

**Academic Senate, Berkeley Division  
Committee on the Status of Women and Ethnic Minorities (SWEM)  
Guide to Faculty Advancement and Promotion at U.C. Berkeley<sup>1</sup>**

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## **Introduction**

This guide was originally prepared by the Berkeley Academic Senate Committee on the Status of Women and Ethnic Minorities (SWEM) in 1983. A 1987 edition was prepared by the SWEM Committee in collaboration with the Office of the Faculty Assistant for the Status of Women. Additional revised editions were published in 1989, 1996, and 2005. This edition was fully revised in the fall of 2010 with assistance from the Office of the Vice Chancellor for Equity and Inclusion.

### ***Disclaimer: The Official Word vs. Friendly Guidance***

The [Academic Personnel Manual](#) (APM) provides an official, formal description of the structure of the academic review procedures at the University of California (see APM sections 210 and 220). This guide highlights and explains more informally key aspects of the procedures. It has not been authorized or approved as an official or complete academic personnel manual of the University of California or the Berkeley campus. Although this guide attempts to reflect the most recent revisions of the rules governing academic personnel, these policies are frequently modified. Therefore, this guide does not represent nor should it be relied upon as a complete statement of the academic personnel rules, regulations, and policies of the University of California. The Academic Personnel Manual and the [Berkeley Academic Personnel Office](#) provide the official, complete, and up-to-date-academic personnel rules, regulations, and policies of the University of California. The Vice Provost for the Faculty offers several tenure workshops each year for assistant professors.

### **I. The Tenure Review Process**

Policies and procedures governing appointment and promotion can be found in the [Manual of the Academic Senate, Bylaw 55](#) and the APM. In the APM, particular attention should be given to [Sections 210-1d: Criteria for Appointment, Promotion, and Appraisal](#), and [220-80: Recommendations and Review: General Procedures](#). The Berkeley procedures for faculty appraisals are set forth on the Academic Personnel Office web site at: [http://apo.chance.berkeley.edu/Appraisal\\_Procedures\\_09.pdf](http://apo.chance.berkeley.edu/Appraisal_Procedures_09.pdf)

### **Timeline**

Your progress toward tenure begins at the time of your initial hiring. Your carefully reviewed and approved appointment reflects a decision that you have the potential to be tenured at Berkeley. Tenure reviews normally occur during the sixth year, but your department may choose to put your case forward earlier, depending on your career-stage and rate of progress. The schedule for review also may be altered if you have been given "time off the clock" for childbirth/childcare. (See section, Balancing of Career and Family Responsibilities, below, for a more detailed discussion.) If you are hired at the more advanced steps of the assistant professor rank, you are still entitled to the full period before tenure review if you wish. (However, if your prior service was at another UC campus, that time will count as part of your full period of tenure review.) If you are denied tenure, you will be given a terminal one-year appointment in order to allow time to transition out of the University. Individuals with appointments in more than one department should consult the [Guidelines for Joint](#)

[Academic Appointments at Berkeley.](#)

Because progress toward tenure starts immediately on appointment to the faculty, we strongly recommend that you talk to your department Chair about expectations for tenure as soon as possible at the beginning of your appointment and at least annually thereafter. Getting appropriate [mentoring](#) and career advising from a wide variety of sources is also important. Mentoring and career advising take many forms. Some departments at Berkeley have a formal structure for pairing an untenured faculty member with a senior faculty mentor. If your department does not have such an arrangement, we strongly recommend that you develop a mentor relationship with one or more senior faculty members both inside and outside of your department as soon as possible. You should ask these individuals to give you specific ideas about expectations for tenure in your field and department, and to help guide you through both the mid-career and tenure review process. You also may want to contact your department's [Faculty Equity Advisor](#), who is a tenured faculty member responsible for ensuring that you have as much support as possible and are treated fairly. Effective mentoring, both informal and formal, can help you succeed as a faculty member at Berkeley.

**[Mid-Career Review](#)**

A critical appraisal point before the actual tenure evaluation is the [mid-career review](#), which typically occurs in the first semester of your fourth year. (See section, Balancing of Career and Family Responsibilities below, for discussion of delaying this review due to childbirth/childcare.) Its purpose is to help the department and you identify strengths and weaknesses before it is too late to improve your record. In a few cases, the outcome of these reviews is non-reappointment, but nearly always the candidate is reappointed with advice about aspects of performance that need improvement or change. The mid-career review is a good chance for the department to review the candidate's work since initial appointment, and it can be used constructively by candidates to start collegial conversations they may not have had as yet.

The mid-career review also may provide an opportunity to alert your department to circumstances that may have inhibited your productivity. There are cases in which relatively critical mid-career reviews have been followed by successful tenure promotions. Thus, you should put the mid-career review in perspective. Sometimes, early productivity is slowed down by the time-consuming steps of establishing certain types of data sets, conducting archival or field research, setting up a laboratory or other needed infrastructure, or by the urgent demands of pregnancy, childbirth, and infant care. Given these constraints, a "mid-career" review at so early a point in one's career can be discouraging. However, with more time and productive feedback about the strengths and weaknesses your case, you can work to develop a strong overall record by tenure review time. If you feel a problem is developing that the department cannot handle well, you can consult with your department's Faculty Equity Advisor, the Associate Vice Provost for the Faculty, or the Vice Chancellor for Equity and

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Inclusion. The opportunity for consultation is always available to you as you approach the tenure decision.

The review process considers the three main aspects of your work as a professor: research, teaching, and service. You will have an opportunity to provide a carefully developed statement describing your record in research or other creative work and your publications, awards and honors, teaching, administrative activities, professional activities, University service, public service, and contributions to diversity and equal opportunity, which are all important parts of the record that you submit for the review process. The web-based system [APBears](#) (Academic Personnel at Berkeley Electronic Achievement and Review System) provides a format for you to record the achievements and activities that will become the basis for your merit and promotion actions.

In your statement, be sure to analyze the progress of your work, emphasize its unique contributions to your field, and highlight future directions in your work. Even if your Chair does not ask you to prepare your own statement about your record, you should definitely submit one. Given that the criteria of evaluation can be specific to your department, you should discuss these criteria with your Chair and with friendly mentors or advisors early in your career. Such discussions are useful in guiding you to the best forums for publishing your work and will enable you to realistically assess the various formal criteria of evaluation adopted by your department.

### **[Your Role in Preparing for Tenure Review](#)**

In preparation for your review, you will be requested to put together a packet of materials, including: (a) your complete record of achievements in [APBears](#); (b) a statement describing your research, teaching, professional activities, and service in sufficient detail; and (c) a complete set of published and unpublished work. You should also provide (d) the names of outside reviewers who can evaluate your work. You can also (e) submit a list of outside reviewers who should not be consulted because you believe they are biased or otherwise cannot assess you objectively. There is a schedule of dates for the submission of personnel recommendations. You need to know the schedule and be ready to submit your own materials on time—as early as late spring of your fifth year, or the term before the semester in which your final appraisal is set to occur. For tenure cases, there is considerable flexibility about information that comes in late, such as news of awards or of acceptance of manuscripts for publication. Be sure to check that all the materials you prepare for both the departmental review committee and the outside reviewers are accurate and complete.

### **[Your Department's or School's Role in Tenure Review](#)**

The tenure review process occurs in a number of phases. The first phase is review by your department or school. Although the Academic Personnel Office outlines a basic set of required procedures, implementation can vary somewhat from unit to unit. The Chair of the department or Dean of the school plays a central role in the implementation of this review process. It is a good idea to consult

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with the Chair or Dean at the beginning of the process. In what follows, we will refer to departments and chairs, although for some faculty, the relevant unit is the school and the relevant unit leader is the dean.

Departments vary in the specific ways in which the individual participates in the preparation of the case, in their specific criteria for evaluation, and in some of their procedures of review. These variances in practice (for example, some departments have standing committees for tenure review, others are ad hoc, some faculty votes are by secret ballot, others in open meetings) are usually the consequence of differences among the disciplines or department size, but can occasionally go beyond the bounds of acceptable practice. (See section below, Your Response to the Departmental Review.) Candidates' rights to information about their reviews are set forth at:

<http://www.ucop.edu/acadadv/acadpers/apm/apm-158.pdf>.

The academic review process requires [external evaluation letters](#) at several points in your career, including your tenure review. Your department will need to submit at least seven outside letters, with over half coming from the department's own list. You will have an opportunity to provide your own list of suggestions. It is very important that you have someone experienced with whom to develop your list of suggestions for outside reviewers. This might be your Chair, your departmental Faculty Equity Advisor, or a trusted mentor. It can be disadvantageous for you to put "obvious" choices (for example, your thesis supervisor from graduate school, research collaborators, or one of your former doctoral students) on your list as these reviewers are not generally regarded as independent and objective reviewers. Generally, reviewers selected independently by the department are given somewhat more credibility by review committees than those on your list which should focus on key individuals that you think might not be included on your department's list. Please keep in mind that you may inform your department of any potential reviewers whom you believe should not be asked for letters.

The department will prepare a packet of materials submitted for your review and provide it to the outside reviewers. These packets should include copies of your published and unpublished work, an updated vita, and your statement describing your research, teaching, professional activities, and service. It is critical that the outside reviewers have complete copies of your case for their evaluation. You should find out which staff member is assembling these packets, and confirm with that person that the packets are complete. The reviewers will be asked to make comparative assessments of your achievements in your field (for example, are you among the top people in your cohort?), supporting their evaluations with specific analyses of your work. You should consider sending out copies of your publications to many potential reviewers some time in advance of the year in which you will come up for tenure. (Indeed, making important colleagues aware of your work is a good idea at all times.)

For the departmental review, the Chair normally establishes a departmental ad hoc review committee. The ad hoc committee writes its own report, which is included with the file. After the departmental ad

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hoc committee has submitted its report and before the departmental review, you can ask for redacted copies (with confidential information removed) of the departmental ad hoc committee report and the letters of recommendation. If you believe that there are points in need of clarification, you may write a statement that will be considered by the tenured faculty before the discussion of your case.

The case for your promotion is discussed at a department meeting of tenured faculty, without your presence, followed by a departmental vote. The Chair then reports on the departmental vote and discussion in a letter that will accompany the other case materials. A detailed tally of the actual vote, including absences and abstentions, is included, along with information providing context and background that people outside the field might not know, or explaining how the department weighed various issues. The voting members of department or a committee of the voting members should have an opportunity to review this letter before the case is sent forward, and you have a right to receive a copy of the letter. If there are issues you would like to address, you may provide a written statement that will be included in the tenure file that goes forward from the Department. (See next section for more information.) The Chair can also write a personal letter for inclusion in the review file. You may not have access to this letter until your case has gone through the University review process.

The great majority of departmental recommendations are for either granting or denying tenure. If a department's initial vote does not support tenure, however, the department may recommend deferral of the tenure decision from the 11th semester to the 13th semester. This is an option only when the department has conducted a full tenure review, including the receipt of outside letters, and when it has taken an initial vote (yes or no) for or against the award of tenure. In those circumstances, the department may decide to take a second vote on the specific question whether the prospects for tenure in the 13th semester are good, fair, or poor. If on the basis of that vote, the department concludes that the prospects for a positive tenure recommendation in the 13th semester are good, it may recommend deferral. The department would need to justify its expectation that deferral would lead to a positive outcome, and its recommendation for deferral would have to be reviewed by the Budget Committee and the Administration. If deferral is approved, the candidate will receive a terminal appointment, and the department will prepare a tenure case in the 13th semester.

**[Your Response to the Departmental Review](#)**

If you feel that aspects of your work have been misrepresented, misunderstood, or omitted, or if you feel that the review process has violated APM guidelines, you may respond in a written statement that will accompany the materials in subsequent review levels. Again, departments and Chairs vary in how they handle these procedures. You can consult the [Candidate's Rights](#) information on the Academic Personnel Office website. If you believe special issues exist in your case, you should talk to your department's Faculty Equity Advisor, the Associate Vice Provost for the Faculty, the Vice Chancellor for Equity and Inclusion, or the Faculty Ombudspersons for assistance.

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Ideally, you should have a positive ad hoc committee report, an overwhelmingly positive vote from the department, a strong letter of recommendation from the Chair, and strong outside letters that evaluate your contributions and place you at the top end of your field, compared to others at a similar career stage. If all of these factors are present, you have a strong case. If one or more of these factors is not so strong, then your case will raise more concerns, although this does not necessarily mean that the review's outcome will be negative. A more serious situation exists if the department vote is negative, which will weigh heavily in the remaining stages of review. However, even in this situation you have a right to ask for campus ad hoc review outside of the department (see the next section). It would be wise to consult your department's Faculty Equity Advisor, the Associate Vice Provost for the Faculty, the Vice Chancellor for Equity and Inclusion, or the Faculty Ombudspersons before taking this step.

**Campus Review**

Upon leaving the department, the case is sent to the Dean, who appraises it and adds his/her own letter of recommendation to the file. In addition to evaluating your records of research, teaching, and service, the Dean may be able to provide context for the departmental vote (split votes are difficult).

The file goes to the Academic Personnel Office, where it is reviewed to ensure that the requisite information is accurate and complete. Then it is forwarded to the Academic Senate [Committee on Budget and Interdepartmental Relations](#) (Budget Committee). The Budget Committee is appointed by a committee of faculty (the Committee on Committees), who are elected by the Academic Senate. The Budget Committee makes recommendations to the Office of the Chancellor about appointments, merit increases, and promotions, including promotion to tenure. The deliberations of this committee are confidential. Upon receiving the candidate's file, the Budget Committee recommends a slate of faculty to the Associate Vice Provost and the Vice Provost to serve as the campus ad hoc review committee.

The campus ad hoc committee plays an important role in the tenure review. Its basic tasks are to evaluate your record and determine whether it warrants a recommendation of tenure. This committee reviews your entire case. Thus, you should prepare your materials with an eye toward this audience as well as the departmental one. Keep in mind that it is possible some of the committee members will not have primary expertise in your field, and that all committee members will be looking for clear guidelines, both from you, your department, and from outside reviewers, as to the quality and significance of your scholarly contributions. The membership of the ad hoc committee is confidential, but you can have some influence on its composition by notifying your Chair before your file leaves the department if there are any faculty members at Berkeley you feel should not serve. If you have an unusual area of specialization, you could advise as to the ranges of expertise and sources of persons appropriate to review your work. Your requests may or may not be followed, as many factors play a role in determining who can serve on an ad hoc committee. For promotions to tenure and new tenured appointments, the ad hoc committee will consist of at least three faculty members, one of whom will

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be from your own department. For some cases, the ad hoc committee may have five members. The process of convening the campus ad hoc committee can take a long time. Even a normal tenure case with full support by all can take many months.

After the campus ad hoc committee completes its report, the Budget Committee deliberates on your entire case and makes a recommendation to the Vice Provost for the Faculty. Both the Vice Provost and the Associate Vice Provost review the entire file, including the minutes of the Budget Committee, and send recommendations to the Executive Vice Chancellor and Provost and the Chancellor regarding your proposed tenure.

**[Your Response to the Campus Review](#)**

[Perhaps this paragraph would fit better into the previous section?] If your department recommended non-reappointment, you have the right to request a review of that recommendation by a campus ad hoc review committee appointed for that purpose. Any candidate in this situation has the right to an ad hoc review at the campus level and should discuss this option with his/her Chair or Dean (also see [Candidate's Rights](#)). If at any time you believe that your case involves institutional issues under the areas of concern of the Vice Chancellor for Equity and Inclusion, you can bring it to the vice chancellor's attention. This is not, however, a formal part of the disposition of your case.

After the Budget Committee has sent its recommendation forward, the Vice Provost has two options. If the recommendation at all levels for tenure case is positive, the Vice Provost will forward the case directly to the Executive Vice Chancellor and Provost and the Chancellor. If the preliminary assessment of the tenure case is negative, a letter outlining the preliminary assessment is sent to the Dean and Chair, who will in turn inform you. At this point, you have a right to receive redacted copies of the complete review file, including the campus ad hoc committee report and the Budget Committee minute. You will have 10 working days from the date you receive notice of the preliminary assessment to provide a response to the issues raised during the review. The Chair and Dean also can provide additional information for final consideration by the Budget Committee and the Administration. New information sometimes results in a positive tenure decision, and so it is important that you consider what new information may have developed since your case initially went forward.

After the Vice Provost, Executive Vice Chancellor and Provost, and Chancellor review the case, the Chancellor will issue the final decision. If the Chancellor disagrees with the Budget Committee's recommendation, he or she will discuss the case with the Committee. If the positions of the administration and the Budget Committee remain opposed, the Chancellor can reject the advice of the Budget Committee, although the Budget Committee's recommendation is followed with very few exceptions. The recommendations of the ad hoc committee, the Budget Committee, and the Chancellor are revealed to the candidate in a single letter summarizing reviewers' opinions.



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Confidentiality is an important factor at all levels. APM 160-20 defines which documents are considered “confidential academic review records” and which are considered “non-confidential.” Breaches of confidentiality by faculty members participating in tenure review are subject to disciplinary action under the Faculty Code of Conduct. Confidentiality is believed to ensure candid evaluations, yet it can also hide bias. You have a right to obtain a redacted copy of material in your file at many points in the review process. State law and University policy provide you with a right to a redacted copy of your file documents in order to provide substantial disclosure while protecting the confidentiality of reviewers.

**II. Professional Development Tasks Critical for Tenure Preparation**

**Making Research a Priority**

Your scholarly research or creative activity will be the primary basis for your evaluation and promotion to tenure. A common mistake is to let teaching organize one’s daily life, fitting in research and scholarly activities as a secondary priority. It is also a serious mistake, however, to imagine that the quality of your teaching does not count. The more productive approach is to organize your time around research and scholarly/creative accomplishments, while delivering good teaching. It may be useful for you to develop a five-year plan for your scholarly work, with each year directed toward a component of your overall goals. Plan in advance what you want to have accomplished by the mid-career review and what you need to have completed by your tenure evaluation. Successful plans include the following:

(1) Develop your agenda not only around semesters and courses, but also around deadlines for conferences and grant proposal submissions. You may want to consider the most productive times for writing and the optimal times for data collection. For example, if you are faced with particularly heavy teaching responsibilities one semester, consider devoting some of your time during the week to collect data or to do library research, so that when more open blocks of time become available, you are ready to begin writing.

(2) Leave weekly blocks of time to work on research or creative activities. Do not give them up under any circumstances. Keep a fixed number of hours open for students, but do not deviate from your research schedule. Some faculty members work best in whole-day blocks of time; others find mornings the best time to write. Schedule classes, meetings, and appointments with these considerations in mind, making sure you earmark sufficient, as well as high-quality, time for your own scholarly activities. Do not use these precious blocks of time to read email, answer correspondence, or finish other work that has spilled over into the time allotted for your research. Guard your research times jealously, as if they were appointments that cannot be broken.

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(3) Plan for some leave time in order to maximize your opportunities to write. Apply for one of the University grants in the junior faculty development programs, such as the [Regents' Junior Faculty Fellowship](#) or the [Hellman Family Faculty Fund](#). Information regarding these grants is available from the Vice Provost for the Faculty. In addition to such funded release time, you can draw on your sabbatical time before tenure and take a semester-long sabbatical leave. You also may want to consider taking a leave without pay, if you can manage it financially. All of these leaves ensure an uninterrupted period of time in which to complete your work.

### **Obtaining Research Grants**

Obtain intramural or extramural research funding if you work in a field where that is possible. The [Academic Senate Committee on Research](#) (COR) offers competitive grant opportunities for junior faculty. The committee's primary grant cycle occurs in spring. There is also a fall-semester call for proposals for faculty appointed effective July 1, or who were away from campus in the spring. For assistant and associate professors COR provides travel grants to present research at conferences. Assistant professors in the first two years of their tenure-track appointment may attend a conference without the requirement of presenting research.

Extramural grant funds can potentially buy release time to work on your research. For information about obtaining these grants and a list of grant opportunities particularly available to women and minority faculty, contact the [Sponsored Projects Office](#). In some fields, fellowship awards can earn you a semester, summer, or even a year for writing. Colleagues are a good source of information for the types of awards available. Even smaller sources of funding can be useful for beginning new work and preparing for larger grant applications. If you take advantage of the University Work-Study program, which funds a portion of the cost of a graduate or undergraduate student working with you on your project, seed-money grants can go a long way.

### **Developing a Scholarly Program**

Your scholarly contributions will be evaluated for evidence of impact on the field (for example, work that opens new lines of investigation) and for evidence of independence, originality, or substantial growth in an existing area. Each discipline varies in terms of what kind of contribution is most valued—whether it be a book or journal articles, empirical or theoretical work, or creative accomplishment. Your colleagues can advise you about these criteria of achievement. You must choose wisely about shaping the direction and scope of your research or creative activities. If books are the expected norm, be sure to write books. If journal articles in peer refereed journals are valued, concentrate on those. Similarly, publication of your dissertation is a mandatory first step in some fields, but is less valued in others.

Tenure review gives special attention to new work after you have been hired. Accordingly, you must have clear evidence of your UC Berkeley-based research program. If the majority of your work is done

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in collaboration with someone else, particularly, someone senior to you, it may be more difficult to evaluate your independent contributions. In any collaborative work, you should be prepared to document which aspects are predominantly your contributions. Some fields may expect sole-authored contributions; be sure to understand what is expected. If your work is in a newly-defined field, unconventional, or in an interdisciplinary field, it also may be more difficult to evaluate. In order to maintain your scholarly credentials while working at these new frontiers, you should consider publishing some “mainstream” contributions, or be sure that acknowledged experts will vouch for your work’s significance. Alternatively, you should be prepared to demonstrate its impact. It bears repeating here that you should have departmental mentors who can guide you to the specific activities that the department most values. Establish what these activities are early in your career, and never lose sight of or minimize them.

**Preparing Work for Publication**

Most of you will have to make choices about when to publish, what to publish, and where to publish. Again, your colleagues are your most valuable resources in making these decisions. In general, it is important to publish your work as soon as you can so that wide groups of scholars may learn about it, cite it, and provide constructive feedback that will help you shape your future work. Do not wait until all of your work is completely finished before earmarking a piece of it for professional communication. Publishing parts of a larger piece of work early enables you to build visibility for your scholarship, and can elicit important critiques that you can respond to in subsequent publications.

Prepare your work for the most respected publications in your field. Do not settle for journals or publishers of lesser quality, since the prestige of a scholarly forum is an important factor in assessing and determining your reputation in a field. In some fields, invited chapters may not count as much as articles in refereed journals, because in some fields chapters do not undergo the rigorous peer review that journals require. Publication of popular books and textbooks may generate independent income, but they are unlikely to count heavily in your research record. The writing of textbooks is viewed as a teaching activity, rather than research, unless there is clear evidence of your textbook’s scholarly contributions. If you are in a field where none of the above is important, be sure to learn from your colleagues what scholarly or creative productions they will use in evaluating your work. [APM Policy 210-1d \(2\)](#) provides guidelines for evaluation of research and creative work.

**Increasing Your Visibility as a Scholar**

In addition to developing a strong record of research and teaching, cultivate collegial relationships with other faculty, inside and outside of the campus. The areas of relationship-building described below are listed in order of importance.

**Within your department:** Get to know your colleagues in your department. When the department votes on your promotion, your colleagues’ familiarity with you and your work is vital. This familiarity is

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not just based on their taking the time to read your work. If they have the sense of you as a lively, responsive, thinking scholar, they will take a favorable stance in reading the review committee's report. Colleagues are important to you in many other ways besides the departmental vote. They can discuss your ideas with you; advise you on the best places to publish your work; read and criticize your first drafts; give you encouragement about what is new and valuable in your work that deserves to be written up formally; and suggest your name for important conferences.

How can you get to know your colleagues? Take them out for lunch or coffee. Talk with them about their recent work. Ask their advice about the directions you are taking in your own work. If there are colloquia in the department, volunteer to give a presentation, especially if you're planning to present a talk at a professional meeting. You can use department colloquia to rehearse your presentation in front of supportive departmental colleagues. Serve on departmental committees, but do not do so at the sacrifice of your research. Co-teach with an older colleague: you will learn from and get to know each other. Ask a colleague to read an early draft of a paper. If you do this, pick someone who is known for friendly and constructive criticism, and try to lighten the burden by asking for specific help (for example, "I'd especially like your comments on pages five to nine"). Be sure to provide copies of some of your work to relevant colleagues as a matter of course.

Make sure your department Chair gets to know you and is familiar with your work. At least annually you should talk with your Chair about important professional choices, the criteria for promotion, and expectations for "normal" productivity. If the Chair does not suggest a meeting to discuss your academic progress, you should request an appointment to discuss these matters. You need to keep the Chair informed about your accomplishments—the research you are doing, the meetings you are attending, the papers submitted, and the invitations received. You might, for example, go over your record for the past year with your Chair and ask for suggestions for the coming year. Keep in mind the important role that the Chair plays in the tenure review process. In a sense, you are the person who can best help the Chair compile a convincing case on your behalf.

**Within the University community:** Get to know your Berkeley colleagues outside of your department, particularly those who do work that is relevant to your own. Not only are they another source of advice and feedback about your work, but they can help make you and your work more widely known on campus (for example, inviting you to give a talk in their department or sub area, or recommending you for membership on important committees). Moreover, they are likely to be in the pool of outside faculty who will be asked to serve on your campus ad hoc review committee. Remember that in the tenure review the departmental vote is not the only vote. The review and vote by the campus ad hoc review committee is crucial to the final outcome. The Division of Equity and Inclusion, the Vice Provost for the Faculty, the Women's Faculty Club, the Townsend Center, the Association of Academic Women, the Academic Senate and other groups sponsor informal events for new faculty to become acquainted with each other and the University.

**Beyond the University community:** Assessment of your national reputation as a scholar is an important part of the tenure review process. Gaining such a reputation during a relatively short time period before review, typically five years, requires careful planning. You can take several steps to increase the visibility of your work. Publishing your work in highly regarded journals, for example, is clearly important. Send copies of your papers to people whom you cite, and who would be interested in your work. Maintaining a webpage citing all your work, and placing it in a favorable context, has in many fields become almost a requirement. Participating in conferences and other professional meetings also helps you to establish contacts. Presenting papers at these meetings (requiring less lead time than journal publication) can make your work more widely known. However, keep in mind that in most fields conference papers are not weighted as heavily in the tenure review process as publications in refereed journals. Small meetings where you can engage in serious intellectual discussion with colleagues can often be more helpful than larger, more anonymous meetings for establishing contacts with a national network of colleagues. In most fields, you will not be expected to have developed an international reputation as a scholar.

Remember that in the tenure review assessment of your professional reputation you will be asked to recommend potential outside reviewers. These reviewers should be senior faculty (preferably full professors) at well-regarded universities. It will be to your benefit if you and your work are already known to them. Having international contacts is usually well regarded.

### **III. Record-keeping about Your Accomplishments**

You should begin immediately to maintain ample and detailed records on which you can draw when you need to prepare documentation for promotions and merit increases. Carefully complete your record in [APBears](#) and keep it updated, at least annually. It is much easier to create a contemporaneous ongoing record of your work than to attempt to recall the past several years at review time. Be sure that your department has a full vita, with a record of your professional career and publications that dates back to the beginning of your work, not just to your UC appointment.

#### **Professional Reputation**

In addition to reporting all of your publications, colloquia, and other activities, list information that shows how much you are in demand. Even if you declined an offer, the invitation may be an honor. Bear in mind that many people do not feel fully able to judge your work for themselves. If somebody they respect says it is good (and why) or wants you to participate in a professional meeting, then the prestige of that person accrues to you (prestige by association). Keep a record of all requests to speak; to contribute to books, special journal issues, and panels; and to reprint your articles in books. Also keep copies of all reviews of your work, important citations, and letters of praise. If someone who is influential gives you oral praise, ask them to provide a letter for your file. If you receive a “feeler”

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about a job, keep a complete record, including date and time, even if you do not plan to proceed further. For some fields, it may be useful or critical to check the Citation Index or a similar online resource to find out how often your work is being cited and by whom. You may need to take action (for example, suggesting citations when you have the opportunity, or sending a copy of a publication to those who might cite it) to ensure that your work is being properly credited. Grants and fellowships are also good indicators of professional reputation.

If these activities sound too self-important, remember that your department, the campus ad hoc review committee, the Budget Committee, and the Administration have a very difficult job to do in their qualitative assessment of junior faculty. They must rely heavily on indicators of the quality as well as the quantity of your contributions to your field. They depend on ways to gauge the increasing scope of reputation as you move up. Therefore, evidence of national or international acclaim should be collected at all stages of your career. In professional schools and colleges the quality of competence in practice of the profession may be considered, and should therefore be carefully documented.

### **Drafts and Publications**

For both your tenure review and your mid-career review, include all of your scholarly published material, not just the most recent. Work that is in press can be counted as published material (but any publication can only be "credited" in one review). For your mid-career and tenure reviews, you can also include completed drafts and work that has been submitted for publication (but not yet been accepted), or that is otherwise in progress. Seek advice as to whether you should include works in progress as evidence of productivity. At the time of your mid-career review, you will probably be asked to outline your scholarly plans for the next few years preceding the tenure review. Be realistic. Do not include exaggerated hopes or unrealistic research goals in your record. If you say you will accomplish X, Y, and Z, and then you do not, it may count against you. At the time of your tenure review, your statement should include information about your post-tenure research projects.

### **Teaching**

A standardized set of teaching criteria and examples of teaching effectiveness, set forth in detail at [APM 210 d \(1\)](#), are used by the Chairs, Deans, the Budget Committee, and the Administration to evaluate your teaching record. The criteria include your command of the subject; continuous growth in the subject field; ability to organize course material and present it with force and logic; capacity to awaken in students an awareness of the relationship to other fields of knowledge; your skill in fostering student independence and capability to reason; spirit and enthusiasm that vitalize your learning and teaching; ability to arouse the intellectual curiosity of beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of your participation in the general guidance, mentoring, and advising of students; and, effectiveness in creating an academic environment that is open and

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encouraging to all students. Familiarize yourself with all of the criteria, and be sure to gather evidence with respect to your performance along these dimensions.

The list of your formal courses will be in the department records and will be automatically fed into APBears. Be sure that this record is accurate. For example, if you co-teach, check that your name is included and you are credited for the course. Keep your own file of individual tutoring and 190-290 series offerings. Keep a good set of qualitative records to show your concern with teaching: course outlines, reading lists, extra instructional materials, evidence of work in development of new courses, and work on textbooks. A list giving your membership on doctoral, masters, and PhD committees and on qualifying examination committees will be automatically fed into APBears by the Graduate Division. Be sure the information that appears in APBears is accurate, and also keep track on your own of your work supervising undergraduate theses.

Be sure to have student teaching evaluations for all of your courses and note what they say. If initial teaching evaluations are poor, create a record that shows your efforts to improve those criticized skills. Then, make an effort to get new improved evaluations before your review. In addition, you can request that the department conduct a peer-review of your teaching. You can improve your teaching by giving colloquia lectures and guest lectures in your colleagues' classes and by visiting other classes. Get help from colleagues known to be good teachers. Your efforts will speak for you. The [Office of Educational Development](#) is an excellent resource to help you evaluate and improve your teaching skills.

Your teaching also may be evaluated from student letters, professional status of former students, and number and quality of dissertations directed by you. The campus-wide standards for how many graduate students you should have vary by discipline and may be lower for junior faculty. Joint publications with students are usually a service to both you and the student.

**[Administrative, Professional, and Public Service Activities](#)**

Keep records of all your committee, consultant, and public service work. If products resulted from your work, include these in your materials (for example, if you develop a new program, include a program description). Solicit letters for your file concerning the nature of your contribution. Search for evidence of your effectiveness and impact. Once a year you will receive from the Academic Senate a list of numerous opportunities to serve on campus-wide faculty committees. Be cautious when considering such service. While it may be helpful to begin developing a record of administrative, professional, and public service, a strong record of research and teaching is more important for your tenure review case. [APM 210-1-d \(4\)](#) provides guidelines for evaluation of University and Public Service. You may also wish to consult:

[http://apo.chance.berkeley.edu/guidelines\\_for\\_evaluation\\_of\\_service.pdf](http://apo.chance.berkeley.edu/guidelines_for_evaluation_of_service.pdf)

#### **IV. Special Issues Facing Women and Minority Faculty**

The promotion system in large research universities was originally designed for highly ambitious researchers who are willing to work many hours per week, adhere to the criteria of achievement in their field, and give up other life choices. It was not originally designed for parents or caregivers, or for those who wish to translate their science or scholarship into public service. Although Berkeley has made important strides to develop a family-friendly environment, it remains true—as in many fields—that individuals who are free from family obligations that might interfere with periods of intense work or the ability to make geographic moves often enjoy faster advancement. These factors tend to have a disproportionate influence on the faculty careers of women and minority faculty. In recent years, progress has been made to develop policies and resources that enable broad access to fulfilling faculty careers.

#### **Balancing Career and Family Responsibilities**

The intense period of early faculty career development is often the time when a faculty member might want to start a family or might already be taking care of young children. Given there are only so many hours in a day, balancing career and family responsibilities can be a significant challenge. When a woman combines a demanding full-time academic job with pregnancy, childbirth, and continued responsibility for raising children, she will face some serious demands on her time. Although much progress needs to be made before childbearing and career patterns will more easily fit together, several policies have been developed to help balance the tenure process and family responsibilities. (See [APM 760](#).)

**Stop the clock:** An untenured faculty parent who provides substantial care for a newly arrived child is entitled to have one year of service time excluded from the tenure clock. “Stopping the clock” will normally delay the mid-career review or final appraisal, unless the faculty member elects to be reviewed on the regular schedule. Faculty may “stop the clock” for a maximum of two years during the pre-tenure period. It is not necessary to have taken any kind of leave in order to be eligible for tenure-clock stopping as long as you certify that you have substantial responsibility for providing care. Please note that the notice of intent to “stop the clock” must be filed within two years of the birth or adoption and cannot be made in the year of the anticipated review. Notice is filed via a form sent through your Chair and Dean. If your Chair is not particularly informed or helpful about these issues, consult with your department’s Faculty Equity Advisor or the Associate Vice Provost for the Faculty. More information about stopping the tenure clock is available at:  
[http://apo.chance.berkeley.edu/what\\_is\\_tock.pdf](http://apo.chance.berkeley.edu/what_is_tock.pdf)



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**Child-bearing leave:** Faculty who give birth are entitled to leave for the period before, during, and after childbirth. It is normally six weeks in duration, but may be extended if required for medical reasons.

**Medical leave:** Incapacitating complications during or after pregnancy are treated in the same manner as any other illness and come under the policy for medical leave. Once your eligibility for paid medical leave is exhausted, you may be eligible to receive temporary disability pay if you are physically unable to return to work.

**Active service-modified duties (ASMD):** This policy provides a semester of reduced duties at full pay to faculty parents who have substantial responsibility for the care of the child. One semester of ASMD is available to either the father or the mother of a birthed or adopted child. An additional semester of ASMD is available to the birth mother. The timing of the ASMD and nature of the reduced duties should be arranged with the Chair of the department as far in advance of the proposed leave as possible (but no less than three months in advance). A typical reduction might provide that in the semester following the arrival of the child, the parent will not be required to meet regularly scheduled classes, but will continue to be available to meet graduate students, hold office hours, serve on a departmental committee, or carry out similar duties. The ASMD must be completed within one year following the birth or adoption. The ASMD is included as service toward your eight-year probationary period unless you also make a request to stop the clock.

**Parental leave without pay:** Faculty may take parental leave without pay and request up to one year off the tenure clock for each birth or adoption.

**Regular and temporary part-time appointments:** It is possible to obtain a permanent or temporary part-time faculty appointment. If you elect a permanent part time appointment, you relinquish the other part of your FTE and can recover it only if your unit has a position and votes to increase your FTE; neither condition is guaranteed to occur. You may elect to reduce your faculty appointment to part-time temporarily to accommodate family care responsibilities without losing your full-time FTE. For some people, a part-time position is helpful to ensure enough time for research, writing, and family life. For assistant professors with part-time appointments, teaching and service expectations shall be pro-rated in accordance with the percentage time of the appointment. The expectations regarding scholarly productivity for part-time appointments should be spelled out clearly in advance. Before you elect a part-time appointment, be sure you understand what will be expected of you in the areas of research, teaching, and service. The guidelines for part-time faculty appointments are in [APM 220 – Appendix B](#).

The notification form for leaves, modified duties and other family accommodations are available at <http://apo.chance.berkeley.edu/forms.html>.

### **Relative Absence of Role Models/Mentors**

Women and minority faculty learn to assume the role of university professor in a world of predominantly white and predominantly male colleagues. In most fields, and in most university settings, it is rare to find full professors, Deans, chancellors, and journal editors who are women or minorities. This under-representation can place a spotlight on women and minority faculty members who may be the only member of their group in a department. This heightened visibility can place a strain on interaction with colleagues, contribute to misperceptions about accomplishments, and create a tendency towards professional and emotional isolation. The relative absence of women and minority faculty in leadership positions lessens the opportunities for women and minority faculty to find appropriate models for professional advancement, and may reduce chances for professional growth.

Given this reality, women and minority faculty may have specific needs for professional development in their fields. Information about grants, the politics of a department, or opportunities for participation in professional activities are often shared with younger colleagues upon meeting them in social settings to which some groups may have less access. Lacking power and access to the occasions in which power is shared, some groups are offered different opportunities for participation in the academic world. The University has responded to this issue by developing programs to facilitate the mentor relationship. Information about department, school, and campus mentoring programs is available on the web at <http://diversity.berkeley.edu/mentoring/>.

### **Extra-professional Demands**

Women and minority faculty tend to be in very high demand for service and teaching activities that may carry less weight in professional advancement. They are invited to serve on many committees, since there is often pressure to diversify committee membership. They are asked to give many talks and to teach certain courses, all because there is a need to have their perspective represented. There is also demand from students who are looking for role models and from the broader community for involvement and expertise. These obligations can be time consuming, especially for minority faculty members who can find themselves easily diverted from research by requests for consultation, expert testimony, community boards, and the like. In addition, women tend to be particularly responsive to requests for advising and service. Over-commitment to service limits research development and the opportunity for promotion. Given these extra demands, women and minority faculty need to work harder to ensure uninterrupted periods for writing and research. Saying “no” is often hard, but untenured women and minority faculty will probably need to turn down some requests for their services.

Berkeley’s diverse student population is a double-edged sword for minority and women professors. The cultural richness and community support brings with it demands for access to women and minority faculty whose numbers aren’t reflective of the student population. Therefore, a

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disproportionate demand for counseling, mentoring, and administrative service is placed upon women and minority faculty, who are few in number and more likely to be in the ranks of junior professors. Success in balancing these demands with a primary commitment to research is critical to achievement of tenure or promotion. Good mentoring from experienced senior faculty inside and outside of the field is an important tool for maintaining this balance.

Teaching loads can often be readjusted—not only how many courses, but which you teach. It is fair to request a reduced load from the Chair, particularly if you are close to tenure review. The options for a reduced load will depend somewhat on the size of your department and on your previous record of teaching. You may find it useful to inquire about past practice and what your Chair considers reasonable before making your request. Maintain a record of a “normal teaching load” and teach some graduate courses that give you access to graduate students who could help with your research. Within rational limits, it is more important to serve as a Chair of dissertation committees than to serve as a second or third member. Explore carefully the implications of a request for a reduced teaching load before you act; for a successful tenure review, you will want to be able to present a robust and successful record of teaching.

You can ask for relief from committee assignments and advising functions. Do not let yourself be drawn too much into doing your department’s administrative work or even into university administration before you have tenure. If you find yourself being the token woman or minority member, turn down some invitations. To add extra clout to your “no” response, ask your department Chair to decline the invitations on your behalf. If you are asked to serve on a national committee and want to accept (national committees provide evidence of a national reputation), you might get the department to trade that opportunity for department service. When you are asked to serve on a committee, you may need to bargain for the conditions you want. When you need to turn down a request for service, you might say, “Thank you for thinking of me, but I already have made a number of service commitments this year and must decline your invitation.”

Finally, note that there is now new language in [APM 210d](#) (look for underlined sections) which explicitly rewards service or teaching efforts which advance diversity and equal opportunity at the University. Be sure to document and take credit for your contributions in this area.

### **Differential Treatment**

In male-dominated careers, women may become aware that their status as a numerical minority (and as female) affects how they are perceived. As women, their comments and actions are sometimes subtly, and often unintentionally, discounted or misinterpreted. Ethnic minority faculty members, both male and female, also experience many forms of differential treatment that may undermine their self-confidence or make them feel like uninvited guests at a private club. They may be perceived by other faculty members as “affirmative action” hires, with various deleterious effects. They may be excluded

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from informal and formal social activities, where important information is shared. They may not be offered career-enhancing opportunities in the same way as their colleagues. Finally, they may be expected to deal with all the issues related to minority students, leaving less time to deal with aspects of their career that will be given greater weight in the advancement process. These patterns of differential treatment may be subtle or blatant, are generally unintentional, and are often unnoticed by the majority. But if present, these behaviors can impair the performance of women and minority faculty members. Faculty members who find they are subject to these problems should seek advice about handling them by talking to their mentors, sympathetic colleagues, the Chair, or the appropriate responsible campus officials. The department's Faculty Equity Advisor, the Associate Vice Provost for the Faculty, or the Vice Chancellor for Equity and Inclusion are good places to start. Seek advice sooner rather than later if you become aware of these issues.

**The Effect of Outside Offers on Advancement**

Research has shown that women, especially those with partners and/or children, are more likely than men to be geographically tied to the area in which they live. Historically, women have not felt as free to actively consider job-related moves due to the needs of partners and families. Women faculty may be less likely to invite or receive outside job offers because of this lack of mobility. Yet some outside offers can result in heightened prestige and salary increases or extra resources. New campus policies on salary-setting for untenured faculty members have greatly reduced the impact of these issues on the salaries of assistant professors. However, this inequity remains a problem for professors with tenure. If another academic institution or school has expressed interest in hiring you, document this and bring it to the Chair's attention. In addition, opportunities to study or to work at other locations critical to your area of work, however short-term, should be actively explored. The campus policy on responding to outside offers is on the Academic Personnel website at [http://apo.chance.berkeley.edu/Value\\_to\\_Berkeley\\_Assessment.09.pdf](http://apo.chance.berkeley.edu/Value_to_Berkeley_Assessment.09.pdf)

**Career Equity Reviews**

The [Career Equity Review](#) provides an opportunity for a faculty member to obtain an adjustment of step if there is evidence of lag behind colleagues who have demonstrably similar records of research, teaching, and service. This process may not address salary except as it is tied to step, but is important for correcting inequities that may have occurred at appointment or accumulated over a long period of time. The campus also may consider adjustments to the salary at the time faculty members are promoted to the rank of associate professor. Adjustments are made in light of data about average salaries at other leading universities. Faculty members whose salaries significantly lag the market in their field are the ones who will be most likely to receive an adjustment.

**V. Where to Go for Help**

**Department Members**

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Faculty in your field or department may be able to give you advice about journals, grants, meetings, and the department's expectations for tenure. Keep in mind that the first vote on your tenure case takes place within the department.

**Chair**

Make sure that the Chair knows what you are doing (research, articles submitted, meetings attended, invitations received). Keep the Chair aware of your progress, and get advice from him/her when you need it. While you will be well served by getting advice about promotion and advancement from a variety of sources, your department Chair should be the main source for information about your progress toward tenure.

**Dean**

If you think there is some problem in your department's treatment of you, you can go to the dean of your division or college. The Dean has to appraise your progress too, and so it is important that the Dean be aware of your situation. For example, if you think there is personal bias in the department, discuss the problem with the Dean. In some cases, your best allies are in adjacent departments or research units who report to the same Dean.

**[Vice Chancellor for Equity and Inclusion](#)**

This office provides a central location with a broad overview concerning issues of equity, inclusion, and diversity for the entire campus (students, faculty, and staff). Its primary mission is systemic and institutional change. It does not play a formal role in faculty cases (or compliance issues in general), but it does seek an understanding of what issues are present and how they manifest and play out, so that they can be improved upon. The Vice Chancellor is a Cabinet-level appointment, with full access to whatever is needed to advance the mission. It may be useful to engage with this office if you believe that something of interest to it is transpiring with you. The Vice Chancellor will offer advice and guidance as to what your best options are, and may help with interactions with other campus entities.

**[Associate Vice Provost for the Faculty](#)**

This office advises faculty on their academic personnel cases, prepares the written affirmative action plan for academic employees, and reviews key academic personnel cases. The Associate Vice Provost has access to all relevant personnel files and can provide information and advice regarding process issues affecting your case.

**[Faculty Ombudspersons](#)**

This is a committee of faculty members appointed by the Academic Senate, each of whom individually handles complaints regarding actions of other faculty, University officers, students, or staff. Appointments with the Ombudsperson can be arranged through the [Office of the Academic Senate](#).

**[Senate Committee on Privilege and Tenure \(P&T\)](#)**

If you think that your rights or privileges have been violated during the course of your review, you may file a grievance with this Committee. You will be asked to consult the Faculty Ombudsperson and Panel of Counselors before forwarding a case to the Committee on Privilege and Tenure. P&T will first conduct an informal preliminary investigation of the grievance and try to resolve the matter informally. If this is unsuccessful, P&T will then institute a formal procedure in accordance with [Bylaw 335](#). These procedures involve notifying the administration of the grievance and holding a pre-hearing conference with the grievant and the administration in an attempt to reach a settlement under the supervision of the Committee. If the matter cannot be resolved, P&T will conduct a formal hearing and will present a recommendation to the administration.

If you suspect you are being treated unfairly, utilize all the channels for informal inquiry available before submitting a formal complaint. People are inclined to be helpful on a voluntary basis, but are more likely to become defensive under outside scrutiny. Be judicious about your actions. The risk of both great expense and professional ostracism exists. Obtain advice from multiple sources before initiating formal action.

**[APPENDIX – Campus Resources for New Faculty](#)**

**[Vice Chancellor for Equity and Inclusion](#)**

**[Vice Provost for the Faculty](#)**

**[Faculty Mentoring – Equity and Inclusion](#)**

**[Family Friendly Policies](#)**

**[Faculty Guide to Campus Life](#)**

**[Office for Faculty Equity and Welfare](#)**

**[Housing Assistance](#)**

**[CALcierge Program](#)**