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April 29, 2014

BRUNO NACHTERGAELE
Chair, Academic Senate

Dear Bruno:

Thank you for your feedback on the proposed UCD 240 policy that you provided last May. You asked to re-review this policy after modifications were made, and I have attached a revised version for your review. We hope you find the revisions and our comments below helpful.

In Section II. A. 2. a:

We revised this section to address the Senate's comments. The revised section reads as follows:

Provision of academic leadership to the faculty, through the department chairs and college or school committees or the Graduate Council, in planning and developing academic programs and in implementation of plans and program improvements in the areas of instruction, research, and public service.

Carrying out a decision process that is transparent, and that facilitates faculty engagement in:

- the college/school budgetary process
- undergraduate curricular planning and assessment
- academic program planning
- donor cultivation
- supporting and managing the research enterprise
- student matters, such as academic advising, faculty-student relations and, to the extent that it is delegated, admissions to professional schools and graduate programs.

In Section III.B.2.:

We are reluctant to add much more guidance to the actual policy so that we can maintain some flexibility. However, Deans receive a letter outlining very clearly and specifically what they should include regarding their self-appraisal including statements that describe their responsibilities, duties and contributions as dean as well as goals and priorities for the future. They are also asked to provide a one to five page executive summary that outlines their major accomplishments to be provided to internal and external individuals invited to provide comments on their tenure as Dean. Deans are also asked to provide their accomplishments and

contributions toward enhancing the quality of research, teaching, and public service of their faculty, effectiveness in managing the operations of their school, college or division (e.g., personnel issues, budget, operations, and student grievances), their efforts to seek feedback, efforts toward achieving diversity goals, and their contributions as a member of the senior leadership team on the campus.

In Section III.B.3.:

We are unclear if the Senate feels that the scope is too broad or not broad enough. We have a good system in place and provide individual guidance as needed. During the review process, the committee can solicit additional feedback and feedback is shared with the Dean. Feedback is solicited from a wide range of staff and faculty including CODVC, Department Chairs, Associate/Assistant Deans, and many staff. The Deans themselves also provide names of people from whom they would like feedback, both internal and external. The review committee is comprised of names of people provided by the Senate and we want to leave the process broad enough to give them flexibility to do what is needed to gain thorough feedback for this process. We hope the following edits to III.B.3 allay any concerns.

The advisory committee, with members suggested by the Academic Senate and appointed by the Vice Provost – Academic Affairs, will be provided with a statement outlining the major functions of a dean of a school or college, which relates to the specific responsibilities of the dean under review. The committee solicits comments from a broad spectrum of people, depending on the person being reviewed including, but not limited to:

- All academic appointees with appointments within the unit
- All staff members within the dean's office
- All members of the Council of Deans and Vice Chancellors
- Deans of comparable units at other UC campuses
- External referees recommended by the dean

In Section III.C.1.:

This policy covers acting and interim appointments but we have revised the language to clarify this section further.

C. Acting or Interim Deans

1. Appointment

The Chancellor, shall appoint an acting dean when a dean will be absent from the college or school for a significant period of time (i.e., a quarter or more).

The Chancellor, after consultation with an appropriate committee of the faculty of the college/school, shall appoint an interim dean ~~will be appointed~~ when a dean steps down from his or her position and recruitment for a new dean has not yet been completed.

NOTE: The dean of a college or school shall assign responsibility for administrative affairs of the college or school by formal delegations of authority or other appropriate means when the dean will be absent for a limited duration (i.e., less than a quarter).

BRUNO NACHTERGAELE

April 29, 2014

Page 3

To answer your remaining questions, Associate Deans are covered in APM 241 so we are not addressing Associate Deans in this policy. We do not have any academic Assistant Deans at UC Davis. Assistant Deans at UC Davis are staff appointees.

APM-UCD 240 applies to the Dean of Graduate Studies as well as all other academic deans who do not also hold a Vice Chancellor position (as noted in APM 240-14). Those who hold both a Dean and Vice Chancellor position concurrently and/or a Dean who reports directly to the Chancellor, are governed under Senior Management Group policies (SMG). APM 240-14d. also excludes University Extension and Student Affairs Deans. However, all Deans are reviewed following the guidelines under UCD 240 III B. Following the completion of the 5 year review, the final reappointment process falls back to either APM 240 or SMG policies, depending on the policies which govern the appointment as a whole.

You also asked for a description of the duties and responsibilities of Lead Deans for Graduate Groups. We consulted with Graduate Studies for this information and they shared the following:

- Graduate Group Chairs may report to a Lead Dean for those graduate groups that cross disciplines.
- Lead Deans may take on additional duties outside their school or college and the role of "Lead Dean" does not fall under APM-UCD 240.

Graduate Studies agrees that a definition of a Lead Dean is needed, and that they will work on providing that. Dean Gibeling will also be discussing this with Provost Hexter.

Thank you again for your feedback and please do let me know if you have further comment.

Best regards,



Maureen Stanton
Vice Provost – Academic Affairs
Professor – Evolution & Ecology

UCD – 240 Appointment and Review of Deans

The term “Chancellor” refers to the Chancellor and/or the Chancellor’s designee (see the Delegation of Authority). Responsibilities that cannot be redelegated by the Chancellor are stated explicitly within the policy.

I. Purpose

This section outlines the UC Davis criteria and procedures for the appointment and review of deans, acting deans, and describes the duties and responsibilities of appointees to these positions.

II. Policies and Procedures

A. Deans

1. Criteria for Appointment of Deans

- a. Appointment in an Academic Senate faculty title or an equivalent title (see APM-115, “Equivalent” titles and Ranks).
- b. Outstanding scholarly and professional achievement.
- c. Proven leadership ability to develop and nurture outstanding academic programs, including interdisciplinary initiatives.
- d. Ability to manage the resources of the college or school, including faculty and staff, physical facilities, and budget, in accord with University policies and procedures.
- e. Ability to foster private and grant funded support to the college or school.
- f. Commitment to build an academic community that is diverse and inclusive as well as productive.

2. Duties and Responsibilities

A dean is the administrative head of a college or school or similar academic unit and reports directly to the Executive Vice Chancellor and Provost. The duties of a dean include but are not necessarily limited to the following:

a. Provision of academic leadership to the faculty, through the department chairs and college or school committees or the Graduate Council, in planning and developing academic programs and in implementation of plans and program improvements in the areas of instruction, research, and public service.

Carrying out a decision process that is transparent, and that facilitates faculty engagement in:

- the college/school budgetary process

- undergraduate curricular planning and assessment
- academic program planning
- donor cultivation
- supporting and managing the research enterprise
- student matters, such as academic advising, faculty-student relations and, to the extent that it is delegated, admissions to professional schools and graduate programs.

~~a-b.~~ Representation of the college or school to the administration, particularly in gaining approval and financial support for implementation of programs; and articulation of the goals and programs of the college or school to the University community and to the general public.

~~b-c.~~ Management of the resources of the college or school, including facultyacademic appointees and staff, physical facilities, and budget, in accord with University policies and procedures.

~~c-d.~~ Participation and leadership in campus wide policy and program decisions through membership on the Council of Deans and Vice Chancellors.

~~d-e.~~ As dean in charge of a college or school consisting of but a single department, the dean shall also have the duties and responsibilities of a department chair. Some or all of these duties may be re-delegated to an Associate Dean. (See APM 245, Appendix A for Duties of Department Chairs or Equivalent Officers).

III. Procedures for Appointments of Deans

A. Appointment

The appointment of a dean shall be made by the Chancellor. The Chancellor shall appoint an ad hoc advisory committee in consultation with the Academic Senate to assist in the recruitment and evaluation of candidates for the position.

1. The Committee on Committees, upon request of the Chancellor, and after consultation with the Executive Committee of the school or college concerned (including representative members of the AES equivalent titles, when applicable), shall submit a slate of names from which the Chancellor shall appoint an advisory committee.
2. The advisory committee shall review the recruitment plan to ensure a diverse pool of applicants; advise on criteria against which applicants will be reviewed; review candidate nomination materials; participate in the interview process; and provide the Chancellor with an evaluation of each candidate interviewed.
3. The Chancellor, in making the final decision on the candidate to be selected, will consult with the appropriate departmental faculty regarding academic qualifications for appointment to the faculty. When the dean is also Associate Director of the Agricultural Experiment Station (AES), the Chancellor will also consult with representatives of the college or school AES academic appointees.
4. After appropriate consultation, review for academic appointment to the faculty shall follow the policy and procedures under APM 220 and UCD 220, including consultation with the Committee on Academic Personnel regarding the appointment.
5. Acting upon the advice of the advisory committee and appropriate consultation, the

Chancellor shall make the appointment.

B. Continuation of Appointment/Reappointment

The continuation of an appointment of a dean shall be determined and made by the Chancellor. At the beginning of the fifth year of service by a dean, the Chancellor, in consultation with the Academic Senate, shall appoint an ad hoc advisory committee to review the accomplishments of the dean.

1. The chancellor shall ask the Committee on Committees to consult with the appropriate committee of the school or college concerned, and to then submit a slate of names from which the Chancellor shall appoint a confidential advisory committee to review and report on the accomplishments of the dean during the period of service.
2. The dean will be informed that the review will take place and that the advisory committee is being appointed. The dean will be asked to provide a summary outlining the dean's view of his/her accomplishments, goals, and priorities for the development of the school/college.

e3. The advisory committee, with members suggested by the Academic Senate and appointed by the Vice Provost – Academic Affairs will be provided with a statement outlining the major functions of a dean of a school or college, which relates to the specific responsibilities of the dean under review. The committee solicits comments from a broad spectrum of people, depending on the person being reviewed including, but not limited to:

- All academic appointees with appointments within the unit
- All staff members within the dean's office
- All members of the Council of Deans and Vice Chancellors
- Deans of comparable units at other UC campuses
- External referees recommended by the dean

The committee may determine that additional materials are required from the dean for the review and may ask the Chancellor to solicit additional appraisals from individuals who have had the opportunity to work with the dean or to observe the effectiveness of his/her work. All feedback received by the committee is treated as highly confidential.

d4. The advisory committee will review all the materials and provide the Chancellor with a report of the evaluation of the dean under review.

e5. Acting upon the advice of the advisory committee and after appropriate consultation, the Chancellor shall determine if the appointment will continue.

C. Acting or Interim Deans

1. Appointment

The Chancellor, ~~after consultation with an appropriate committee of the faculty of the college/school,~~ shall appoint an acting dean when a dean will be absent from the college or school for a significant period of time (i.e., a quarter or more).

The Chancellor, after consultation with an appropriate committee of the faculty of the college/school, shall appoint an interim dean ~~will be appointed when a dean steps~~

down from his or her position and recruitment for a new dean has not been completed.

NOTE: The dean of a college or school shall assign responsibility for administrative affairs of the college or school by formal delegations of authority or other appropriate means when the dean will be absent for a limited duration (i.e., less than a quarter).

2. Duties and Responsibilities

An acting dean assumes the duties and responsibilities described in UCD 240-B., above.

May 1, 2013

SANDI GLITHEROCases Coordinator
Office of Academic Affairs**RE: APM 240: Dean (Appointment and Review) Procedures**

The proposal was forwarded to all Davis Division of the Academic Senate standing committees and Faculty Executive Committees within the schools and colleges for comment. Detailed responses were received from the Affirmative Action & Diversity Committee, Committee on Academic Personnel - Oversight, Elections, Rules & Jurisdiction, Graduate Council, and from the Faculty Executive Committee for the College of Letters and Science.

The Davis Division of the Academic Senate has following concerns:

- Section II. A. 2. a. "Provision of academic leadership to the faculty... *and, admissions for professional schools and the Graduate Division*" (emphasis added). We recommend revising this to read "admissions for professional schools and the Graduate Division to the extent that it is delegated by the Academic Senate." It is not clear whether the dean's duty is "admission" or "provision of academic leadership to the faculty... [concerning] admissions."
- Section III. B.2 should contain more guidance to help deans prepare appropriate materials for the dossier. For example, a suggested page length or other indication of the expectations.
- Section III.B.3: We are very concerned about the wide latitude for the scope of review process expressed in the following: "The committee may... the effectiveness of his/her work." We would prefer a review process that outlines the procedures for soliciting information for appraisal. For example, it might be appropriate to state clearly that faculty, staff and administrators have the opportunity to submit an appraisal as part of the review process.
- Section III.C.1 outlines a consultation process for appointing acting deans. We recommend adding a parallel process of consultation for interim deans, especially since interim deans often hold their position for longer than acting deans.

We also have the following questions:

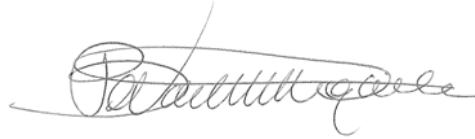
- Do these procedures pertain to the Dean of Graduate Studies? The reference to Graduate Council in Section II.A.2.a seems to indicate that they do.
- Do these procedures pertain to the Dean of UC Davis Extension?
- Why were the sections on Assistant and Associate Deans (III.C.2) and Divisional Deans (III.D) deleted? Are there plans to craft separate policies? For example, the elimination of the Associate Dean position from APM 240 implies that the Chancellor will have no control over the appointment or tenure of an Executive

Associate Dean appointed to take responsibility for the medical school by the Vice Chancellor of Health Sciences and Dean of the Medical School.

Finally, a description of the duties and responsibilities of Lead Deans for Graduate Groups should be provided. Appending or referencing an organizational chart would be beneficial.

Given the information detailed above, we would like to review additional modifications and additions to the procedure before final implementation.

Sincerely,

A handwritten signature in cursive script, appearing to read "Bruno Nachtergaele". The signature is written in dark ink and is positioned centrally below the word "Sincerely,".

Bruno Nachtergaele, Chair
Davis Division of the Academic Senate
Professor: Mathematics