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220-0 **Policy**

The policy on appointments in the Professor series is found in the Regents' Policy on Funding of Regular Ranks Faculty Appointments, approved on November 19, 1971, and amended on September 22, 2005, quoted in part below:

> Appointments in the Professor Series are for duty in departments of Instruction and Research, or in equivalent administrative units (e.g., colleges and divisions) with combined instruction and research functions. Any exception to this rule must be approved by the President.

(The full text of this Regents' policy is set forth in APM - 220, Appendix A.)

220-4 **Definition**

a. The professorial series is used for appointees who are members of the faculty of an academic or professional college or school of the University who have instructional, as well as research, University, and public service responsibilities.

b. Persons appointed to titles in the Professor series form the "regular ranks" faculty of the University. This series is distinct from the following series:

Acting Professor series
Adjunct Professor series
Health Sciences Clinical Professor series
Professor in Residence series
Visiting Professor series
Professor of Clinical _____ series

220-8 **Types**

a. Titles (and ranks) in the Professor series are:

(1) Instructor

(2) Assistant Professor

(3) Associate Professor

(4) Professor

b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the four ranks above, if the individual's immediately previous status was:

(1) not in the employ of the University; or

(2) in the employ of the University but not with a title in this series.

c. A *promotion* is an advancement from one rank to a higher rank within this series, usually the next rank as listed above. A change from a title in another series to a title in this series (possibly involving an increase in salary) is not defined as a promotion or merit increase, but as an appointment.

d. A *merit increase* is an advancement in salary step or to an above-scale salary rate without change of rank and is dealt with in APM - 615.

e. The term *reappointment* is used for the renewal of a previous appointment immediately following the ending of the previous appointment in this series. A reappointment may or may not be accompanied by a promotion or merit increase.

220-10 **Criteria**

A candidate for appointment, merit increase, or promotion in this series shall be judged by the following criteria:

a. Teaching

b. Research and creative work

c. Professional competence and activity

d. University and public service

An explanation of these criteria is set forth in the Instructions to Review and Appraisal Committees (see APM - 210-1) as issued by the President.

Appointment to a part-time position with a title in this series shall require the same qualifications as for a full-time appointment, provided, however, that in the case of an appointment on either a full-time or part-time basis of one who has previously served elsewhere as a faculty member on a part-time basis, the principles expressed in the following paragraph shall apply in evaluating the candidate.

Advancement of a part-time appointee with a title in this series shall depend on quality of performance at a level of distinction comparable to that demanded of a full-time appointee, although, when circumstances warrant, a lesser rate of scholarly accomplishment or an extended time frame for review will be acceptable. For appointees at the Assistant level, the eight-year limitation of service (APM - 133) still applies. Teaching assignments and departmental, committee, and other service are to be kept in proportion to the percentage of time of the assignment, but the same quality of performance is expected as for a full-time appointee. For guidelines on part-time appointments to accommodate family needs, see APM - 220, Appendix B.

220-16 **Restrictions**

The following restrictions apply to use of titles in this series:

a. An appointment or reappointment to the title Instructor or Assistant Professor must be for a specified term and may not be for an "indefinite" period.

b. "It is the policy of the University of California that no appointment shall be made to a title in the Professor Series (i.e., to any of the titles Instructor, Assistant Professor, Associate Professor, and Professor) unless there is an appropriately budgeted provision for the appointment." The foregoing is a quotation from the Regents' Policy on Funding of Regular Ranks Faculty Appointments, approved on November 19, 1971, and amended on September 22, 2005. This same Regental policy statement authorizes the President to make certain specified exceptions. The full text of this statement which includes the listing of the permissible exceptions is set forth in APM - 220, Appendix A.

c. An appointment is normally for full-time service to the University under the title in question, although there may subsequently be a temporary reduction in the percentage of time of the appointment by agreement between the appointee and the University. Full-time appointees with a temporary reduction in the percentage of time of an appointment will return to full-time service at the end of the agreed-upon period of temporary reduction. The period of temporary reduction in percentage of time of an appointment shall be set forth in a memorandum of understanding (see APM - 220-16-d) and may be shortened or extended by written agreement between the appointee and the University. Members of the Health Sciences Compensation Plan who reduce the percentage of their appointment remain under the same terms of the Plan during the period that their appointment is reduced (see APM - 670).

d. An initial appointment for less than full-time service with a title in this series may be authorized under appropriate circumstances, provided that the Chancellor specifically approves the arrangement as being in the best interests of the University. Such part-time appointments will ordinarily be limited to cases in which the professional commitment is to the University. In the rare case of a part-time appointment of an individual with a professional commitment other than the one to the University, the Chancellor must be assured that the appointee will fulfill all the obligations entailed in the University appointment.

When an appointment for less than full-time service is approved, the University is not obligated to increase the percentage of time of the appointment, even if the appointee and the department should desire such an increase in the future.

An initial part-time appointment to the rank of Associate Professor or Professor or subsequent promotion to one of these ranks on a part-time basis shall be subject to the provisions which apply in the case of a full-time appointment; and the appointee shall execute a memorandum of understanding agreeing that the tenure status and other benefits of the appointment as described below are limited to the specified percentage of time. The memorandum of understanding also shall specify expectations as to workload, productivity, reviews, and any other applicable conditions of the appointment. A copy of the memorandum of understanding should be included in the personnel review file.

The memorandum of understanding shall be set forth in a letter from the Chancellor advising the individual that the part-time appointment is subject to the specific understanding that there are no implied rights to a full-time tenure appointment; and, further, that the rate at which credit for University service accrues for various University fringe and retirement benefits as well as related academic privileges will likewise be affected. The individual shall be asked to sign and return a copy of such letter to indicate consent.

A voluntary permanent part-time appointment or a voluntary temporary reduction by an appointee in the percentage of time of the appointment shall be subject to the same restrictions stipulated above for an initial part-time appointment.

In addition, a permanent change to a part-time appointment, or a temporary reduction in percentage of time of a full-time appointment, may be granted to accommodate family needs as defined in APM - 760. For guidelines on part-time appointments and reduction in time of appointment to accommodate family needs, see APM - 220, Appendix B.

Membership and voting privileges in the Academic Senate for part-time appointees to this series are the same as for full-time appointees.

e. Promotions and merit increases may be made only within the limits of available funds.

220-17 **Terms of Service**

a. **Instructor**

An appointment is limited to a maximum of a one-year term. The appointment may be made for a shorter term. Reappointment for one additional term of not more than one year may be approved. The total University service as Instructor may not exceed two years.

b. **Assistant Professor**

Each appointment and reappointment is limited to a maximum term of two years. The total University service with this and certain other titles (see APM - 133-0-a and 133-0-b) may not exceed eight years except as provided in APM - 133-12-b and 133-12-c.

The appointment or reappointment of an Assistant Professor may be for a period of less than two years only under the following circumstances.

(1) An appointment or reappointment with an effective date other than July 1 shall normally end on the second June 30 following.

(2) A promotion or merit increase may become effective before the end of a two-year term, but such advancement shall mark the beginning of a new term of appointment.

(3) When the status of an Acting or Visiting Assistant Professor is changed to Assistant Professor during a given year, the term of the new appointment shall normally end on the second June 30 following.

(4) A terminal appointment for an Assistant Professor may be for a term of less than two years provided adequate notice has been given, as stipulated in APM - 220-20-c.

c. **Associate Professor and Professor**

(1) Section 103.9 of the Standing Orders of The Regents provides:

> All appointments to the positions of Professor and Associate Professor and to positions of equivalent rank are continuous in tenure until terminated by retirement, demotion, or dismissal. The termination of a continuous tenure appointment or the termination of the appointment of any other member of the faculty before the expiration of the appointee's contract shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

(2) The normal term of service as Associate Professor is six years, but there is no obligation on the part of the University to promote an Associate Professor to the rank of Professor solely on the basis of years of service at the lower rank. Accelerated promotion is possible if achievement is exceptional.

d. **Effective Date and Beginning Date of Service**

(1) The effective date of an appointment is the initial date of the new status for payroll or other recordkeeping purposes and indicates the first day on which salary or change in rate of salary commences.

(2) The effective date of a promotion or merit increase is normally July 1. However, exceptions may be approved by the Chancellor, subject to the provisions of APM - 220-24.

(3) The beginning date of service for a new appointee or of service in a new status for a continuing appointee is the first day on which the individual is required to be on duty under the terms of the appointment or new status. This date may be different from the effective date for an academic-year appointee paid in twelve installments. For example, for a new appointee serving on a nine-month basis, the effective date of the appointment will normally be July 1 and the beginning date of service will normally be the first day of the Fall Quarter or Semester.

220-18 **Salary**

a. Authorized salary scales established for this series are issued by the Office of the President.

b. Normal Periods of Service

The normal periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit, or more gradual advancement when warranted. Personnel reviews that are deferred due to a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. The file shall be evaluated without prejudice as if the work were done in the normal period of service and so stated in the department chair's letter.

(1) Instructor: Service in the rank of Instructor is limited to two years.

(2) Assistant Professor: The total period of University service in the title Assistant Professor, or in this and certain other titles (see APM - 133-0) shall not exceed eight years, except as provided in APM - 133-12. The normal period of service at a given step in this rank is two years. The first four steps in rank and corresponding salary levels are for normal use. Steps V and VI may be used in exceptional situations and with proper justification. Service at Assistant Professor, Step V, may be in lieu of service at Associate Professor, Step I, for which the published salary is slightly higher. Likewise, service at Assistant Professor, Step VI, may be in lieu of service at Associate Professor, Step II.

In those instances of service at Assistant Professor, Step V, followed by service at Associate Professor, Step I, the normal period of combined service with both titles at the steps indicated is two years. The same normal two-year period of combined service applies when service at Assistant Professor, Step VI, is followed by service at Associate Professor, Step II.

(3) Associate Professor: The normal period of service in the rank of Associate Professor is six years. The normal period of service at any one of the first three steps of the rank is two years. Steps IV and V may be used in exceptional situations and with proper justification. Service at Associate Professor, Step IV, may be partly or entirely in lieu of service at Professor, Step I, for which the published salary is slightly higher.

Likewise, service at Associate Professor, Step V, may be partly or entirely in lieu of service at Professor, Step II.

The normal period of service at Associate Professor, Step IV, is three years if such service is fully in lieu of service as Professor, Step I. In those instances of service at Associate Professor, Step IV, followed by service at Professor, Step I, the normal period of combined service is three years. The situation for Associate Professor, Step V, and Professor, Step II, is exactly analogous to that for Associate Professor, Step IV, and Professor, Step I.

(4) Professor: The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service. Above and beyond that, great academic distinction, recognized nationally, will be required in scholarly or creative achievement or teaching. Service at Professor, Step VI or higher may be of indefinite duration. Advancement from Professor, Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after less than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Those Professors who are on the special Law School scale that has nine steps for the range are subject to the same criteria as Professors as outlined above.

Advancement to an above-scale rank involves an overall career review and is reserved only for the most highly distinguished faculty (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur after less than four years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most

superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved.

220-20 **Conditions of Employment**

a. Appointments to the ranks of Instructor and Assistant Professor are for stated terms. Continuance beyond such a term requires reappointment subject to the conditions stipulated in APM - 220-17 and 133-0. The department chair shall so inform the appointee in writing.

The termination of the appointment of an Instructor or Assistant Professor before the expiration of the contract shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate. (This is as stipulated in Section 103.9 of the Standing Orders of The Regents, which is quoted in APM - 220-17-c(1).)

b. An appointee holding the rank of Assistant Professor is a candidate for reappointment, as well as merit increase and eventual promotion. However, there can be no assurance of such reappointment, merit increase, or promotion. Decisions about retention and advancement of the appointee are based on careful reviews of the appointee's progress, promise, and achievement and may be affected by fiscal and programmatic considerations. See APM - 220-80, 220-82, 220-83, 220-84, and 220-85 for details about the processes of review. Concerning fiscal or programmatic considerations, see APM - 220-84-d in particular.

c. When an appointment as Instructor or Assistant Professor is not to be renewed, written notice shall be given by the Chancellor in advance of the expiration date in accordance with the following schedule:

(1) With less than one year of University service by the end of the current period of appointment: at least a four-month notice.

(2) With at least one complete year of service and not more than two years of University service by the end of the current period of appointment: at least a six-month notice.

(3) With more than two years of University service by the end of the current period of appointment: at least a twelve-month notice.

The Chancellor shall retain in the files a copy of the notice letter.

d. Appointments to the ranks of Associate Professor and Professor are continuous in tenure, subject to the specifications of Section 103.9 of the Standing Orders of The Regents, which is quoted in APM - 220-17-c(1).

e. Section 105.1 of the Standing Orders of The Regents provides that membership in the Academic Senate is acquired by appointment to a title in this series but that Instructors of less than two years of service shall not be entitled to vote.

f. For eligibility for reimbursement for certain expenses, see APM - 550 (moving expenses for intercampus transfer), 560 (removal expenses), and 570 (travel expenses).

g. For sabbatical leave privileges, see APM - 740.

220-24 **Authority**

Authority to approve appointments, reappointments, merit increases, and promotions to titles in this series is as follows:

a. **Instructor and Assistant Professor**

The Chancellor, after appropriate review. (See also APM - 220-81 and 220-82.)

b. **Associate Professor and Professor**

The Chancellor, after appropriate review (see APM - 220-85).

c. **Professor at an Above-Scale Salary**

The Chancellor, after appropriate review, has authority to approve above-scale salaries up to and including the Regental compensation threshold. For salaries beyond the Regental compensation threshold, authority rests with The Regents on recommendation of the President, after appropriate review and as prescribed in Section 101.2(a)(1) of the Standing Orders of The Regents. (See also APM - 220-85.)

d. **Appointments Following Retirement**

The Chancellor, after appropriate review. (See Section 103.6 of the Standing Orders of The Regents.)

220-80 **Recommendations and Review: General Procedures**

The statements in this section set forth general procedures applicable in circumstances described in each of the five following sections (APM - 220-81 through 220-85).

a. Formal considerations of appointments and reappointments, merit increases, appraisals, non-reappointments, and promotions are normally initiated by the department chair, after appropriate consultation with members of the departmental faculty. For actions affecting the chair, the vice chair, the Dean or Provost, or an appropriate officer may take the initiative.

b. The department chair is responsible for making certain that within the department there is an annual review of the status and performance of each faculty member in the department. Cases of possible eligibility for merit increase or promotion shall be examined. Likewise, cases of unsatisfactory performance and of less than desirable excellence shall be examined. Special attention shall be given to ending dates of all appointments of Instructors and Assistant Professors, to provisions governing notices not to reappoint, and to procedures for formal appraisal of Assistant Professors.

For the more substantive review of each faculty member at least every five years, see APM - 200-0.

c.[1] Early in the course of a personnel review, before departmental consideration of a case, the chair[2] shall notify the candidate of the impending review and in one or more conferences with the candidate make certain that the candidate is adequately informed about the entire review process and is given the appropriate opportunity to ask questions, to supply pertinent information and evidence to be used in the review, and, where relevant, to suggest names of persons to be solicited for letters of evaluation. Each campus shall develop

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[1]The provisions of APM - 220-80-c, 220-80-d, 220-80-e, 220-80-h, 220-80-i, 220-80-j, and 220-84-b, modified as appropriate, apply to the following series: Professor, Professor in Residence, Acting Professor, Adjunct Professor, Visiting Professor, Clinical Professor, University Professor, Professor of Clinical _____, Agronomist, Astronomer, Lecturer, Lecturer with Potential Security of Employment, Lecturer with Security of Employment, Senior Lecturer, Senior Lecturer with Potential Security of Employment, Senior Lecturer with Security of Employment, Professional Research, Specialist, Cooperative Extension Advisor, Specialist in Cooperative Extension, Supervisor of Physical Education, Librarian.

[2]The Chancellor may designate another administrative officer to perform any or all of the functions assigned in this and following sections to the chair.

guidelines and checklists to instruct chairs about their duties and responsibilities in connection with personnel reviews. The chair has an obligation to consider the interests of both the candidate and the University, and to see to it that the departmental review is fair to the candidate and rigorous in maintaining University standards.

The candidate should be made aware of APM - 210-1 and 220, of the University's policies about academic personnel records (APM - 160), and of the candidate's rights to make any desired addition to the personnel review file. The chair should be helpful in responding to the candidate's questions and in considering whether additions to the file by the candidate are needed. In accordance with established policy applicable to the personnel action under consideration, the chair shall solicit letters of evaluation of the candidate from qualified persons, including a reasonable number of persons nominated by the candidate. All such letters received shall be included in the file; unsolicited letters that are used shall also be included in the file. In soliciting or receiving unsolicited letters of evaluation, the chair should include, attach or send a statement regarding the confidentiality of such letters. The Provost and Senior Vice President—Academic Affairs shall issue guidelines for the contents of statements.

The candidate may provide in writing to the chair names of persons who, in the view of the candidate, for reasons set forth, might not objectively evaluate the candidate's qualifications or performance. Any such statement provided by the candidate shall be included in the personnel review file.

d. Before the departmental recommendation is determined, the chair shall provide the candidate the opportunity to inspect all documents in the personnel review file other than confidential academic review records (as defined in APM - 160-20-b(1)), and shall provide to the candidate upon request a redacted copy (as defined in APM - 160-20-c(4)) of the confidential academic review records in the file. The candidate may submit for inclusion in the personnel review file a written statement in response to or commenting upon material in the file.

e. The departmental recommendation is made in accordance with the procedural regulations of the Academic Senate and established governance practices of the department. The chair initiates a personnel action for an appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, or terminal appointment by addressing a letter setting forth the departmental recommendation to the Chancellor (or to the Dean, Provost, or Vice Chancellor, according to the applicable campus procedure). This departmental letter shall discuss the proposed personnel action in the light of the criteria set forth in APM - 220-10, and shall be accompanied by supporting evidence. The chair shall report the nature and extent of

consultation on the matter within the department (including any vote taken) and present any significant evidence and differences of opinion which would support a contrary recommendation. The chair should ensure that individuals who have provided confidential letters of evaluation are not identified in the departmental letter except by code. The department shall adopt procedures under which the letter setting forth the departmental recommendation shall be available, before being forwarded, for inspection by all those members of the department eligible to vote on the matter or by a designated committee or other group of such members. Pursuant to campus procedures, the chair may also, in a separate letter, make an independent evaluation and recommendation, which may differ from the departmental recommendation.

Before or at the time of forwarding the departmental letter and the personnel review file, the candidate shall be informed orally or, upon request, in writing of the departmental recommendation and of the substance of departmental evaluations under each of the applicable University criteria (teaching, research and creative work, professional competence and activity, and University and public service). If the chair provides this information to the candidate in writing, a copy of the written statement is to be included in the personnel review file. Upon request, the chair shall provide to the candidate a copy of the letter setting forth the departmental recommendation. As stated above, the identities of persons who were the sources of confidential documents are not to be disclosed in this letter. The candidate has the right to make a written comment on the departmental recommendation. The candidate should in such a case request a written statement from the chair as described above, and the candidate's comment shall be transmitted, at the option of the candidate, either to the chair, Dean, or Provost. This should be done within a time limit prescribed by the Chancellor. This written comment shall become part of the personnel review file as the review proceeds.

f. The departmental recommendation and the accompanying file will be referred to one or more administrative officers (of a college, division, or school) and to the appropriate Academic Senate Committee (Committee on Academic Personnel or equivalent committee). For possible abbreviation of the review process, see APM - 220-80-k.

g. The case may also be referred by the Chancellor to an *ad hoc* review committee. If such referral occurs, the review committee is appointed by the Chancellor or designated representative, upon nominations provided by the Committee on Academic Personnel. The members of the review committee will normally be of rank at least equal to that proposed for the individual to be reviewed. The Chancellor shall transmit to the review committee the recommendation file, including any information received subsequent to the department review, and a copy of the latest version of the President's *Instructions to Review and Appraisal Committees* (see APM - 210-1).

In accordance with these instructions, taking into account all the available evidence, the review committee shall make its evaluation of the case and submit its recommendation to the Chancellor who thereupon forwards the report and accompanying file to the Committee on Academic Personnel. The latter committee, on the basis of all available evidence, submits a comprehensive report and recommendation to the Chancellor. The *ad hoc* review committee and the Committee on Academic Personnel reports should not identify individuals who have provided confidential letters of evaluation except by code.

h. If, during Academic Senate or administrative review of a departmental recommendation, the personnel review file is found to be incomplete or inadequate, additional information shall be solicited through the Chancellor's Office. Such new material shall be added to the personnel review file, and the department shall be invited to comment on the new material. The candidate shall be informed by the chair of the new material which has been added to the personnel review file (without disclosing the identities of sources of confidential academic review records), and may be provided access to the new material in accord with APM - 220-80-d. The candidate shall be provided the opportunity to make a written statement for inclusion in the personnel review file. The review shall then be based upon the personnel review file as augmented.

i. After the final administrative decision has been communicated to the candidate, the candidate shall have the right, upon written request, to receive from the Chancellor, or other designated administrative officer, a written statement of the reasons for that decision, including a copy of non-confidential documents and a redacted copy of the confidential academic review records (as defined in APM - 160-20-b(1)) in the personnel review file.

j. If the Academic Vice Chancellor's (or designee's) preliminary assessment in a case of appointment, reappointment, formal appraisal, non-reappointment, or promotion is contrary to the recommendation of the department, Dean or Provost (or comparable officer), or the Committee on Academic Personnel, the Academic Vice Chancellor shall notify the Dean or Provost and the Committee on Academic Personnel, indicating the reasons and asking for any further information which might support a different decision. When additional information is furnished, the Dean or Provost and the Committee on Academic Personnel will be given opportunity to comment on the augmented file before the Chancellor makes the final decision.

k. By agreement on procedures reached at the campus level between the Chancellor and the Committee on Academic Personnel, the review process may be abbreviated in certain cases. For example, the campus procedures may provide in certain situations for the omission of referral to an *ad hoc*

review committee. Further, the Committee on Academic Personnel may waive its review in cases which are by agreement with the Chancellor regarded as particularly uncomplicated. An example of an action when one or both abbreviated procedures may be utilized is an advancement in step after a normal period of service in the previous step of the same rank as defined in APM - 220-18-b. Other examples are given in APM - 220-81 and 220-82. The Chancellor shall communicate the substance of the agreements on procedures to Deans or Provosts (or comparable officers) and department chairs.

l. At the San Diego and Santa Cruz campuses, where the administrative structures are significantly different from those on other campuses, the Chancellors shall establish in writing review procedures which are in principle equivalent to those described in this and other parts of APM - 220.

220-81 **Procedure for Appointment, Reappointment, and Non-Reappointment of an Instructor**

The general rules of APM - 220-80 apply here. In addition:

a. The Committee on Academic Personnel is not normally consulted about Instructor appointments or reappointments.

b. Final decisions on appointment or reappointment are made by the Chancellor.

c. The Chancellor shall give written notification to the candidate of the final decision to appoint, reappoint, or not to reappoint as Instructor. The ending date of an appointment or reappointment shall be clearly shown on the form that effects the action. In the event of non-reappointment, the provisions of APM - 220-20-c are applicable.

d. The chair shall inform the Instructor in writing of the nature and conditions of the appointment, especially as set forth in APM - 220-17-a, 220-20-a, and 220-20-c.

220-82 **Procedure for Appointment, Reappointment, or Promotion to the Rank of Assistant Professor**

The general rules of APM - 220-80 apply here. In addition:

a. The Committee on Academic Personnel shall be consulted in these cases, unless the Chancellor and the Committee on Academic Personnel have explicitly agreed to waive Committee on Academic Personnel review.

A review committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it. On the basis of the recommendations and evidence provided and any additional information obtained, the review committee shall prepare and submit its comments and recommendation to the Chancellor.

b. The final decision is made by the Chancellor. The Chancellor shall give written notification to the candidate of the final decision concerning the candidate's appointment, reappointment, or promotion. The ending date of an appointment or reappointment shall be clearly shown on the form that effects the action.

c. The chair shall inform the Assistant Professor in writing of the nature and conditions of the appointment, especially as set forth in APM - 220-17-b, 220-20-a, -b, -c, and 220-82, -83, -84, and -85.

220-83 **Procedure for the Formal Appraisal of an Assistant Professor**

Formal appraisals of Assistant Professors shall be made in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to tenure rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued membership in the faculty.

The general rules of APM - 220-80 apply here. In addition:

a. Normally each Assistant Professor shall be appraised well in advance of possible promotion to tenure rank (at least two and one-half years before the anticipated effective date of the promotion). A case of initial appointment from outside the University, with anticipation of promotion within two or three years after appointment, obviously calls for an exception to the general rule. Each Assistant Professor shall be appraised no later than the first half of the appointee's sixth year of service in the University with the title Assistant Professor or with this title in combination with other titles as defined in APM - 133-0-a and 133-0-b. Earlier appraisals are permissible. Subject to these guidelines and restrictions, each Chancellor shall establish general schedules and rules for the timing of formal appraisals on the respective campus.

No formal appraisal is required if, prior to the normal occurrence of an appraisal, the Assistant Professor is being recommended for promotion to take effect within a year, has given written notice of resignation, or has been given written notice of non-reappointment.

b. Except in situations in which the Chancellor and the Committee on Academic Personnel have explicitly agreed to waive Committee on Academic Personnel review, the Committee on Academic Personnel shall be consulted in appraisals.

An *ad hoc* review committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it. On the basis of the study of the case, the review committee shall submit a report to the Chancellor stating whether or not, on the basis of all available information, there is evidence of achievement and promise sufficient to justify the Assistant Professor's continued candidacy for eventual promotion. If the committee finds that the evidence does not justify the continued candidacy, it shall recommend non-reappointment or terminal appointment consistent with the requirements of notice in APM - 220-20-c and the limitations of service in APM - 133-0. The report of the *ad hoc* committee shall then be dealt with by the Committee on Academic Personnel and the Chancellor in the manner indicated in APM - 220-80-e and 220-80-f.

c. The Chancellor shall make the final determination concerning the outcome of an appraisal, taking into account all the available evidence and the recommendations made in the course of the appraisal.

d. The Chancellor shall inform the chair, through the Dean or Provost, of any decision and of any information or advice resulting from the appraisal that the Chancellor may think helpful to the chair or the appointee.

e. If the appointee is to be given notice of non-reappointment or a terminal appointment, it is the responsibility of the Chancellor to ensure that written notice is given in accordance with the schedule specified in APM - 220-20-c.

220-84 **Procedure for Non-Reappointment of an Assistant Professor**

The general rules of APM - 220-80 apply here. In addition:

a. A proposal not to reappoint an Assistant Professor may originate with the department chair as a result of departmental review during consideration of reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM - 220-82.

b. During a review of a formal appraisal, or consideration of reappointment or promotion of an Assistant Professor (or other appointee of equivalent rank), if the Academic Vice Chancellor's (or designee's) preliminary assessment is to make a terminal appointment, is not to reappoint or promote, or is contrary to the departmental recommendation, the department chair and the candidate

shall be notified of this in writing by the Academic Vice Chancellor. The candidate also shall be notified of the opportunity to request access to the records placed in the personnel review file subsequent to the departmental review in accordance with APM - 160-20-c. When the candidate is provided copies of such records, the department chair also shall be provided with copies of the extradepartmental records. The candidate and the chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation. The candidate may respond either through the department chair or directly to the Academic Vice Chancellor. The personnel review file, as augmented by the added material, shall then be considered in any stage of the review process as designated by the Academic Vice Chancellor before a final decision by the Chancellor is reached. The Chancellor's final decision to make a terminal appointment, or not to reappoint or promote, shall not be made without the appropriate preliminary assessment notification process and opportunity to respond being provided to the candidate as specified herein.

In any case in which non-reappointment of an Assistant Professor is considered, there shall be review by the Committee on Academic Personnel. An *ad hoc* committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it.

c. The Chancellor is responsible for a decision not to reappoint an Assistant Professor. This authority may not be redelegated. The Chancellor shall, through the Dean or Provost, inform the chair of a decision not to reappoint. Written notification to the individual shall be given by the Chancellor, in accordance with the provisions of APM - 220-20-c.

d. When issues of educational policy stemming from fiscal or programmatic considerations (such as proposed major changes in the program of a department, or the proposed dissolution of a department, college, or school) may have a substantial effect on academic personnel matters, the Chancellor shall, in advance of action on personnel matters so affected, consult on these issues with the appropriate Divisional Academic Senate committees, including the Divisional Committee on Educational Policy or the committee designated by the Division to advise on such matters. If there is a proposal that an Assistant Professor not be reappointed and if fiscal or programmatic considerations are significant factors in the case, the facts of the matter shall be fully discussed with the Committee on Academic Personnel; and the Committee shall be furnished with the results of the Chancellor's consultation with other Senate committees on the fiscal and programmatic considerations. The Chancellor shall consider the advice of the Committee on Academic Personnel on the case prior to making a final decision.

e. Each Chancellor is authorized to establish policies for responding to or denying requests for written statements of reasons for non-reappointments subject to these conditions:

(1) No written statement shall be furnished except in response to a request in writing from the appointee.

(2) When a written response is provided, it shall be given by the Chancellor.

220-85 **Procedure for Appointment or Promotion to the Rank of Associate Professor or Professor**

The general rules of APM - 220-80 apply here. In addition:

a. With a recommendation for promotion to tenure rank, the chair shall include the following information in the chair's detailed statement:

(1) the nature and extent of the faculty member's responsibilities in formal teaching and in supervision of individual student study over a specified period of years;

(2) the nature and extent of the faculty member's responsibilities in guidance of students in research toward a graduate or professional degree; and

(3) current bio-bibliographical information.

b. An *ad hoc* review committee shall be appointed in accordance with the provisions of APM - 220-80-g, and it shall carry out its duties as therein specified.

c. The Chancellor makes a decision as to appropriate action on the basis of the accumulated evidence and recommendations and in accordance with the provisions of APM - 220-80-d, -e, -f.

d. The Chancellor is authorized to approve above-scale salaries up to and including the Regental compensation threshold.

In a case involving initial appointment or advancement to above-scale salary beyond the Regental compensation threshold (See Section 101.2(a)(1) of the Standing Orders of The Regents), if the Chancellor supports the appointment or advancement, the recommendation shall be sent to the President, with supporting material. If the President endorses the proposal, the President will forward the proposal to The Regents. Upon Regental approval, the President

will notify the Chancellor of The Regents' action and the Chancellor will notify the appointee.

220-95 **Letters of Invitation and Notification**

a. The Chancellor's letter of invitation to accept an appointment to tenure rank shall include the following language: "Acting under authority delegated by The Regents and the President of the University, I am pleased to invite you to accept an appointment as . . . ."

b. The Chancellor's letter of notification of promotion to tenure rank shall include the following language: "Acting under authority delegated by The Regents and the President of the University, I am pleased to advise you of your promotion to . . . ."

c. The Chancellor's letter of notification to an appointee whose above-scale salary is increased following Regental approval shall refer to the joint recommendation of the Chancellor and the President and to the Regental approval.

d. The Chancellor's letter of invitation should be sent to the candidate immediately after Regental approval of the salary. The Chancellor will determine the deadline for acceptance. An offer will not normally be held open for more than one year after all reviews are completed.

220-96 **Reports**

See APM - 200-96.

Regents' Policy on Funding of Regular Ranks Faculty Appointments

Approved November 19, 1971
Amended September 22, 2005

1. It is the policy of the University of California that no appointment shall be made to a title in the Professor Series (i.e., to any of the titles Instructor, Assistant Professor, Associate Professor, and Professor) unless there is an appropriately budgeted provision for the appointment. Any exception to this rule must be approved by the President.

2. Appointments in the Professor Series are for duty in departments of Instruction and Research, or in equivalent administrative units (e.g., colleges and divisions) with combined instruction and research functions. Any exception to this rule must be approved by the President.

3. Except as noted in 4., following, an appointment to the Professor Series shall not be made unless the full amount of the regular salary for the position (on the academic-year or fiscal-year academic salary scale, whichever is appropriate) is available and assigned to the position from General Funds, Educational Fees, and/or Professional School Fees.

4. The following exceptions to the provision stated in 3. may be permitted upon recommendation of the Chancellor and approval by the President.

   - Appointments supported in part or in full from permanent endowment income.

   - Appointments supported in part or in full from continuing Federal appropriations, such as Hatch Act or Sea Grant funds.

   - Appointments in certain of the faculties of the health sciences, in conformity with Regentally approved salary scales or compensation plans in which a part of the total compensation of the appointee may be derived from fees collected for patient care services and from extramural contract and grant funds.

   - Appointments, very limited in number, supported in part or in full from foundation or other extramural sources, when warranted by exceptional circumstances.

5. If, in connection with an extramurally-funded contract or grant project, an appointee in the Professor Series undertakes duties which substantially detract from his or her ability to perform the regular duties of instruction and research for which he or she was appointed, an appropriate portion of his or her total salary shall be charged to the project and paid from extramural funds. The General Funds thus temporarily released

may be used to pay for the temporary services of an individual to perform the duties from which the aforementioned appointee was diverted. But, for every appointment in the Professor Series, with the exceptions noted in 4., and with exceptions for those professors who have concurrent appointments at the University-operated Department of Energy Laboratories, there is a continuing lien on General Funds for the full amount of the salary provided for in the terms of the original appointment.

Guidelines for Part-Time Appointment and Reduction in Percentage of Time of an Appointment to Accommodate Family Needs

An appointee in the Professor series may be appointed initially in a permanent part-time position, or may request a change to a permanent part-time appointment or a temporary reduction in percentage of time of a full-time appointment to accommodate family needs as defined in APM - 760. The general terms of such part-time or temporarily reduced appointments are governed by APM - 220. The following guidelines address issues that may arise regarding review and evaluation of appointees with temporary reductions or permanent part-time appointments.

The University wishes to accommodate the family needs of academic appointees by providing fair and flexible work arrangements. However, the University recognizes that the nature of professorial work is such that it may be difficult to evaluate scholarly productivity on a pro-rated basis. APM - 220-10 clearly states that teaching and service expectations for part-time appointees shall be pro-rated in accordance with the percentage of time of the appointment. However, questions have been raised about the feasibility of similarly pro-rating scholarly productivity for part-time appointees. On the one hand, in a discipline where the normal level of scholarly productivity for promotion requires publication of multiple peer-reviewed articles, it may be possible that a half-time appointee, for example, could be advanced based on half the normal quantity of articles, as long as the quality and impact of the work is commensurate with that of full-time appointees. On the other hand, in a discipline where a book is the normal measure of productivity meriting promotion, it would be difficult to consider a half-time appointee for advancement on the basis of "half a book." In that case, a work in progress could be evaluated by the solicitation of qualified outside reviews of completed chapters of a book manuscript underway or of a project comparable to a book. Alternatively, the faculty member could publish some or all chapters of an envisioned book as articles in scholarly journals or other periodicals held in esteem. In these times of reduced outlets for publishing a book, scholarly articles in journals are increasingly used in those disciplines that in the past have been mainly oriented to books as venues for scholarship.

If a part-time appointee is held to a full-time expectation for scholarly productivity, then a part-time appointment is not truly part time, but represents a "buy-out" of teaching and service expectations. If an appointee only receives part of a full-time salary, equity demands some effort to arrange an appointment with partial responsibilities. In all cases, when an academic appointee is considering a part-time appointment, or a temporary reduction in the percentage of time of an appointment, the terms of the appointment and the expectations for productivity should be thoroughly discussed at the outset.

The expectations for review and advancement should be set forth in detail in a memorandum of understanding regarding the part-time arrangement. For example, for a temporary reduction in the percentage of time of the appointment as an Assistant Professor for the purpose of childbearing and childrearing, the University policy allowing for "stopping the clock" may provide for additional time for scholarly productivity to meet normal expectations for tenure. For a temporary reduction in the percentage of time of the appointment as an Associate or full Professor, the normal period of review may be extended by mutual agreement to allow for scholarly productivity to meet the normal expectations for a merit review. As set forth in University policy, reviews delayed for these reasons should be treated substantively and procedurally as if they occurred "on time." For permanent part-time appointments with tenure, the expectations for advancement should reflect the part-time nature of the appointment, with the understanding that reviews for promotion may need to be delayed to allow for scholarly productivity commensurate with academic standards for promotion in the field. Departments should ensure that reviewers, both internal and external, understand the part-time nature of the appointment and are instructed to evaluate the totality of accomplishment, not the rate of accomplishment.

In all cases, every effort should be made to provide flexibility and to apply standards with equity for individuals in professorial series with career ladders, consistent with University standards of excellence. Campuses will be well served by communicating clearly with department chairs and faculty about the possibility of part-time faculty appointments. Understanding the impact of permanent part-time faculty appointments and temporary reductions in full-time faculty appointments on both faculty careers and departmental workloads is important to evaluating the success of such appointments. Campuses should record and evaluate family accommodation policies by tracking data on faculty rank, gender, departmental affiliation, reasons for seeking part-time appointments, and record of advancement to ensure that family needs are accommodated in a fair and flexible manner. Campuses should develop methods for informing internal and external peer reviewers of campus standards for proportionately weighting teaching and service activities and permitting extended time frames for research productivity of part-time faculty appointees. Finally, campuses may consider establishing procedures that allow the unused portion of a part-time faculty member's salary to be used by the department to cover teaching needs so that full-time faculty are not burdened with additional responsibilities as a result of permanent or temporary part-time faculty appointments.