

GUIDELINES FOR DEPARTMENT/CHAIR & SCHOOL/DEAN 5-YEAR REVIEWS
UC San Diego Health Sciences
Supplement to PPM 230-2, rev. 10/2023

At the University of California, Department Chairs and School Deans are appointed for a maximum term of 5 years by the Chancellor. These positions, like all administrative positions are considered “at will.” Continuation in the position requires a formal review during the last year of service. At UC San Diego Health, this review combines evaluation of both the Chair/Dean and the department/school. Since the review includes personnel issues related to the individual’s performance as Chair/Dean, University policies consider the review components regarding the Chair/Dean, and the related written report to be confidential. As such, the report may not be shared with any individuals not involved in the review process without the chair’s permission.

The purview of the 5-year review process will fall under either the SOM Dean or the Vice Chancellor Health Sciences (VCHS) depending on if the entity undergoing a review is a SOM Department or Health Sciences (HS) School.

The SOM Dean/VCHS leadership monitors the 5-year review cycle and as the time for review approaches, will reach out to the individual Chairs/Deans to confirm the continuation of their appointment. If a decision is made that the Chair/Dean will not continue in their leadership position, then will to move forward with a recruitment.

A. Meeting with the Chair/Dean

Once a decision is made for continuation of appointment of the Chair/Dean, HS Academic Affairs leadership and staff will meet with the Department Chair/School Dean and their administrative staff who may assist with the review process, to explain the goals of the review in detail, and begin to determine possible dates for scheduling the review meeting. This is typically 9 – 12 months prior to the formal review.

The review will take place during the 5th year of the current appointment period. The negotiation for various resources for the Chair/ Dean and their respective Department / School, with senior HS leadership, is fully independent of the 5-year review process and would occur following completion of the HS review, and once continuation of the Chair/Dean’s position has been formally recommended by the Chancellor.

B. Review Committee

Leadership of HS Academic Affairs will submit a request with suggestions for Review Committee membership to the Divisional Academic Senate Committee on Committees (CoC); the CoC will respond with a list of official nominations. HS Academic Affairs will appoint a Review Committee of 6-8 members, at least half of which (including the Committee Chair) shall come from the slate nominated by the CoC. Outside of the CoC slate, one non-UC San Diego faculty member, preferably a present or past Chair/Dean in a similar department/school from another UC campus, will be selected. If possible, at least one member of the previous Department/School Review Committee (or Chair of the Search Committee which participated in appointment of the Chair/Dean) will be included. **No members of the Department/School being reviewed, or current chairs/deans will be included on the Review Committee.**

Additional information on 5-Year Review Committee Membership & Eligibility can be found in the [Committee Instructions document](#) (see Section B).

C. Department/School Self-Assessment

Directly following the initial meeting with the Chair/Dean, the Department/School will identify a senior salaried faculty member in the Unit under review, whose sole role is to collaborate with HS Academic Affairs in conducting a self-assessment of the Unit. This senior faculty member is separate from the Review Committee and will act as a the Department/School representative in collaboration with the VCHS-AA staff conducting the self-assessment and as a contact for department/school members who have questions, comments or concerns. Once this senior faculty member is identified, the self-assessment process should take no more than 6 weeks – 2 months from start to finish.

In a cover letter to the individuals being polled, the faculty contact will make it clear that those contacted are requested to fill out the survey but can also provide information directly to the senior faculty contact or alternatively, send a written comment or request a meeting with the review committee. In-person requests for meeting with the committee will be accommodated if the schedule allows.

The anonymous self-assessment will involve soliciting input from a salaried/non-salaried faculty, academics (Project Scientists, Research Scientists and Specialists

and administrative), and trainees. The department/school may add: 1) staff (e.g., clinical, research) and 2) MSP physicians to the self-assessment at their discretion.

The self-assessment is conducted as an anonymous survey that will use a standard template established by HS Academic Affairs. The coordinating senior faculty member will have the ability to add 1 – 3 additional questions to the template and will work with the department/school business officer in confirming the groups who will be solicited. HS Academic Affairs will contact the VCHS Business Intelligence team who will provide the contact information for individual members of the identified groups. The goal of the self-assessment is to encourage the polled recipients to comment on what they consider to be strengths and weaknesses of the Department/School, the effectiveness of its Chair/Dean, and the ability to provide any additional comments relating to the operations of the Department/School. Once initiated, the self-assessment will be open for two weeks with additional time added based on the response rate.

The results of the self-assessment will be aggregated by HS Academic Affairs and then forwarded to the coordinating faculty member who will summarize the results in a letter addressed to the department chair/school dean, noting key trends or comments which resulted from the survey.

As discussed below, as part of the Chair/Dean's cover letter for the overall report, the Chair/Dean should address any of the data from the self-assessment, as desired. The aggregated survey results, the summary letter from the senior faculty member, and the Chair/Dean's response should all be included in the department/school report (See Section D.2).

Optimally, the self-assessment results and summary letter should be provided to the Chair/Dean, 3 months in advance of the scheduled review committee meeting.

D. Department/School Report

The Department/School will prepare a report for the Review Committee following the outline below. Although there are required elements each department/school can include additional materials as desired. If a department/school has questions about the composition of the report, HS Academic Affairs leaders can be contacted and discussion with other departments/schools and their Chairs/Deans who have recently participated in a review, is encouraged.

Departments/Schools and their Chairs/Deans should note that this report should be tailored to allow the review committee to have a readable and complete document providing all the information as detailed below. This document should facilitate the review process and not be presented as marketing material.

All materials should be assembled in a PDF file with a table of contents that is bookmarked for easy navigation. A draft PDF must be provided to HS Academic Affairs at least **3 months in advance of the scheduled review committee meeting** so that HS Academic Affairs can review the report and recommend additions and revisions to facilitate completeness and clarity for the review committee.

The final copy of the department/school report will then be sent to the Review Committee members for their own pre-review, prior to the committee meeting. Optimally the review committee should have this version of the report available at least 4 weeks prior to the committee meeting as they may request additional information from the department/school. This will enable the most comprehensive review of the department/school and its Chair/Dean, and ideally prevent requests from the committee being made of the department/school during the actual committee meeting.

When finalized, 1 hard copy should be provided for use by the committee during its meeting. Department/School will work with HS Academic Affairs in delivering the hardcopy 1 week prior to committee meeting dates.

Requirements for the Department/School Report: Please follow the format below when creating the department/school report.

N.B. – suggested maximum page limitations are provided in each section below.

1. Chair/Dean Cover Letter (5 pages or less): The letter should provide:
 - i. A summary of the accomplishments in the current 5-year term
 - ii. An overview of the goals and metrics for success in the next 5-year term as noted in the appointment letter and/or as agreed upon in communication with the SOM Dean/VCHS.

- iii. The Chair/Dean's vision or mission statements. This can be useful for the review committee when making recommendations in the final report to the SOM Dean/VCHS.
 - iv. Chair/Dean response to the aggregated/anonymous self-assessment results and summary comments from the senior faculty member (see page 7-8, Section C).
 - v. The Department/School's plan for succession in the event that the Chair/Dean becomes incapacitated or is unable to continue as Chair/Dean.
 - vi. Add a quick summary of space needs if desired (e.g., 2 – 3 sentences, floor maps and/or other images are not required and are generally not helpful).
2. Department/School Self-Assessment (2 pages + survey results): Insert the summary comments from the coordinating senior faculty member, and a copy of the survey results.
 3. Department/School Organization (2 pages for summary; org charts are in addition to summary): Include a summary of the department/school organization and administration as well as an organizational chart of department/school leadership, divisions, committees, and other applicable groups. The summary should include the term of each individual listed in the chart, name, and degree (if applicable) of the incumbents.
 4. Salaried Faculty & Academics (2 pages for summary; lists below are in addition to summary):
 - i. Provide a list of current salaried faculty and academics within the department/school. The list should include academic titles, rank, step, and contact information (email address).
 - a. CVs or NIH Biosketches for each faculty member can be included in a separate PDF, organized by Department or Division (as appropriate) and in alphabetical order. This is not a required item for the review process.
 - ii. Provide a list of salaried faculty who have separated from the department/school during the last 5 years, with current institutions/appointments, addresses, and emails.
 - iii. Include a list of endowed chairs in the department/school with the name, academic title, rank, and step of the incumbent.

5. **Education Enterprise (3 pages; lists below are in addition to summary):**

Provide a description/summary of the education programs offered by the department/school. This should include brief descriptions of medical student core and elective courses or other relevant educational sessions; undergraduate student and graduate student courses; residency program(s), fellowship programs, and postgraduate research trainings. Education programs should be organized by Department or Division if appropriate.

- i. Teaching Program(s): In addition to the summaries and lists of teaching programs (above), evaluations of the courses and training programs from internal UC San Diego committees and external review bodies should be provided, for the past 5 years.
- ii. Schedules of Grand Rounds or other major departmental conferences over the past 5 years should also be included.

N.B. a simple list of conference titles, dates, and times as well as recurring Grand Round schedules will be sufficient.

- iii. Residency Program(s): Include a list of graduates with their current positions, board certification pass rate and most recent residency matching results for the past 5 years.
- iv. Fellowship or Postgraduate Program(s): Include a list of the fellowship and postgraduate research training programs, by division if appropriate. Include a list of graduates with their current positions, board certification pass rates for the past 5 years.

N.B. The Vice Dean of Medical Education will be providing a summary of the education programs for the SOM departments. This will include information over a 5-year period for core clerkship and electives, committee service in education, summary ACGME information, program accreditation overview, etc. This document will be furnished directly to the review committee for use in addition to this summary.

6. **Clinical Enterprise (3 pages for summary; key metrics, and applicable milestones. are in addition to summary)**: Include a summary of all clinical functions of the department/school (if applicable). Provide key metrics of the clinical enterprise from the last 5 years as well as relevant clinical volume, quality metrics, new program listings or changes in programs, and certification documents (by Department or Division if appropriate).

N.B. Clinical financial metrics should be included in #7: Financial Information (see page 7, item #7. i.1) and are optional for the Clinical Enterprise summary.

7. **Research Enterprise (3 pages for summary; lists below are in addition to summary)**: Provide a summary of all research activity in the department along with research productivity of departmental faculty Funding List: (by Department or Division if appropriate): all current federal and non-federal contracts and grants, Academic Senate grants, and gift support should be listed. Include faculty participation in extra-departmental grants and contracts, and departmentally supported research projects without external support as applicable. Dollar amounts (direct and indirect total amounts) and role of faculty member (e.g., PI, Multi-PI, co-investigator, etc.) should be included.

- i. Research Productivity: May provide lists of publications (bibliographies of faculty (listed alphabetically) over the last five years, can be included as desired.

8. **Financial Information (2 pages)**: The SOM Office of Business Affairs, or HS Administration respectively, will provide summary information of the Department/School finances (by Department or Division if appropriate) to the Chair/Dean to be included in this Department/School report. Please elaborate on the following information covering the 5-year period under review:

- i. Revenue
 1. Clinical
 - a. Practice income, Medical Center support, ASCs
 - b. VA
 - c. Other
 2. Research
 - a. Salary support
 3. Non-Payroll

4. School or Health Sciences support (if applicable) – approximate value of FTEs and other support provided by the School (e.g., development funds)
 - ii. Expenses
 1. Faculty salaries
 2. Staff salaries
 3. Other
 - iii. Philanthropic goals
9. **Diversity Statement (1 page):** Provide a statement about departmental/school goals and progress in diversifying faculty and staff.

N.B. The VCHS Office of Faculty Affairs will provide a comprehensive analysis of department/school diversity for the 5-year period under review that will be furnished directly to the review committee for use in addition to this summary.

10. **Additional Information Specific to the Department/School:** Additional information can be included in the report after the above required elements (see Section D) if the department/school finds it essential to facilitate the review. It is recommended that additional items be included via an addendum to the main department document.
11. **Outside Department Evaluations:** Please provide copies of any UC San Diego or outside agency reports that have evaluated the department or any of its programs in the last 5 years. While this would include residency review committees, the portion of LCME reviews pertinent to the department, core curriculum committee or electives committee reviews of courses, JCAHO site visit reports, etc. **These evaluations can be included in appropriate sections as applicable – e.g., education, clinical sections, etc.**

All pictures and tables should be informative for the committee. They should be easily readable when printed (and not only on screen), and include a description, title, and legend (if applicable).

E. Soliciting Comments from Health Sciences Faculty

HS Academic Affairs will solicit comments of the department/school and performance of the Chair/Dean from all HS faculty and leaders via 2 email announcements 4 - 8 weeks prior to the planned review meeting. This additional confidential material will be available only to members of the Review Committee. Respondents to these emails may also request a direct meeting with the committee and will be accommodated as possible.

F. Review Committee Meeting

Members of the Review Committee meet in person for interviews and executive sessions. The meetings begin with an orientation and charge by the SOM Dean/VCHS, HS Academic Affairs leadership, and committee support staff.

A schedule of interviews will be prepared by HS Academic Affairs, with input from the Chair of the Review Committee. Any HS member, Department Chair/School Dean, or other administrative officer may request an interview which will be accommodated if the schedule allows. The list of interviewees will remain confidential, and available only to the Review Committee.

Additional information on the Expectations for the Committee Meeting can be found in the [Committee Instructions document](#) (see Section C).

G. Review Committee Report

It is expected that the Review Committee will prepare a draft report and provide verbal recommendations to the SOM Dean/VCHS during a debrief meeting scheduled at the end of the committee meeting. If needed, however, the committee may decide to extend the review and hold additional meetings, or gather additional information, in a timely manner.

The verbal and written report should provide a summary of the Committee's findings and conclusions about the status of the department, specific recommendations concerning its future, and the recommendation of the Committee regarding reappointment of the Chair/Dean.

The Committee should also make specific suggestions and recommendations pertaining to the chair's performance, which should remain confidential.

The Committee Chair will be responsible for preparing the final version of the report from the data provided to the Chair by the committee members. HS Academic Affairs will review the draft report from the committee to ensure that it is appropriately redacted for confidentiality of the participants, and will make suggestions to the committee if the format or data provided in the report needs revision.

The final report will be electronically transmitted securely to the individual Chair/Dean under review, and the SOM Dean/VCHS. HS Academic Affairs will take all necessary steps to keep the committee report and recommendations confidential.

Additional information pertaining to Writing Committee Recommendations/Report can be found in the [Committee Instructions document](#) (see Section G).

H. Recommendations/Reappointment of the Chair

After the final Review Committee report has been transmitted to the Chair/Dean and SOM Dean/VCHS, a meeting will be coordinated by HS Academic Affairs, with the Chair/Dean, SOM Dean/VCHS, and HS Academic Affairs leadership, and committee support staff, to discuss the report.

Following this meeting, the Chair/Dean will be given the opportunity to prepare a response to the report which should be brief **(1 page)**.

The final report, Chair/Dean's response, and recommendation from the SOM Dean/VCHS for the continued appointment of the Chair/Dean, are then forwarded to Academic Personnel Services on Campus. The documents are sent to the Divisional Academic Senate Committee on Academic Promotion (CAP) for comments. The documents, including the CAP comments, are then forwarded to the Chancellor for final review/approval. Though rare, the Chancellor may wish to meet with the Chair/Dean prior to making a final decision.

Once the Chancellor's final decision has been made, the SOM Dean/VCHS will consult with the Chair/Dean concerning appropriate dissemination of the results of the review. Typically, the SOM Dean/VCHS will work with the Chair/Dean to have a

meeting with the Department/School to discuss the main results of the Departmental /Chair (or School/Dean) review.