

## **SVPAA Guidance Document #4**

### **APPOINTMENTS OF FACULTY TO ADMINISTRATIVE POSITIONS**

#### **Overview**

Consistent with University Policy and best practices, the University of Utah has an open and transparent process for selecting, compensating, and reviewing individuals who, while holding faculty appointments are also appointed to serve as directors, chairs, and deans. To that end, this document provides general guidelines for the processes and considerations for administrative appointments.

#### **A. Selection**

Appointments for administrative positions will follow a typical search and hiring process, including posting and tracking the position in PeopleAdmin, unless a waiver from the Senior Vice President is sought and approved. The usual search process includes the person to whom the person would report (“appointing officer”) assembling a search committee to recruit, screen, interview, and recommend final candidates. Once a candidate is selected, the appointing officer should seek the relevant approvals as required by University Policy.

The packet sent to the Senior Vice President should contain the following:

(a) A letter from the unit head including:

- (1) Name of the candidate
- (2) Proposed title
- (3) Proposed effective date and period of appointment
- (4) Proposed compensation and other terms of employment
- (5) A description of the process used for search and selection, including faculty and any staff or student consultation regarding the candidate

(b) If the appointing officer is not the dean, the dean’s approval

(c) A *curriculum vita*

#### **B. Length of Appointment**

All administrative appointments are at the pleasure of the relevant head of the unit. In addition, these appointments also have fixed durational terms, which are typically three years for associate chairs, chairs, directors, and associate deans, and five years for deans and library directors. As required by University Policy, if the appointment can be renewed, the individual must undergo an appropriate review for renewal. The review will include a process to collect information anonymously on the individual’s record in the administrative position from all relevant parties and a process for announcing the outcome of that review as further described below.

### **C. Faculty Status and Obligations During Period of Administrative Service**

(a) An individual who has an appointment to a tenure-line or career-line faculty position in a unit of the University at the time of appointment to an administrative position typically will continue to hold that faculty appointment in that home unit during the period of administrative service. The individual's obligations to the home unit, as a faculty member, must be clearly articulated in an agreement for the individual to serve in an administrative role while maintaining the faculty appointment.

During a period of administrative service a faculty member maintains at least the rank (e.g., Associate Professor or Professor) attained at the time of beginning administrative service, and is eligible for promotion to a higher rank under the same criteria and standards applicable for other faculty of the home unit.

University Policy provides for some modification of the otherwise applicable schedules of mandatory periodic reviews of faculty members, in cases of individuals who have substantial administrative responsibilities incompatible with the otherwise applicable requirements for faculty members.

(b) For tenure-line faculty: During administrative service *tenured* faculty continue to hold tenure, and *tenure-track* faculty (i.e., pre-tenure probationary status) continue to be eligible for achieving tenure, in the home unit, subject to otherwise applicable conditions on tenure or pre-tenure status. For tenured faculty who spend at least half of their time serving in an administrative role, a Tenured Faculty Review (ordinarily required every five years) will not be done until at least one year after service in the administrative position has ended and may be further delayed an appropriate period of time if one has a lengthy period of administrative service. For tenure-track faculty, Policy provides for extending of the otherwise applicable probationary period length and schedule of formal RPT reviews, based on administrative assignments.

(c) For career-line faculty (Clinical, Lecturer, Research faculty): By Policy such faculty appointments are limited to fixed durational terms of one-to-five years with possibility of reappointment. In light of the variety of roles units may have for career-line faculty, and the possibility of an individual's existing faculty appointment term or employment contract period ending before an administrative service period ends, it is especially important that the individual's faculty responsibilities to the home unit during a term of administrative service be clearly articulated in an agreement at the time of the administrative appointment, and then updated at the time of any subsequent faculty reappointment or employment contract renewal. For individuals who spend at least half of their time serving in an administrative role, upon timely request, it is within the discretion of the Senior Vice President to approve temporarily suspending or otherwise modifying the usual Policy requirement that each career-line faculty member undergo a thorough review at least every five years.

(d) For certain "named positions" such as endowed chairs, Policy requires special procedures for initial appointments and requires periodic reviews of the holders of such positions. Ordinarily

those special requirements will be coordinated as closely as practicable with the procedures outlined in this document for administrative position appointments and reviews.

#### **D. Compensation and Other Terms of Appointments**

In negotiations for administrative appointments, there are generally six areas that might be considered: (1) base salary increases, (2) additional months of salary, (3) administrative increment, (4) course releases, (5) research support, and (6) administrative leave at the conclusion of one's service. The appointing officer is free to arrive at the best combination in these areas to fit the needs of the appointee and the unit. Below are general guidelines and principles for each area. It is understood, however, that each situation is unique and should be treated as such.

- (1) **Base salary increases: Increases to base salary as a part of any administrative appointment are discouraged** because it can lead to disparities when the appointee returns to faculty responsibilities within a department/college. Increases of more than 5% to base salary must be identified and approved by the Senior Vice President.
- (2) **Additional months of salary:** It is common to provide one additional month of salary to those serving as director, chair, or associate dean. Deans and higher level administrators are typically provided two months of salary. This additional month or months reflect the obligations and time commitments of directors, chairs and deans during the summer time period.
- (3) **Administrative increments:** In lieu of a base salary increase or an additional month of salary, the appointee might be offered an administrative increment for their service. It is recommended that these ordinarily not exceed \$10,000 or 10% of base salary (whichever is more). In some cases, typically reserved for high-level administrative positions, it may be appropriate to provide an administrative increment in addition to additional month(s) of salary (e.g., chairs of large, complex units; associate deans with significant responsibilities; or deans).
- (4) **Course releases:** Directors, chairs, and associate deans typically have reduced formal teaching duties due to the leadership responsibilities they assume. The extent of teaching release will vary based on the complexity and time obligations of the leadership roles. In many cases, chairs, directors and associate deans have a one course release. Deans and higher level administrators are typically relieved of all course responsibilities, although many elect to teach and/or continue student mentoring responsibilities.
- (5) **Research/teaching support:** In lieu of some portion of additional compensation, it may be appropriate to provide modest support to enable the continued scholarly productivity for the appointee. The nature and amount of this support will vary based on the field and current scholarly activities of the appointee and the time obligations and complexity of the administrative role.
- (6) **Administrative leave at the conclusion of one's service:** At the discretion of the appointing unit, with at least three years of service, administrators may be provided with an administrative leave at up to 100% of their base salary immediately at the conclusion of their service for research reinvigoration and renewal, skills development, or other activities supporting the mission of the unit or institution. An administrator who has served for three years may be given up to one semester in leave, and for six years or

more, up to one year in leave. Under University Policy, an administrator who takes administrative leave is not eligible for a sabbatical until the individual has accumulated six years of service after the administrative leave.

## **E. Review and Renewal**

Administrators may be considered for renewal at the conclusion of their term. One must indicate in writing no later than six months before one's term expires a willingness to be renewed before renewal review procedures will begin. Most administrators serve no more than two consecutive terms in the same administrative position.

If an incumbent administrator indicates that he or she would like to be considered for renewal, review procedures will comport with the general principles of University Policy, implemented through specific methods determined by the appointing officer in cooperation with the unit faculty and staff. At a minimum, the following must be included in any review:

For department and free-standing division chairs and center and program directors:

- (1) Opportunity for administrator to provide information, typically in the form of a report on accomplishments, to be shared about his or her service.
- (2) Opportunity to provide feedback through a survey or interview process for all staff and career-line and tenure-line faculty in unit on administrator's service.
- (3) Opportunity to provide feedback through a survey or interview process for representative students (typically SAC representatives).
- (4) Opportunity to provide feedback through a survey or interview process for those who the administrator works closely with outside of his or her unit.
- (5) In-person conversation/discussion between administrator and renewal review committee and/or appointing official.

For deans:

- (1) Opportunity for dean to compile a self-assessment covering the following areas:
  - a. Vision and Planning - Vision for the college and the planning activities sponsored that support strategic decision-making and resource allocation.
  - b. Program Development - Activities within the college that have provided supporting infrastructure for existing programs, creation of new programs, and plans for possible future programs.
  - c. Personnel Accomplishments - Contributions to personnel hiring and management in the college, including in faculty promotion and tenure, staff and faculty annual evaluation, personnel issues, and leadership management.
  - d. Budget Strategy and Execution - A summary of fiscal management activities, including resource allocation, budget request processing, cost sharing, and other budgetary activities.
  - e. Development and Public Relations Activity - Activities to promote the college in the local community, communicate its activities both internally and

externally, and raise funds in support of the college's needs from private donors, foundations, corporations and other entities.

- f. Other Major Accomplishments - Any important accomplishments that have not fallen into any of the categories above, including professional activities (teaching, research, service), any leadership roles in professional societies, research products, or review activities (grant proposals, manuscripts, etc.).
- (2) Opportunity to provide feedback through a survey or interview process for all staff and career-line and tenure-line faculty in the college unit on dean's service.
- (3) Opportunity to provide feedback through an interview process for those who report directly to the dean.
- (4) Opportunity to provide feedback through a survey or interview process for representative students (typically SAC representatives).
- (5) Opportunity to provide feedback through a survey or interview process for those who the dean works closely with outside of his or her unit.
- (6) In-person conversation/discussion between dean and the renewal review committee and/or the Senior Vice President.

At the conclusion of a renewal process, if the decision is to renew, the appointing official must follow the usual process in University Policy documenting his or her decision and seeking approval up through the Senior Vice President. In addition, the appointing official must send a letter to the unit's career-line and tenure-line faculty and staff with a brief summary of the information collected during the review process, the reasons for the renewal, and an overview of the shared priorities and goals for the unit during the new term.

At the conclusion of a renewal process, if the decision is not to renew, the appointing official will begin the search procedures outlined above for appointment of an administrator as soon as practicable and may, in appropriate cases with the appropriate approvals, appoint an interim to serve until the search process is completed.