Faculty Upgrade Request Overview

Upgrade Level

High Assistant/Associate Professor

For use when need someone is needed with a well-established record of successfully attracting extramural funding and can immediately be competitive for future funding. Situations may include: taking over someone else’s ongoing research, competing for large grant(s) requiring someone with expertise, or taking advantage of new funding opportunities.

Significant competition is expected but with potential applicants at the Associate level an open search is not necessary.

The mitigating factors section should provide assurance that candidates at the Assistant level will be seriously considered, or the self-analysis should cite recent upgraded searches where the top candidate was a person at the Assistant level.

Associate/Full Professor

Leadership is needed that can be met at either level

Endowed chair that can be filled at either level

Full Professor

(note: in explanation include why the Associate Professor rank is not applicable)

Endowed Chair requiring someone exclusively at the full professorial level

Replacement of a disciplinary/department leader

Need for full Professors to effectively mentor, guide and potentially collaborate with departmental faculty in lower ranks.

Open Ranks

An open search is best where there has been difficulty in attracting applicants,

Usually a multi-year search with no to only a few applicants each year

A failed search due to low applicant numbers

A new search where the department has surveyed potential applicants at the junior and senior levels, and difficulty in attracting applicants is expected. This situation may be exacerbated where unusually high competition is expected, such as a high number of searches occurring at the same time at peer institutions.
Reason – (Note: the explanation section should include all relevant information)

Endowed Chair – only the name of the Endowed Chair is needed (the workforce self-analysis and mitigating factors sections still need to be filled out).

Leadership – explain the reasons why leadership is needed

Include why someone else in the unit and/or on the campus cannot provide the leadership

Add any unusual positive or negative impacts if leadership is not provided (loss of funding, initiative agreement between units)

Established researcher – explain why an established researcher is needed, what positive or negative impacts will accrue if not filled

Difficulty in attracting applicants - this can be based on either searches from prior years failing to attract ample applicants at the Assistant level or in the case of very specialized areas in the School of Medicine and in the School of Veterinary Medicine may be a priority.

The situation can also occur where a survey of potential applicants has been made at the Assistant and higher levels which indicates there will be difficulty in attracting applicants, in such a case please provide the names of potential applicants when available or suitable analysis if names are not available.

Difficulty can also arise where there is an unusually large amount of competition, in such a case a survey of potential applicants should also be provided.

Other reason – Deans’ Offices can be used as resources for what issues will need to be addressed if this category is used.

Workforce Self-Analysis – The self-analysis should review the department’s diversity and the reasons surrounding the current composition. Reasons may be recent efforts to diversify the faculty, diverse hiring but at a slow rate, or a need to increase outreach efforts to traditionally underrepresented groups. The self-analysis can include the following elements:

Faculty primarily in another unit and not “officially” counted as part of the department are still part of the department and add to the faculty’s diversity

Failed offers to candidate that would have added diversity

Recruited candidates that will be starting in the future

There are, however, areas of discussion that can be misleading:

Difficulty attracting diversity in the field should only be used as a reason if it can be supported with a national perspective. Ensure that perceptions agree with system-wide trends (http://www.ucop.edu/academic-personnel/data-and-analysis/incumbent-faculty-
and why competitive issues fundamentally differ from the rest of the campus.

Diversity can be especially difficult in narrow fields: a common example is emphasis on mathematics-related skills. This can be used to explain recent hiring trends and even expected difficulty, but is not a reason that diversity cannot be achieved. UC Davis does experience success even in difficult recruiting fields.

Mitigation of factors negatively impacting achievement of diversity – This section can be used to explain what mitigating actions will be undertaken by the Search Committee. The need for such actions can arise from the level of the search where difficulty in hiring diversity is expected (senior hires), or where the self-analysis indicates that the University is currently not competitive in appealing to traditionally underrepresented groups. If mitigation is relevant then the various following items can be discussed:

- Contacting colleagues to identify diverse candidates and further efforts to follow up on any leads (further contact, attending national talk by person)
- Advertising venues
- Search Committee diversity

Planned outreach to traditionally underrepresented groups - Building diversity in our faculty is a high priority for UC Davis, and national data consistently indicate that recruitment pools are more diverse at early-career ranks than senior ranks. Accordingly, extra effort is needed to build diversity of the applicant pool when recruiting faculty above the Assistant level. To support an upgrade request, departments must include a list of at least eight women and/or members of under-represented groups who would be attractive recruitment targets for their faculty position. Moreover, each person on that list must should be contacted personally, and strongly encouraged to apply, by the department