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## DEANS

### Re: 2020-21 Faculty Recruitment Authorization

Thank you for submitting your plans for 2020-21 faculty hiring as requested in my April 7th letter and sharing information on the current and future hiring priorities and constraints in your school or college. As you know, going into the new academic year, the campus faces significant uncertainty in our finances and enrollment, at a time when we were already adjusting to a shift toward slower enrollment growth and less access to increased revenue. In this environment, we must ensure that we are being fiscally responsible while continuing to meet the needs of our students, striving to maintain the size of our faculty, and achieve the mission of the University and our strategic plan goals. This continues to be an opportunity to renew and diversify our faculty across many dimensions. It is critical that you evaluate each hiring opportunity against the needs of the entire school or college and address both shifts in teaching needs and emerging and changing areas of research.

Despite the challenges and even in the face of today's headwinds, our collective prudence in managing faculty resources will permit us to continue evolving our faculty. Indeed, the current environment in higher education may yield unforeseen hiring opportunities and permit us to recruit top candidates more successfully than ever.

#### *Faculty Start-up Considerations*

Faculty start-up costs, including the provision and outfitting of space, has been and will likely continue to be a challenge for many units. First, thank you for submitting the start-up funding cashflow report showing the multi-year sources and commitments you have made to faculty hired in previous years. This tool was, and I believe will continue to be, helpful in assessing the capacity and planning each unit is doing to support faculty hiring. Partnerships between deans and departments are critical to fund start-up costs. I appreciate the approach that many of you are taking to address this challenge, including: generating and leveraging external resources in start-ups; thinking creatively about your core research facilities and equipment and how to provide incoming faculty with assurances about access to these existing resources while avoiding their duplication; reconfiguring and reimagining the use of existing space; and strategically investing one-time resources.

My decisions about start-up cost allocations for 2020-21 recruitments reflect both the history and current realities. On an annual basis, central campus sets aside approximately \$10 million for faculty start-up block grants. I am allocating approximately \$6 million to support proposed new recruitments and another \$4 million towards prior commitments, including accumulated start-up needs in several units. As always, after you have determined the resources you and your departments can muster in support of a hire, you may approach the provost to make the case for additional resources should they be needed. Though she will have limited funds for this purpose, I anticipate that Provost Croughan will want to know if some added assistance from central campus resources can help you succeed. Anyone approaching the provost with such a request should be prepared to demonstrate that all locally available resources, whether from college/school's or departmental reserves, have been exhausted.

We recognize that providing appropriate space is critical to successful faculty hiring. Executive Project Advisory Committees (EPAC) exist for those colleges and schools with considerable capital and space projects. I strongly encourage you to continue to work closely with Finance, Operations and Administration participants on the EPAC for your college or school on critical space needs related to faculty hiring and fully engage in this discussion as early as possible in the hiring process. If an EPAC has yet to be established for your school, please work with Capital and Space Planning to create one. We rely upon you to identify space, obtain estimates for any improvements to the space, and identify a fund source before an offer is transmitted to a candidate; your EPAC and the [Space and Project Needs Request](#) process can assist you with these efforts.

### ***Provost Approval of High-Cost Start-Up Offers***

As we recruit and develop start-up packages for new faculty hires, it is critical that we fully consider the potential financial commitment of the campus. It is in all of our best interest that the commitments we make to new faculty be achievable in a financially responsible and timely manner. Several years ago we implemented a requirement that the Office of the Provost review and approve any start-up package offer letter that meets either of the following criteria: 1) totals \$1 million or more; 2) may result in a significant renovation or capital need. I have found this opportunity to review high-cost start-up offers useful and will recommend that incoming Provost Croughan continue this practice. Assume that it continues unless you hear a communication to the contrary. Prior to negotiating with a candidate, or finalizing a negotiation if multiple iterations of the offer move it above the thresholds described above, please submit a draft of the start-up or resource letter with an explanation of your expected funding source and/or space plan to the Provost's Office. We understand that time is critical in these negotiations and promise expedited responses; I have often been able to respond almost immediately.

### ***Commitment to Diversity and Inclusive Excellence***

Building out our world-class faculty means not only providing new arrivals with the resources they need to set up their research programs, as described above. Each recruitment begins with the search process itself, and how we conduct searches has an immense impact on our university, as investing campus resources in faculty hiring can, when prosecuted with intention, catalyze transformational change. For example, given our global standing, our searches should have unlimited geographic reach.

With each hire you are re-creating the face of your department school or college—one that is decidedly also visible to prospective students and faculty applicants. The appendix accompanying this letter includes tables showing the demographics of your unit's ladder faculty, including its distribution by gender, age, and racial and ethnic diversity. I would encourage you review it with your faculty and elicit their reactions. While the campus has made some progress in diversifying its hiring, the advances are far from universally distributed and, to offer my frank assessment, progress in this domain has been disappointingly slow.

I therefore ask that you seriously discuss with your faculty the advantages of implementing the following practices to support diversity and commitment to inclusive excellence when preparing your search plans, writing the position descriptions and minimum criteria, and selecting recruitment committee members:

- taking pro-active steps to seek out candidates committed to diversity, equity, and inclusion – such as reviewing recent President/Chancellor's Postdoctoral Scholars (P/CPFP) – (see below),
- enhancing the use of required statements of contributions to diversity, equity, and inclusion (DEI) by asking the recruitment committee to score them with rubrics (examples can be provided by Academic Affairs),

- using advertising language that attests to our commitment to diversity, inclusion, and work-life integration (see “Advertising Suggestions” at: [http://academicaffairs.ucdavis.edu/diversity/equity\\_inclusion/index.html](http://academicaffairs.ucdavis.edu/diversity/equity_inclusion/index.html)),
- providing confidential advisors to all candidates to be interviewed, and
- crafting tentative offers that include participation in the [Capital Resource Network](#), [Partner Opportunity Program](#), and the Faculty Success Program offered through the [National Center for Faculty Development and Diversity](#).

Academic Affairs is in the process of revising existing tools, including those related to assessing current workforce goals provided by the National Science Foundation and other organizations representing professional school disciplines. To learn about your most current aspirational workforce goals, please connect with Steve Chatman, Manager – Institutional Academic Data, Academic Affairs, [spchatman@ucdavis.edu](mailto:spchatman@ucdavis.edu). Academic Affairs shares an unwavering commitment to diversity, equity, and inclusion in faculty recruitment, and will be reviewing your practices to ensure that sufficient attention is given to meeting these hiring aspirations throughout the hiring process. You will find helpful resources for increasing diversity on the [Academic Affairs website](#), including:

- the rationale for our use of statements of contributions to DEI,
- guidelines for writing such statements,
- information on participating in our [Advancing Faculty Diversity recruitment grant](#) for 2020-2021 (see below), and
- [Strength Through Equity and Diversity \(STEAD\)](#) faculty training for recruitment committee members.

### ***Hiring Support Programs***

The campus has a number of programs to support efforts to hire excellent faculty who will excel both in research, teaching our diverse student body, and public service. Often hires supported by these programs are beyond your annual authorization. In most cases these programs offer limited-term salary support for these hires. After that support expires your school or college is fully responsible for the costs of the faculty salaries. Generally, these hiring opportunities should be thought of as pre-hiring for future vacancies. It is important that when a school or college moves forward with these type of hires they are fully considering the future implications and obligations they entail. Descriptions of these programs follow.

#### [Advancing Faculty Diversity Grant](#)

In 2019-2020 our campus received a two-year grant from the UC Office of the President (UCOP) to adapt many of the promising practices we learned from our [2018-2019 Advancing Faculty Diversity grant](#) and try to modify and integrate them in last year and next year’s faculty searches. This grant, like our earlier one, provides funds to support participating searches (e.g., costs for broad advertisement, confidential advisors, Capital Resource Network Services, and enrollment in the National Center for Faculty Development and Diversity’s Faculty Success Program). Please visit the [website](#) for additional information about participating.

#### [CAMPOS/CAMPSSAH Scholars](#)

To help you accomplish our imperative to hire faculty committed to inclusive excellence and further our national and international prominence as a research university, we have opportunities to support hires as part of the [CAMPOS](#) and [CAMPSSAH](#) initiatives in the Office of Diversity, Equity, and Inclusion.

### Postdoctoral Fellows

Hiring opportunities related to the President's/Chancellor's Postdoctoral Fellowship Hiring Incentive Program should also be considered before initiating searches. The UC Office of the President provides five years of salary support for a limited number of these positions systemwide (amount varies each year, but is approximately \$85,000 per position annually). Read more about this program at the [UCOP](#) and [UC Davis](#) sites. In recent years, this program was expanded to provide eligibility for ladder rank hires in the health sciences. Academic Affairs supports the nomination process between UC Davis and UCOP and can provide assistance and information about the program.

### Partner Opportunity Program and the Capital Resource Network

Additionally, we often have been able to hire excellent faculty as Partner Opportunity Program (POP) candidates. It is my expectation that Vice Provost for Academic Affairs (VP-AA) Phil Kass will work with you on any POP candidate opportunities that arise during the course of other faculty recruitments. Campus support for POP candidates is negotiated on a case-by-case basis, and there is an expectation that deans significantly share the cost of these positions, including compensation and start-up funding. More information about POP, including search waiver and appointment processes, is available [here](#).

Please also strongly consider utilizing the Capital Resource Network (CRN) program as part of the support you provide to all newly hired faculty to help their transition/move to UC Davis and the region and overall "integration" to our community. The CRN supplements the dual-career needs, especially for those partners who are not seeking a ladder-rank faculty position at UC Davis. To discover the many ways that CRN can be an important component in a recruitment package, even as early as the interview stage, please visit the website [here](#). Participation in the [2019-2021 Advancing Faculty Diversity recruitment grant](#) provides CRN services at no cost to deans.

### Target of Excellence

Some of you have taken advantage of the Target of Excellence (TOE) Program to bring to campus prominent scholars of the highest distinction who would be expected to rise to the top of an open faculty search. If you have such a hire in mind, information on the program is available [here](#) and you should work closely with VP-AA Kass, who can guide you through the search waiver and appointment process that includes consultation with Academic Senate committees. Before final authorization for a TOE hire is given, you and the Provost meet to confirm your ability to fund the hire. Campus financial support for TOE candidates is extremely rare. In the current environment, TOE recruitments should be thought of as an alternative process to meet your authorized hiring (i.e., search waiver), and not an opportunity to increase your total level of hiring. Only in very special circumstances would we approve a TOE as an additional hire.

### ***Faculty Recruitment Support***

Our campus has many tools at its disposal to help us attract and support new faculty members and their families. Ladder-rank and L/P/SOE faculty are all eligible for the [Mortgage Origination Program \(MOP\)](#) (100% time positions), [POP services](#), allowable removal expenses, and a recruitment allowance. Academic Affairs has updated their [Professor of Teaching/LSOE Resources website](#) due to the recent changes to [Academic Personnel Manual 285, Lecturer with Security of Employment Series](#). Moreover, UC Davis offers exceptional opportunities and programs for [work life integration](#) and additional services such as integrating into the locale and additional dual career services in the region (through the [Capital Resource Network](#)). Please encourage your department chairs to become fully informed about these programs, which can give our campus a competitive edge in competing for top academic talent.

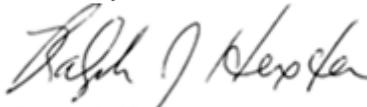
***Recruitment Authorization***

All recruitment activity is to be conducted in accordance with academic personnel policies and procedures as overseen by the Vice Provost of Academic Affairs. My recruitment decisions, provided in the attachment, balance the overall context described above and the specific needs of your college or school.

The attachment provides the specific faculty recruitment authorization and start-up block grant for your school or college.

Thank you for your leadership and continued effort bring excellent and diverse faculty to UC Davis.

Sincerely,



Ralph J. Hexter  
Provost and Executive Vice Chancellor

Attachment

c: Provost Designate Croughan  
Vice Provost Kass  
Senior Associate Vice Chancellor Frace  
Assistant Vice Provost Singh  
Assistant Vice Chancellor Mangum  
Director Carbahal  
Assistant Director Carney  
Principal Budget Analyst Lewis  
Principal Budget Analyst Martin  
Principal Budget Analyst Willoughby  
Principal Budget Analyst Ockenden  
Budget Analyst Udahl  
Assistant Deans