/provide the information in a timely manner. Some of these are state statutes or regents' rules and we don't have the option of ignoring them.

Among other things, these include:

- Providing a syllabus and other required materials to the students at the beginning of classes.
- Uploading undergraduate classroom course syllabi and instructor-of-record CVs to the *Access Syllabi and CVs* system no later than seven days after the first day of classes each semester.
- EEO and sexual harassment training must be done within the first 30 days of hire and every two years thereafter.
- Submitting travel requests.
- Certifying effort on sponsored projects.
- Yearly performance evaluations of all staff.
- Complete compliance training and any other required training modules.
- Requesting permission for outside employment and filing appropriate disclosures and reports.
- Writing letters to endowment donors.

a. Americans with Disabilities Act (ADA)
b. ADA accommodation request form
c. EEO and sexual harassment
d. EEO reports
e. Required compliance training
f. Sponsored projects
g. Misconduct
h. Reporting research expenditures
i. Entertainment expense policy

ADA Background and Definitions

The Americans with Disabilities Act (ADA) of 1990 is the nation's first comprehensive civil rights law addressing the needs of people with disabilities, prohibiting discrimination in employment, public services, and public accommodations. The Americans with Disabilities Act Amendments Act (ADAAA), which was enacted in 2009, clarified the mandate to eliminate discrimination against individuals with disabilities. A disability is defined by the ADA and the ADAAA as a physical or mental impairment that substantially limits one or more major life activities. The impairment may be permanent, chronic or progressive. Conditions that are episodic or in remission may also be considered disabilities under the ADAAA if they are substantially limiting when active.

Reasonable accommodations are provided to qualified individuals with a disability in order for them to enjoy equal benefits and privileges of work. Reasonable accommodations are alterations/changes in the workplace that enable persons with disabilities to perform the essential functions of their jobs. Found in job descriptions, essential functions are duties which are integral to the position. They may be physical or behavioral, require specialized skills or competencies, as well as may take a significant amount of time to accomplish. In addition, there may be significant business consequences if the function is not performed and/or there are a limited number of employees who are able to perform these tasks.

Seeking an Accommodation (Faculty and Staff)

Current employees who need an accommodation in order to perform the essential functions of their position should initiate a request through the Office of Institutional Equity at (512) 471-1849. The University has developed this centralized process to maintain consistency and so that employees have the opportunity to discuss their individual situations directly without informing their supervisor. Employees who request accommodations directly from their supervisor should be referred in writing to speak with the Office of Institutional Equity.

This referral should also be made when the employee indicates that the reason why he/she is having difficulty in performing his/her job is the result of a physical or mental impairment or harm.

In reviewing accommodation requests, the Office of Institutional Equity will engage in an interactive process with the employee in which the employee's needs are reviewed in relationship to the essential functions of his/her position. Employees will also be asked to provide the name and contact information of their healthcare provider and to complete a Request for Accommodation Form. Any disability documentation that is received will be maintained separately from the personnel file. Employees who are referred to the Office of Institutional Equity, but choose not to initiate the ADA Process nor submit documentation are not recognized by the University as having a disabling condition.

In reviewing documentation and determining reasonable accommodations, the following will be discussed and considered:

1. The condition and its duration;

2. The limitations caused by the condition and how these limitations impact the employee's performance on specific requirements of the his/her position; and

3. The accommodation(s) the employee and the employee's healthcare provider believe will enable the employee to perform the essential functions of the position.

Although employees may consult with the Office of Institutional Equity without initially informing their supervisor, supervisors are an important part of the process and will be brought into the discussion about the specific impact of the physical or mental impairment on job performance and recommended accommodations. It is important to note that in having this discussion, the Office of Institutional Equity does not share the medical diagnosis or disability documentation, but rather maintains the focus on the limitations of the condition(s) and suggested accommodations.

"DISABILITY ACCOMMODATION FOR APPLICANTS AND EMPLOYEES"
EMPLOYEE REQUEST FOR ACCOMMODATION
UNIVERSITY OF TEXAS AT AUSTIN

This form is an initial step in processing your request for accommodation under the University's "Disability Accommodation for Applicants and Employees" policy. An accommodation is a reasonable modification or adjustment to the job application process or work environment that enables a qualified person with a disability to be considered for a position, perform the essential functions of a position, or enjoy the same benefits and privileges of employment as are enjoyed by non-disabled employees. In order to determine whether you are eligible for accommodations under the Americans with Disabilities Act Amendment Act (ADAAA) of 2008, the University will ask that you sign a Release of Information form that permits the University to discuss your medical condition with your healthcare provider. Having a medical condition alone is not enough to make you eligible for accommodation under the Americans with Disabilities Act Amendment Act of 2008. Under the ADAAA, an individual with a disability is a person with a physical or mental impairment that substantially limits one or more major life activities; has a record of such impairment; or is regarded as having such impairment. A substantial limitation is defined as an impairment that prevents the performance of a major life activity that most people in the general population can perform.

The Americans with Disabilities Act Amendment Act of 2008 requires that the University keep medical information confidential. However, the law allows certain individuals to be informed of your condition as needed. These persons can include your manager(s) or supervisor(s), human resource personnel, first aid and safety personnel, personnel investigating compliance with the ADAAA and other persons with a need to know. The law does not prohibit you from voluntarily discussing your condition or medical information about yourself.

Please submit the completed form by Mail or in Person to:

Debbie Dillingham, Director of Education/Compliance and Deputy ADA Coordinator
Campus Mail: NOA 4.302D
U.S. Mail: The University of Texas at Austin, Office of Institutional Equity,
101 East 27th Street, STOP A9400, Austin, Texas 78712-1541
Phone: (512) 471-1847 Fax: (512) 471-8180
E-mail: **debbie.dillingham@austin.utexas.edu**

I, (first, middle, last name) ____
am requesting that the University provide me with a reasonable accommodation pursuant to the Americans with Disabilities Act Amendment Act of 2008. I understand that I must be able to perform the essential functions of my job with or without accommodation.

Position____ **UT EID:** ______________________

Department____

Work Address____

Work Telephone Number_____________________ **Home Phone Number**___________________

Email:____

Immediate Supervisor_______________________ **Supervisor's Number** ___________________

Briefly, the work I do is ____

____

____

My medical condition is (specify medical conditions which affect your job)

____

____

____

This condition is permanent or expected to last until______________________ (date).

To manage my condition, I take the following medication or use the following aids:

____

____

The medications or aids I use ___do____do not have side effects which affect my ability to do my job. If they do, explain.

____

____

The activities that my condition impairs are:

____

____

____

The reasonable accommodation I am requesting is

____

____

____

Employee Signature ____

Date____

Equal Opportunity Employment (EEO) and Sexual harassment

It is the policy of The University of Texas at Austin to provide an educational and working environment that is free from discrimination, sexual harassment and sexual misconduct by members of the university community, visitors to campus and by those who have business or educational relationships with the university.

In accordance with federal and state law, the University prohibits unlawful discrimination, or harassment, on the basis of race, color, religion, national origin, gender, age, disability, citizenship, and veteran status. This policy also prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

To insure that situations that may involve discrimination, sexual harassment or sexual misconduct are handled appropriately, every supervisor, administrator and university official, including but not limited to deans and department chairs, is responsible for promptly referring such incidents that come to their attention to either the Office of the Dean of Students or to the Office of Institutional Equity.

It is important that you document the incident about which you file a complaint. Your written account should include the date, time and place of each incident, the behavior involved in the incident, your response to it, and the names of any witnesses. It is also important to retain any documents that pertain to the incident, such as notes, letters and e-mail.

Written complaints should be filed within 90 days of an incident. In the case of a currently enrolled student, if the last day for filing a complaint falls prior to the end of the academic semester in which the alleged violation occurred, then the complaint may be filed within thirty (30) calendar days after the end of that semester.

To report complaints:

Office of Institutional Equity
North Office Building A (NOA)
Suite 4.302
471-1849, equity@utexas.edu

Christa F. López (student complaints)
Associate Director of Student Emergency Services
Office of the Dean of Students
Student Services Building
Room 4.104
471-5017, christa.sandelier@mail.utexas.edu

Equal Employment Opportunity (EEO) Affirmative Action faculty data collection guidelines

Each Department, center or ORU that hires faculty is required to provide data on all staff members to the Office of Federal Contracts and Compliance Programs. Some of these data are reported centrally. However, faculty recruitment and hiring information is reported directly by the department. This reporting is required because we are a recipient of federal funds.

Placement goal sheet

Complete the Faculty Placement Goal sheet (copy follows) and cover sheet. These are due in December of each recruiting year. Indicate the number of faculty you anticipate hiring during the recruitment period September 1through August 31. These faculty would begin the following fall. Departments who are not recruiting faculty should simply complete and submit page 2-the Faculty Placement Goals or notify the Office of Institutional Equity (OIE) via email that no faculty recruitment took place.

The department is able to submit their information on-line via the Office of Institutional Equity website, http://www.utexas.edu/equity
Please go to the website and select Compliance either at the navigation menu or at the bottom of the page. You will then find the necessary reports under the tab on the right side of the page listed as EEO/AA Faculty Data Collection Report, click on the tab and you will be able to complete "2013 EEO/Affirmative Action Report".

OIE does not require a hard copy of reports that are completed online. However, you have the option of downloading the document and sending a hard copy to OIE via Campus Mail (see campus mail address below) if unable to complete online.
This report may also be scanned and emailed to Debbie.dillingham@austin.utexas.edu.

If you conducted searches for faculty during the previous year (recruitment period September 1 to August 31), please complete the **full report** [PDF]. This report is submitted to the Faculty Affairs Office as part of the recruitment and PAR process (see **section 3**). You do not need to submit it separately to the EEO Office. The Dean's Office will include it in with the PAR.

FACULTY PLACEMENT GOALS*

For the Recruiting Period
September 1, 2013 through August 31, 2014

FACULTY STATUS/RANK	Total Projected # Openings	TOTAL FEMALES	TOTAL MINORITIES
Tenured			
Tenure Track			
Non-Tenure Track			
TOTAL			

*The establishment of a “Placement Goal” does not amount to an admission of impermissible conduct. It is neither a finding of unlawful discrimination nor a finding of a lack of good faith affirmative action efforts. Nor does the establishment of a Placement Goal permit unlawful discrimination. Rather, the establishment of a “Placement Goal” is a technical targeting term used exclusively by affirmative action planners who seek to apply good faith efforts to increase, in the future, the percentage utilization of minorities and women in a work force.

Faculty hired during this recruitment period begin Fall 2014/Winter 2015

Department/Area

(Name <u>all</u> areas/departments covered by this report)

EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION REPORT

NOVEMBER 2013

Submit any additional report documents to:

Office of Institutional Equity
North Office Building A (NOA), 101 E. 27th St. Suite 4.302
Campus Mail Code A9400

<u>DEADLINE</u>
January 31, 2014

"Affirmative Action is not preferential treatment. Nor does it mean that unqualified persons should be hired or promoted over other people. What affirmative action does mean is that positive steps must be taken to provide equal opportunity for those who have been discriminated against in the past and who continue to suffer the effects of that discrimination. Affirmative Action is the tool; EEO is the goal."
(U.S. Department of Labor, OFCCP, 1979)

FACULTY PLACEMENT GOALS*

For the Recruiting Period
September 1, 2013 through August 31, 2014

FACULTY STATUS/RANK	Total Projected # Openings	TOTAL FEMALES	TOTAL MINORITIES
Tenured			
Tenure Track			
Non-Tenure Track			
TOTAL			

*The establishment of a "Placement Goal" does not amount to an admission of impermissible conduct. It is neither a finding of unlawful discrimination nor a finding of a lack of good faith affirmative action efforts. Nor does the establishment of a Placement Goal permit unlawful discrimination. Rather, the establishment of a "Placement Goal" is a technical targeting term used exclusively by affirmative action planners who seek to apply good faith efforts to increase, in the future, the percentage utilization of minorities and women in a work force.

****Faculty hired during this recruitment period begin Fall 2014/Winter 2015**

Complete the following pages for each and every faculty position in which hiring took place and/or recruiting was carried out, regardless of the outcome, during the period September 1, 2012 through August 31, 2013. Please note that this includes all emergency or last-minute appointments of half-time or more for four and a half months or more. **This section has been revised to correspond with *Policy Memorandum 2-9989*.**

You may substitute those pages if you wish.

Summary of Faculty Recruitment and Employment Activity

September 1, 2012 - August 31, 2013

1. Title of Position: ____

2. Please indicate the nature of this position: i.e., an emergency appointment; a temporary appointment; a visiting position; a tenured position; or a probationary position leading to a consideration for tenure.

3. Summary of non-discriminatory criteria for this position:

4. Please provide an explanation of where departmental responsibility for the recruiting of applicants for this position was placed. If a selection committee was involved, supply the names of its members. Specifically, list any women and/or minorities involved in the recruiting of applicants.

5. Please provide an explanation of methods and techniques utilized in assuring that a representative applicant pool was collected. (a) List the names of all journals, periodicals, etc. where a job vacancy notice was placed. (b) Attach a copy of the job vacancy announcement as it appeared in the journals. (c) Cite any other recruiting channels utilized, i.e., personal contacts, letters to other departments, professional meetings, etc.

6. Please describe the interviewing process carried out for this position. How, where, when, and by whom were candidates interviewed for this position? For example, were second interviews conducted? Were candidates invited to this campus? Was the decision to extend a job offer made after each interview or after all screened applicants were interviewed? List any women and/or minorities involved in the hiring decision for this position.

7. Please indicate the basis used for the evaluation of candidates. List the reasons why the successful applicant was selected.

Department /Section/Area

SUMMARY OF FACULTY EMPLOYMENT ACTIVITY

For the Recruitment Period of the Previous Academic Year
September 1, 2012 - August 31, 2013

TENURE STATUS: ______________________________

POSITION TITLE: ______________________________

APPLICANT POOL	TOTAL ALL	MALES							FEMALES						
		TOTAL	White	Black	Hispanic	Asian/ Pacific Islander	American Indian/ Alaska Native	Unknown	TOTAL	White	Black	Hispanic	Asian/ Pacific Islander	American Indian/ Alaska Native	Unknown
Composition of Applicant Pool *															
Composition of Applicants Interviewed															
Composition of Offers Made and Refused															
Composition of Offers Made and Accepted															

Final appointment(s) in this position in terms of gender and ethnicity ______________________________

Name of successful candidate(s): ______________________________

Please indicate if more than one individual was hired from this applicant pool. ______________________________

**Gender and ethnicity of applicants to the best of your knowledge – use the "Unknown" category for applicants not identified.*
(See ethnic category definitions in the directions for completion of this report.)

The Financial Conflict of Interest (FCOI) policy for researchers extends to all research conducted at UT-Austin, whether it is funded or unfunded; and if funded, regardless of project's funding source.

The policy requires completion of **Conflict of Interest training** at least every four years by all individuals who are responsible for the design, conduct, or reporting of research. These individuals are referred to as **covered** individuals and include PIs, Co-PIs, Co-Is, and often postdocs, graduate students or technical staff. It is the responsibility of the PI to determine which personnel working on a given project are Covered Individuals.

A web-based training course has been implemented and training may be completed at any time. This course is located at http://www.utexas.edu/research/rsc/coi/training.html

Upon completion of Conflict of Interest training, all affected researchers will be required to complete a web-based Financial Interest Disclosure (FID) form. There is a delay of 24-48 hours from completion of the training course until the training database is updated. Instructions to submit your financial interest disclosure form (FID) can be found at http://www.utexas.edu/research/rsc/coi/fid.html

- *Covered individuals* complete the Financial Interest Disclosure form annually or within 30 days of when changes occur

- *Approvers*: Electronically approve (act on) all disclosures

Disclosures are generally for activities that have already occurred and includes business interests that may be a conflict of interest

Approvals are generally for activities that will occur in the future

Approvers are people in the chain of approval: typically deans, associate

All externally funded research and sponsored projects must be reviewed by the Office of Sponsored Projects (OSP) prior to submission. Some limited submission proposals will require approval by the department chair prior to submission. Make sure that all faculty and research PIs in your department understand the requirement for OSP submission, review of certain types of research by the IBS (Institutional Biosafety Committee), IACUC (Institutional Animal Use and Care Committee) and IRB (Institutional Review Board for human subjects research). PIs are also responsible for responsible conduct of research and required reporting. NSF, NIH and certain other funding agencies require that all personnel, including students, must receive training in the responsible conduct of research.

Submission
Proposal review is initiated through the Research Management System (RMS)

https://utdirect.utexas.edu/rms/

Other standard forms and boilerplate information is available through the OSP website
http://www.utexas.edu/research/osp/proposal/tools.html

Tuition remission
Tuition remission for graduate research assistants will be required on all grant proposals and contracts, unless the sponsor does not allow tuition remission.

Awards and Contracts
OSP will handle the initial negotiation of the award and will forward the awards to the Office of Accounting to establish accounts for the PI's use. All research project funding is done through the University.

Financial Conflict of Interest (FCOI)
Investigators must ensure they are in full compliance with the university's policy. The policy extends to all research conducted at The University of Texas, whether it is funded or unfunded; and if funded, regardless of project's funding source.

Percent Effort on Grants
The total percent effort on projects should comply with University rules. General, up to 20% time can be spent on activities outside the normal workload. In some cases, cost sharing will be required for effort compensated by the University. More information can be obtained through OSP.

Reporting
Most agencies require annual, or more frequent, reports on sponsored research. These are generally filed through OSP.

Several external entities, including the University of Texas System and Texas Higher Education Coordinating Board, periodically request reports of research expenditures from The University of Texas at Austin. Sponsored research projects that are administered through the Office of Sponsored Projects / Sponsored Projects Award Administration are reported on behalf of researchers to such entities. In contrast, reporting of "non-OSP" research expenditures, defined as funds received from external sources that are explicitly designated for research, is requested from academic departments. Examples of non-OSP research expenditures can include research gifts to individual faculty from industry or private foundations.

The CNS Dean's office requests a list of all non-OSP research expenditures from Department Chairs annually, typically during the spring semester. **It is the Department Chair's responsibility to collect amounts and sources of non-OSP research expenditures from department faculty and staff researchers and to report this information to the Dean's office when requested.**

Misconduct, for example misconduct in science and scholarly activities, plagiarism, and sexual misconduct, should be handled according to University policy. When a chair is notified of misconduct, he or she should immediately notify the appropriate University official before taking action.

Scientific misconduct

Misconduct violates not only the relationship between a researcher and The University but also damages the reputations of those involved and of the entire research and scholarly community. Therefore, it is the responsibility of every research investigator to avoid misconduct and to assure integrity in the collection of data, storage of records and proper assignment of credit in publication. It is also the responsibility of all researchers and scholars to report instances of misconduct, as well as instances of retaliation against those who, in good faith, bring charges of misconduct in science or other scholarly research.For the full document, please visit:
http://www.utexas.edu/policies/hoppm/11.B.01.html
If you are notified of suspected research misconduct, immediately contact the Vice President for Research and/or the Research Integrity Officer.

Sexual misconduct

Promptly contact the Office of Institutional Equity to discuss incidents of sexual misconduct prior to taking action in response to them.
Sexual misconduct is behavior or conduct of a sexual nature that is unprofessional and/or inappropriate for the educational and working environment.

Behaviors that may constitute sexual misconduct include but are not limited to:

- Repeatedly engaging in sexually oriented conversations, comments or horseplay, including the use of language or the telling of jokes or anecdotes of a sexual nature in the workplace, office or classroom, even if such conduct is not objected to by those present.
- Gratuitous use of sexually oriented materials not directly related to the subject matter of a class, course or meeting even if not objected to by those present.

Failure to observe the appropriate boundaries of the supervisor/subordinate or faculty/student relationship, including the participation of a supervisor, teacher, advisor or coach in an unreported consensual romantic or sexual relationship with a subordinate employee or student.

Other forms of misconduct

When in doubt, call the University Office of Legal Affairs for advice.

COLLEGE OF NATURAL SCIENCES
OFFICIAL OCCASIONS AND ENTERTAINMENT EXPENSES POLICY

Summary

This policy:
- Covers the requirements and procedures to be followed for funding, payment, or reimbursement of all official occasions expenses including flowers, business meals, receptions, catered meals, refreshments, gifts, awards, etc.
- Applies to all faculty, staff and students in units in CNS, regardless of the source of funds
- Covers events in any location or city, including local events.
- Other restrictions may apply to grant or gift/endowment funding depending on grantor/donor criteria
- In most cases, dictated by university (*Handbook of Business Procedures* 9.1.1) and/or State rules

An "official occasion" is:
- Defined as a reception, dinner, luncheon, or similar event that is funded by a University account
- Associated with special programs, university guests, meetings, or faculty, staff or student recruitment

Administrative/Business Meetings:
- Involve two or more people and must include a university employee
- Are agenda driven and have a purpose and benefit to UT

Entertainment Activities:
- Food, beverages and related expenses associated with conferences, workshops, seminars, and contract and grant programs.
- Food, beverages and related expenses for working business meetings, luncheons and dinners; faculty and staff retreats; staff meetings; faculty/staff recruitment and retirement functions; special lectures; and similar university business activities associated with conducting the school's business. Also includes receptions, lunches, and events hosted by an administrative officer of the school
- All current UT student entertainment activities on fee account must be coded 1309.

Pre-Approval of Official Occasions Expenses:
- Must be obtained from the Dean or Assistant Dean for Business Services
    - for proposed events with a projected cost of $3,000 or more
    - expenses must be appropriate and reasonable
    - additional pre-approval must be obtained from the Provost's Office via the Assistant Dean for Business Services to serve alcohol in any campus facility, including leased space

Meals limits:
- Breakfast - $20/person
- Lunch - $30/ person
- Dinner/Reception - $75/person
- Alcohol may not be the primary expenditure (less than 50%)
- Meals/entertainment for prospective faculty candidates not to exceed $750 per day
- Departments may establish lower reimbursement limits.
- Alcohol is not allowed on any undergraduate or graduate student recruiting visits or other student events

Other Official Occasion Expenses

- Club memberships require advance approval from UT's administrative officers via the Assistant Dean for Business Services
- Flowers for college-related purposes may be charged to unrestricted gift accounts only
- Holiday cards issued in the name of the department may be charged to unrestricted gift accounts only
- Alcohol is ***NOT*** allowed for undergraduate or graduate student events.

Reimbursement Procedures

- Prepare an Official Occasion Expense Form (OOEF). For events where the estimated total cost exceeds $3,000, submit the OOEF to CNS Office of Assistant Dean for Business Services for pre-approval.
- Prepare an entertainment voucher (VPE) and include the OOEF and original, itemized receipts
- If expenses are incurred during official travel, submit a copy of the approved Request for Travel Authorization (VE5)
- Request for reimbursement must be submitted within sixty (60) days of event/travel, NO exceptions

Policy Justification

This policy covers the requirements and procedures to be followed for the funding, payment, or reimbursement of all official occasions expenses including flowers, business meals, receptions, catered meals, and refreshments. This policy applies to all units in the College of Natural Sciences, regardless of the source of funds. In addition, this policy covers events in any location or city. More restrictive policies may apply to grant funding.

This policy has been developed to assist faculty and staff as responsible stewards of College of Natural Sciences funds. In most cases, these policies and procedures are dictated by university (*Handbook of Business Procedures* 9.1.1) and/or State rules.

For the purpose of this document, an "official occasion" is defined as a reception, dinner, luncheon, or similar event that is funded by a University account. These functions are normally associated with special programs, university guests, or faculty, staff, and student recruitment. Examples include conferences/workshops/seminars, development events (donor receptions, fundraising activities, etc.), planned retreats, staff meetings, retirement receptions, unit or department morale-building events, and other similar activities.

Administrative/Business meetings generally involve two or more people, must include a university employee, are agenda driven, and directly concern university business. Business meeting expenses may be reimbursed if the meal or light refreshment is an integral part of the meeting, not a matter of personal convenience, and the meeting time encompasses a regular meal time and could not otherwise be scheduled during regular working hours. University funds should not be used for social lunches between two or more university employees.

Entertainment Activities

Entertainment activities as official occasions are separated into the following three categories:

1. Workshop, Seminar, Conference or Class (Object Code: 1347): Cost of food, beverages and related expenses associated with conferences, workshops, seminars, and contract and grant programs. Payments to speakers, travel costs for speakers, and participant support fees are not included.

2. Business meetings (Object Code: 1347): Cost of food, beverages and related expenses for working business meetings, luncheons and dinners; faculty and staff retreats; staff meetings; faculty/staff recruitment functions; and similar university business activities associated with conducting the school's business. Also included are receptions, lunches, and events hosted by an administrative officer of the school (Dean, Assistant and Associate Deans, Department Chairs, Program Directors, or Directors of Organized Research Units).

3. Official Student Occasions (Object Code: 1309): All current UT student entertainment activities must be coded 1309 if on fee funds.

Pre-Approval of Official Occasions Expenses

Pre-approval must be obtained from the Dean or Assistant Dean for Business Services using the Official Occasion Expense Form (OOEF) in the following situations:

- Academic Departments/Research Centers/Dean's Office: Any proposed event with a projected cost of $3,000 or above. The Department Chair/Director can approve in advance a proposed expenditure of less than $3,000 per event within his/her department. Process: Send OOEF to Gail Davis at least two weeks in advance of any expenditures related to the event.

- Activities where the attendees are primarily members of the same department or unit: Annual events, such as departmental holiday parties and staff appreciation lunches, are allowed and will be approved provided the proposed activities and expenditures are appropriate and reasonable.

- Alcohol in Campus Facilities: Advance approval by the Executive Vice President and Provost is required to serve alcohol in campus facilities, including leased spaces. Approval must be submitted with the Official Occasion Expense Form to the Assistant Dean for Business Services. Vouchers will be rejected if the Provost's prior approval has not been obtained. Refer to the Provost's Office website for guidelines and approval. (http://www.utexas.edu/provost/policies/alcohol_guidelines.html)

- Faculty and staff may not approve their own Official Occasion Expense Forms and reimbursements, regardless of the account. They must be approved by someone else with signature authority on the account(s) (chair or director).

- Per HBP 9.1.1, oversight of entertainment expenditures is required at the senior administrative level, i.e. by vice presidents and deans. Only the Dean and Provost have the authority to make exceptions to this policy.

Meals

Payment for meals is reimbursed only for official visitors, including prospective faculty and invited lecturers, and other official occasions as defined above. The College of Natural Sciences has established the following average per-person reimbursement limits for meals. Departments may establish lower reimbursement limits. The meal limits include tax and tip (up to 20%) regardless of the account used for payment.

Meal limits per person (includes tax and tip, up to 20%):

Breakfast	\$20/person
Lunch	\$30/person
Dinner/Reception	\$75/person

These limits will be reviewed on an annual basis and adjusted accordingly.

Expenses for alcohol may not be the primary expenditure submitted for reimbursement, that is, greater than 50% of the total expense. In general, alcohol-only expenses will not be reimbursed except for development meetings with donors or prospective donors. The justification for alcohol-only reimbursement must be documented on the Official Occasion Expense Form.

Payment for meals and entertainment of each prospective faculty candidate should not exceed \$750 per day.

Attendees at faculty recruiting meals should be limited to the number who can reasonably interact with the faculty candidate. For example, meals generally should involve no more than four people (the candidate and three faculty members) or a total of six people if inclusion of spouses is justified (the candidate and spouse, two faculty members and spouses).

Reimbursement for spouses or guests at a business meeting or meal is almost always not appropriate. There are special circumstances that allow reimbursement, such as during recruiting visits, provided the faculty recruit brings his/her own spouse or guest. Reimbursements for children are not appropriate, except for justified development purposes.

Alcohol is not allowed on any undergraduate or graduate student recruiting visits.

Meals with colleagues and/or staff are almost always not reimbursable expenses. However, there may be special circumstances that justify reimbursement. For example, if a meeting must occur during the lunch hour because the conflicting schedules of the participants prevent the meeting at any other time, this expense is reimbursable.

Other Official Occasions Expenses

For an entertainment expense to be allowed, all those attending must serve a bona fide business purpose. This purpose must be documented on the Official Occasion Expense Form. Companion expenses are generally not reimbursed unless they are for receptions, development, distinguished visitors/lecturers, or recruitment purposes. In order to justify a bona fide business purpose, expenses for a university host's companion are usually reimbursed only if the guest also brings a companion.

Club memberships charged to the school's accounts require advance approval from UT's administrative officers. Advance approval by the Provost is required for club memberships for academic and administrative employees. Club initiation fees and monthly fees must be paid as a personal expense unless the membership is used strictly for business purposes. If the membership fee is to be paid using CNS funds, the membership should be paid on a VP2 document. Only the entertainment expense should be paid on a VPE (entertainment document). Monthly statements should be reviewed for inadvertent personal charges, which must be paid by the individual.

Flowers sent by a department or office to honor the deceased or for congratulatory occasions for other University related purposes may be charged to unrestricted gift accounts only. Expenditures from faculty endowed accounts, scholarship accounts, and other restricted accounts are NOT authorized for flowers. The maximum allowable expense is $100 including delivery.

Holiday cards issued in the name of the department or any office may be charged to unrestricted gift accounts only.

Alcohol is NOT allowed for undergraduate student events and is never allowed on fee accounts.

Refer to the appended UT Expenditure Policy Chart for items not cited above.

Account Numbers for Official Occasions Expenses

Payment for meals, refreshments, and related items may be charged only to unrestricted gift accounts, or accounts specifically budgeted for official occasions, with the following exceptions:

- Sponsored Research Funds (26-accounts) may be used with documented advance approval by the sponsor attached to the OOEF.

- Continuing education programs and conferences (19-accounts) may include meals and refreshments if included in the program budget, and allowed by the account.

- Faculty Endowment Accounts (30-accounts) may be appropriate to use occasionally for official occasions. However, the use of faculty endowment discretionary funds for this purpose should not be routine.

- Entertainment expenses paid on Student Fee Accounts must be only for Official UT-Student Occasions.

Reimbursement Procedures

As a general rule, the host must be employed by UT at the time costs are incurred. To request reimbursement, an entertainment voucher (VPE) must be prepared, with all claimed expenses supported by original itemized receipts with proof of payment. If receipts are not provided, reimbursement will not be approved. The approved Official Occasion Expense Form (OOEF) must be submitted with the payment voucher (VPE). If expenses are incurred during official travel, a copy of the pre-approved Request for Travel Authorization (RTA) must also be provided.

In order to substantiate the expenditures as a business event and prevent a personal tax liability for these events, the date, location, participants' names, titles, affiliation with UT, purpose of the meeting, and benefit to the university must be documented on the OOEF.

On the OOEF, if more than ten (10) participants are involved, a general description and approximate number of people in attendance must be stated. For example: "Alumni of the College of Natural Sciences were invited to an annual BBQ reception; approximately 350 are expected to attend."

Due to Internal Revenue Service (IRS) regulations and the Safe Harbor rules, employee reimbursement expenses older than 60 days require a written explanation as to the reasons for the lateness. These late reimbursement requests will also require additional levels of approval and may be disallowed entirely or reported as taxable income to the payee.

Department chairs, ORU directors, associate and assistant deans and those reporting directly to the Dean, must obtain reimbursement approval from the Dean.

Subordinates may not approve supervisors' reimbursement vouchers.

Direct Billing

A number of catering companies direct-bill the University for food and services. For example, the Texas Union and The Carillon (at the AT&T Center) routinely charge University accounts for events, which require similar documentation. Since the Texas Union will directly bill your accounts via the interdepartmental transfer process (IDT), a copy of the approved OOEF signed by the Assistant Dean for Business Services must be submitted to the Texas Union prior to the event. This process should be followed when using any UT department/facility that uses the IDT process.

An OOEF approved by authorized staff must accompany every reimbursement or payment request.

Conclusion

If the appropriateness of the expenditure(s) using University funds is ever in question, please contact the Assistant Dean for Business Services at 47-3285 for clarification *before* a purchase is made.

APPENDICES

- *Handbook of Business Procedures* 9.1.1 (http://www.utexas.edu/business/accounting/hbp/09_expend/expend1-1.html)
- Official Occasion Expense Form (http://www.utexas.edu/business/accounting/hbp/forms/occasion.pdf)
- University of Texas Tax Exempt form (http://www.utexas.edu/admin/purchasing/taxexemptinfo.html)
- UT Expenditure Policy Chart (http://www.utexas.edu/business/accounting/hbp/forms/officialguidelines.pdf)
- Guidelines for Requesting to Service Alcoholic Beverages on Campus (https://www.utexas.edu/provost/policies/alcohol_guidelines/)

COLLEGE OF NATURAL SCIENCESOFFICIAL OCCASIONS AND ENTERTAINMENT EXPENSES POLICY

This policy:

- Covers the requirements and procedures to be followed for funding, payment, or reimbursement of all official occasions expenses including flowers, business meals, receptions, catered meals, refreshments, gifts, awards, etc.
- Applies to all faculty, staff and students in units in CNS, regardless of the source of funds
- Covers events in any location or city, including local events.
- Other restrictions may apply to grant or gift/endowment funding depending on grantor/donor criteria
- In most cases, dictated by university (*Handbook of Business Procedures* 9.1.1) and/or State rules

An "official occasion" is:

- Defined as a reception, dinner, luncheon, or similar event that is funded by a University account
- Associated with special programs, university guests, meetings, or faculty, staff or student recruitment

Administrative/Business Meetings:

- Involve two or more people and must include a university employee
- Are agenda driven and have a purpose and benefit to UT

Entertainment Activities:

- Food, beverages and related expenses associated with conferences, workshops, seminars, and contract and grant programs.
- Food, beverages and related expenses for working business meetings, luncheons and dinners; faculty and staff retreats; staff meetings; faculty/staff recruitment and retirement functions; special lectures; and similar university business activities associated with conducting the school's business. Also includes receptions, lunches, and events hosted by an administrative officer of the school
- All current UT student entertainment activities on fee account must be coded 1309.

Pre-Approval of Official Occasions Expenses:

- Must be obtained from the Dean or Assistant Dean for Business Services
  - for proposed events with a projected cost of $3,000 or more
  - expenses must be appropriate and reasonable
  - additional pre-approval must be obtained from the Provost's Office via the Assistant Dean for Business Services to serve alcohol in any campus facility, including leased space

Meals limits:

- Breakfast - $20/person
- Lunch - $30/ person
- Dinner/Reception - $75/person
- Alcohol may not be the primary expenditure (less than 50%)
- Meals/entertainment for prospective faculty candidates not to exceed $750 per day
- Departments may establish lower reimbursement limits.
- Alcohol is not allowed on any undergraduate or graduate student recruiting visits or other student events

Other Official Occasion Expenses

- Club memberships require advance approval from UT's administrative officers via the Assistant Dean for Business Services
- Flowers for college-related purposes may be charged to unrestricted gift accounts only
- Holiday cards issued in the name of the department may be charged to unrestricted gift accounts only
- Alcohol is ***NOT*** allowed for undergraduate or graduate student events.

Reimbursement Procedures

- Prepare an Official Occasion Expense Form (OOEF). For events where the estimated total cost exceeds $3,000, submit the OOEF to CNS Office of Assistant Dean for Business Services for pre- approval.
- Prepare an entertainment voucher (VPE) and include the OOEF and original, itemized receipts
- If expenses are incurred during official travel, submit a copy of the approved Request for Travel Authorization (VE5)
- Request for reimbursement must be submitted within sixty (60) days of event/travel, NO exceptions

CNS Official Occasions and Entertainment Expenses Policy Justification

This policy covers the requirements and procedures to be followed for the funding, payment, or reimbursement of all official occasions expenses including flowers, business meals, receptions, catered meals, and refreshments. This policy applies to all units in the College of Natural Sciences, regardless of the source of funds. In addition, this policy covers events in any location or city. More restrictive policies may apply to grant funding.

This policy has been developed to assist faculty and staff as responsible stewards of College of Natural Sciences funds. In most cases, these policies and procedures are dictated by university (*Handbook of Business Procedures* 9.1.1) and/or State rules.

For the purpose of this document, an "official occasion" is defined as a reception, dinner, luncheon, or similar event that is funded by a University account. These functions are normally associated with special programs, university guests, or faculty, staff, and student recruitment. Examples include conferences/workshops/seminars, development events (donor receptions, fundraising activities, etc.), planned retreats, staff meetings, retirement receptions, unit or department morale-building events, and other similar activities.

Administrative/Business meetings generally involve two or more people, must include a university employee, are agenda driven, and directly concern university business. Business meeting expenses may be reimbursed if the meal or light refreshment is an integral part of the meeting, not a matter of personal convenience, and the meeting time encompasses a regular meal time and could not otherwise be scheduled during regular working hours. University funds should not be used for social lunches between two or more university employees.

Entertainment Activities

Entertainment activities as official occasions are separated into the following three categories:

1. Workshop, Seminar, Conference or Class (Object Code: 1347): Cost of food, beverages and related expenses associated with conferences, workshops, seminars, and contract and grant programs. Payments to speakers, travel costs for speakers, and participant support fees are not included.

2. Business meetings (Object Code: 1347): Cost of food, beverages and related expenses for working business meetings, luncheons and dinners; faculty and staff retreats; staff meetings; faculty/staff recruitment functions; and similar university business activities associated with conducting the school's business. Also included are receptions, lunches, and events hosted by an administrative officer of the school (Dean, Assistant and Associate Deans, Department Chairs, Program Directors, or Directors of Organized Research Units).

3. Official Student Occasions (Object Code: 1309): All current UT student entertainment activities must be coded 1309 if on fee funds.

Pre-Approval of Official Occasions Expenses

Pre-approval must be obtained from the Dean or Assistant Dean for Business Services using the Official Occasion Expense Form (OOEF) in the following situations:

- Academic Departments/Research Centers/Dean's Office: Any proposed event with a projected cost of $3,000 or above. The Department Chair/Director can approve in advance a proposed expenditure of less than $3,000 per event within his/her department. Process: Send OOEF to Gail Davis at least two weeks in advance of any expenditures related to the event.

- Activities where the attendees are primarily members of the same department or unit: Annual events, such as departmental holiday parties and staff appreciation lunches, are allowed and will be approved provided the proposed activities and expenditures are appropriate and reasonable.

- Alcohol in Campus Facilities: Advance approval by the Executive Vice President and Provost is required to serve alcohol in campus facilities, including leased spaces. Approval must be submitted with the Official Occasion Expense Form to the Assistant Dean for Business Services. Vouchers will be rejected if the Provost's prior approval has not been obtained. Refer to the Provost's Office website for guidelines and approval. (http://www.utexas.edu/provost/policies/alcohol_guidelines.html)

- Faculty and staff may not approve their own Official Occasion Expense Forms and reimbursements, regardless of the account. They must be approved by someone else with signature authority on the account(s) (chair or director).

- Per HBP 9.1.1, oversight of entertainment expenditures is required at the senior administrative level, i.e. by vice presidents and deans. Only the Dean and Provost have the authority to make exceptions to this policy.

Meals

Payment for meals is reimbursed only for official visitors, including prospective faculty and invited lecturers, and other official occasions as defined above. The College of Natural Sciences has established the following average per-person reimbursement limits for meals. Departments may establish lower reimbursement limits. The meal limits include tax and tip (up to 20%) regardless of the account used for payment.

Meal limits per person (includes tax and tip, up to 20%):

Breakfast	\$20/person
Lunch	\$30/person
Dinner/Reception	\$75/person

These limits will be reviewed on an annual basis and adjusted accordingly.

Expenses for alcohol may not be the primary expenditure submitted for reimbursement, that is, greater than 50% of the total expense. In general, alcohol-only expenses will not be reimbursed except for development meetings with donors or prospective donors. The justification for alcohol-only reimbursement must be documented on the Official Occasion Expense Form.

Payment for meals and entertainment of each prospective faculty candidate should not exceed \$750 per day.

Attendees at faculty recruiting meals should be limited to the number who can reasonably interact with the faculty candidate. For example, meals generally should involve no more than four people (the candidate and three faculty members) or a total of six people if inclusion of spouses is justified (the candidate and spouse, two faculty members and spouses).

Reimbursement for spouses or guests at a business meeting or meal is almost always not appropriate. There are special circumstances that allow reimbursement, such as during recruiting visits, provided the faculty recruit brings his/her own spouse or guest. Reimbursements for children are not appropriate, except for justified development purposes.

Alcohol is not allowed on any undergraduate or graduate student recruiting visits.

Meals with colleagues and/or staff are almost always not reimbursable expenses. However, there may be special circumstances that justify reimbursement. For example, if a meeting must occur during the lunch hour because the conflicting schedules of the participants prevent the meeting at any other time, this expense is reimbursable.

Other Official Occasions Expenses

For an entertainment expense to be allowed, all those attending must serve a bona fide business purpose. This purpose must be documented on the Official Occasion Expense Form. Companion expenses are generally not reimbursed unless they are for receptions, development, distinguished visitors/lecturers, or recruitment purposes. In order to justify a bona fide business purpose, expenses for a university host's companion are usually reimbursed only if the guest also brings a companion.

Club memberships charged to the school's accounts require advance approval from UT's administrative officers. Advance approval by the Provost is required for club memberships for academic and administrative employees. Club initiation fees and monthly fees must be paid as a personal expense unless the membership is used strictly for business purposes. If the membership fee is to be paid using CNS funds, the membership should be paid on a VP2 document. Only the entertainment expense should be paid on a VPE (entertainment document). Monthly statements should be reviewed for inadvertent personal charges, which must be paid by the individual.

Flowers sent by a department or office to honor the deceased or for congratulatory occasions for other University related purposes may be charged to unrestricted gift accounts only. Expenditures from faculty endowed accounts, scholarship accounts, and other restricted accounts are NOT authorized for flowers. The maximum allowable expense is $100 including delivery.

Holiday cards issued in the name of the department or any office may be charged to unrestricted gift accounts only.

Alcohol is NOT allowed for undergraduate student events and is never allowed on fee accounts.

Refer to the appended UT Expenditure Policy Chart for items not cited above.

Account Numbers for Official Occasions Expenses

Payment for meals, refreshments, and related items may be charged only to unrestricted gift accounts, or accounts specifically budgeted for official occasions, with the following exceptions:

- Sponsored Research Funds (26-accounts) may be used with documented advance approval by the sponsor attached to the OOEF.

- Continuing education programs and conferences (19-accounts) may include meals and refreshments if included in the program budget, and allowed by the account.

- Faculty Endowment Accounts (30-accounts) may be appropriate to use occasionally for official occasions. However, the use of faculty endowment discretionary funds for this purpose should not be routine.

- Entertainment expenses paid on Student Fee Accounts must be only for Official UT-Student Occasions.

Reimbursement Procedures

As a general rule, the host must be employed by UT at the time costs are incurred. To request reimbursement, an entertainment voucher (VPE) must be prepared, with all claimed expenses supported by original itemized receipts with proof of payment. If receipts are not provided, reimbursement will not be approved. The approved Official Occasion Expense Form (OOEF) must be submitted with the payment voucher (VPE). If expenses are incurred during official travel, a copy of the pre-approved Request for Travel Authorization (RTA) must also be provided.

In order to substantiate the expenditures as a business event and prevent a personal tax liability for these events, the date, location, participants' names, titles, affiliation with UT, purpose of the meeting, and benefit to the university must be documented on the OOEF.

On the OOEF, if more than ten (10) participants are involved, a general description and approximate number of people in attendance must be stated. For example: "Alumni of the College of Natural Sciences were invited to an annual BBQ reception; approximately 350 are expected to attend."

Due to Internal Revenue Service (IRS) regulations and the Safe Harbor rules, employee reimbursement expenses older than 60 days require a written explanation as to the reasons for the lateness. These late reimbursement requests will also require additional levels of approval and may be disallowed entirely or reported as taxable income to the payee.

Department chairs, ORU directors, associate and assistant deans and those reporting directly to the Dean, must obtain reimbursement approval from the Dean.

Subordinates may not approve supervisors' reimbursement vouchers.

Direct Billing

A number of catering companies direct-bill the University for food and services. For example, the Texas Union and The Carillon (at the AT&T Center) routinely charge University accounts for events, which require similar documentation. Since the Texas Union will directly bill your accounts via the interdepartmental transfer process (IDT), a copy of the approved OOEF signed by the Assistant Dean for Business Services must be submitted to the Texas Union prior to the event. This process should be followed when using any UT department/facility that uses the IDT process.

An OOEF approved by authorized staff must accompany every reimbursement or payment request.

Conclusion

If the appropriateness of the expenditure(s) using University funds is ever in question, please contact the Assistant Dean for Business Services at 47-3285 for clarification *before* a purchase is made.

APPENDICES

- *Handbook of Business Procedures* 9.1.1
  (http://www.utexas.edu/business/accounting/hbp/09_expend/expend1-1.html)

- Official Occasion Expense Form
  (http://www.utexas.edu/business/accounting/hbp/forms/occasion.pdf)

- University of Texas Tax Exempt form
  (http://www.utexas.edu/admin/purchasing/taxexemptinfo.html)

- UT Expenditure Policy Chart
  (http://www.utexas.edu/business/accounting/hbp/forms/officialguidelines.pdf)

- Guidelines for Requesting to Service Alcoholic Beverages on Campus
  (https://www.utexas.edu/provost/policies/alcohol_guidelines/)

Print Reset

University of Texas at Austin
Revision date: 05/2013

Document ID # ____________________

Official Occasion Expense Form

To prevent a personal tax liability, each occasion must be documented by itemized receipts for expenses. The information requested on this form must accompany the payment voucher for processing within 30 days of the occasion.

Circle the Object Code to be Used	Object Code
Official Occasion or Administrative/Business Meeting	1347
Official Student Occasions	1309
Flowers or Other Perishable Items for Individuals	1329

Account to be charged: 3020287956

Form prepared by: Michelle Ramsey

Location/Place: Texas French Bread **Date of Event:** Aug 21, 2014

Name of Participant(s):**	**Title(s)**	**Affiliation(s)**
new cns faculty members		
19 total attendees		

(Required if 10 or less)**

If over 10, group attending and approximate or actual number of people attending:

Group will include new faculty members from CNS departments

Purpose of the event:

This is a working lunch/orientation for new faculty joining the University. Will establish communication lines for new faculty to know where they can get assistance when needed.

Benefit to The University of Texas:

Enhanced relations between Dean's Office and new faculty

Estimated Cost: $300 **Actual Cost:** $266.75

Requested by:______________________ **Date:**____________

Authorized Signature/Designated Signer

Shelley Payne, Associate Dean for Faculty Affairs

Department

APPROVED:______________________ **Date:**____________

Dean or Vice President or Official Delegate

The University of Texas at Austin
Revision date: 05-2013

OFFICIAL OCCASION EXPENSE FORM INSTRUCTIONS

The Official Occasion Expense Form is a tool to ensure that all data necessary to process a reimbursement or payment request for an entertainment expense is submitted.

Date of Event: Date of event, not the date the form is being completed.

Location/Place: Name of business establishment, restaurant, etc. where event occurred. If event did not take place in Austin, please identify city and state.

Examples:

Faculty Center	Eastwoods Park
ECJ 10th Floor, Dean's Conference Room	County Line Restaurant
County Line Restaurant, San Antonio, TX	

Participants: List participants by name, title, and affiliation, if ten or less.

Examples:
If 10 or fewer

Name of Participant(s)	Title	Affiliation
Dr. John Doe	Professor	UT Austin, ME Dept.
Dr. Jane Doe	Professor	Texas A&M Univ., ME Dept.
Dr. Jill Gee	Professor	Texas Tech Univ., ME Dept.
John Hee	Manager	Motorola

Group Attending: If more than ten people participated, supply a general description and approximate or actual number of people that attended.

Example:
General description if over 10

Civil Engineering graduate students and faculty in the Water Resources area. Twenty-five people attended.

Purpose: Supply a brief explanation of the purpose of the events.

Examples:

Refreshments were provided at meeting to discuss joint research projects between UT Austin, Texas A & M, Texas Tech, and Motorola.

Buffet was provided at reception for graduate students to meet new faculty members in the department.

Lunch was provided to people attending all day meeting of the department's visiting committee.

Benefit to UT: Supply a brief explanation of how the event is expected to benefit the university or the benefits actually derived from the event.

Examples:

To further the relationship between higher education and industry in the area of microchip research. Motorola has entered into an agreement to provide funding for 3 years to the research consortium between the universities.

The visiting committee provides the department with guidance in the direction the department should be going with respect to educational issues.

Estimated/Actual Costs The individual signing the "prior to" OOEF's needs to know the estimated expenses for the event so that they can make an educated decision whether or not to approve the OOEF request.

Signatures: As required for applicable approvals.

Problem Solving and Conflict Resolution

a. Immediate help
b. Employee assistance program and Dispute Resolution Services
c. Campus Ombuds
   - Faculty and postdoc complaints
   - Staff complaints
   - Student complaints

No matter how much you plan and prepare, problems are going to arise. Some of these - fire in Welch Hall, injury to a student in an undergraduate lab - are emergencies that must be dealt with immediately. Others, such as the faculty member who refuses to complete required University training and paperwork, or complaints about a rude staff member, are more chronic in nature. It is important to remember that ignoring a problem does not mean it will disappear. Usually, an unacknowledged problem will simply get worse. Dealing with department problems as they arise will be easier on everyone in the long run.

No one likes dealing with conflicts and personnel problems, but it is an important part of the chair's responsibilities. It is important to listen, maintain open lines of communication, learn to negotiate and seek help when you are unsure of how to resolve the problem.

Fortunately, there are resources available to help with problem solving.

Dean Hicke recommends The College Administrator's Survival Guide by C.K. Gunsalus. It is a concise, well-written guide that offers practical advice on dealing with the issues department chairs face.

There are also a number of people on campus who can tell you what you should, and should not, do in handling complaints, personnel issues and other potential problems.

Most problems can be dealt with at the departmental level, and this is the appropriate place to start. If you are open to listening to faculty, staff and students when they come to you with concerns, you may be able to use the information not only to solve a specific problem but to determine whether there are patterns of behavior or inadequate policies and procedures that need to be changed. Other issues need to be referred immediately to the appropriate University Office. These would include concerns about immediate threats to safety, sexual harassment, unethical conduct of research, and legal issues.

Threats to safety

- Contact University of Texas Police Department (UTPD) by calling **911**

Behavior concerns

- If you are worried about a student in a class, notice a troubling change in behavior of a faculty member or are concerned about the behavior of a staff member and are not sure what to do, contact the Behavior Concerns Advice line at **512-232-5050** or submit your concerns using the online form. Trained staff are available to assist and offer advice.
- Cases that present an immediate threat to self, others, or property should be considered an emergency and should be directed to The University of Texas Police Department (UTPD) by calling 911.

Legal issues
512-471-1241
The Office of Legal Affairs should be contacted if legal advice is needed.

Requests for information under the Texas Public Information Act
512-471-1422
http://www.utexas.edu/business/vp/open_records.html

Refer open records requests to the Office of the Vice President and Chief Financial Officer. Do not release information about students, even to a parent.

Employee Assistance Program:
512-471-3366
http://www.utexas.edu/hr/eap/

- Provide consultation services for managers and supervisors. They will also provide coaching for first-time managers in your department
- Fitness for duty: medical and mental health evaluations to assess impaired faculty or staff who create a safety hazard in the workplace
- Threat assessment team
- Layoffs and separations
  - Preparing for layoff, termination and nonrenewal
  - How to cope with emotionally charged meetings
  - Personal communication challenges
  - Coaching for managing employee responses
  - Planning the termination meeting with HRS team
  - Coaching for managing reactions and departmental morale after layoffs

Conflict Management and Dispute Resolution Services
http://www.utexas.edu/hr/current/services/dispute/

The Conflict Management and Dispute Resolution Office promotes the resolution of workplace disputes at the lowest level possible using conflict resolution and collaborative processes. The office further supports university departments in providing a neutral setting for conflict. This setting is helpful because emotions can run high and make it difficult for parties to feel heard and understood.

The dispute resolution officer (DRO) serves as an impartial third party to help staff express their workplace concerns, resolve and manage conflict, and learn more productive ways of communicating. The DRO seeks to promote a fair and interest-based conflict management system through the alternative dispute resolution process under the Grievance Policy, mediation, conflict coaching, and training.

- Dispute Resolution Process and Grievance Procedure - The university provides a fair and efficient process for staff to present and resolve complaints and grievances arising out of the employment relationship.
- Conflict Management Services - The office provides facilitation, mediation, consultation, and training services that help the campus community reduce and better manage difficult workplace situations, problems, and conflicts.
- Problem Solving Information and Tips – In a dispute, it's often easier to describe how others respond than to how we respond. This site has information on examining conflict styles and the consequences of those behaviors.

Campus Ombuds

If the problem cannot be solved at the local level, there are University Offices that can help. There are Ombuds for faculty and postdocs, for staff and for students. Campus Ombuds provide confidential, impartial and objective assessments of concerns brought by faculty, staff or students. The Ombuds are advocates for fair process and equity but do not take sides on behalf of the individual or the department. The Ombuds Office reports directly to the Provost (faculty), President (students) and Vice President for Research (postdocs). It is often useful to suggest their services to members of your department who have difficulty in resolving problems.

Faculty (and postdoctoral fellows) Ombuds
www.utexas.edu/faculty/council/ombuds/
512-471-5866

The Faculty Ombuds can

- Listen and identify issues and options
- Answer questions or refer faculty to someone who can
- Help identify desired outcomes and options for resolving problems
- Help determine next steps
- Refer faculty to appropriate office if formal action is needed
- Assist in informally resolving disputes or conflicts by facilitating communication, coaching on conflict resolution, or mediating between willing parties
- Recommend changes to policies and procedures that appear outdated or problematic, but cannot change University rules or policies
- The Ombuds **cannot** provide legal advice, psychological counseling and is not part of the formal grievance process.

Staff Ombuds
http://www.utexas.edu/staff/ombuds
512-232-8010

The Staff Ombuds provides similar services for staff members. Examples of issues for which staff may seek confidential help are:

- Interpersonal difficulties
- Harassment or discrimination
- Untangling complicated situations
- Questions about policy
- Workplace disputes
- Conflicts of interest
- Disciplinary actions
- Appropriate ways to frame and discuss issues
- Incivility
- Unprofessional conduct
- Threats or retaliation

Student Ombuds
http://www.utexas.edu/students/ombuds
512) 471-3825

The Student Ombuds can help students who have concerns about

- Grade disputes
- Scholastic dishonesty
- Problems with dissertation committees and faculty advising
- Academic dismissal
- Conflicts with faculty
- Student employment concerns

Dean's Third Wednesdays

Dean Hicke invites the Chairs and Associate Chairs to meet for wine and light snacks at 5 PM on the third Wednesday of each month. These gatherings are an excellent way to get to know the other chairs and engage in informal discussion. Another chair may have developed a creative solution to the same problem that you are having difficulty solving. While the conversations are not centered on our administrative jobs, this does provide an opportunity to get another perspective on issues you may face. Food and drink are provided but contributing an occasional bottle of a favorite wine is appreciated.

Lunch

Sometimes the easiest way to solve a problem is to invite the faculty or staff member to lunch. They are more likely to feel that you are serious about listening and solving the problem than asking them to your office for a scheduled meeting.