MAPP Section 300:
Appointment - Academic Senate Titles

An appointment (as distinguished from a reappointment, merit increase, or promotion) occurs when a person is employed with the University for the first time, or when a University employee is appointed to a title in a different personnel program or academic series. The Academic Personnel Manual (APM) contains the University of California policies and procedures for academic appointments. The UC Merced Academic Personnel Policies and Procedures (MAPP) are intended to supplement the APM and reflect the local campus policies and procedures.

Academic Personnel Manual (APM)
http://www.ucop.edu/acadadv/acadpers/apm/welcome.html

UC Merced Academic Personnel Policies (MAPP)
http://academicpersonnel.ucmerced.edu/mapp.asp

301. GENERAL POLICIES

301-1. Titles

The title proposed for an appointee must be appropriate for the function and duties the candidate will perform. Special attention must be paid to the criteria for appointment in the selected title or series as outlined in the Academic Personnel Manual. *(APM 200 through 283)*

301-2. Employment Eligibility

The Immigration Reform and Control Act of November 6, 1986, required that all employees provide verification of eligibility to work in the United States. The federal government has designated the I-9 Form, Employment Eligibility Verification, as the document to be used in this verification process.

During recruitment, special attention must be given to the employment eligibility of any non-immigrants in the pool to be sure that such candidates can obtain visas which allow compensation for services. Questions may be referred to the Academic Personnel Office.

301-3. Timing of Offer

UCM policy requires that offers be made before **April 1** to other UC campuses and **May 1** to all other institutions if they are to be effective at the beginning of the following academic year. *(APM 510-80-c and APM 500-16-c)*

301-4. Recruiting from Another UC Campus

University policy states that it is the obligation of those involved in the consideration of an intercampus recruitment to pay due regard to the welfare of the University as a whole as well as to the wishes of the particular appointee and to the effect of the proposed transfer on the two campuses directly concerned.

Prior to the initiation of negotiation for an intercampus recruitment, the Chancellors or Executive Vice Chancellor of the two campuses involved shall be informed of the proposed transfer. Ten working days before making the formal offer of appointment to the candidate, which offer shall be in writing, the Chancellor or Executive Vice Chancellor of the hiring campus shall indicate such intention to the Chancellor or Executive Vice Chancellor of the campus from which the appointee will be transferring. In all cases, the Chancellor of the campus to which the appointee is transferring shall also notify the Office of the President.

In 1997 the Office of the President issued additional guidelines in the event that one UC campus recruits a faculty member from another UC campus. These are detailed in *APM 510* and should be consulted if an intercampus recruitment is being considered.

In the event that any unit at UCM considers recruiting a faculty member from another UC campus, Academic Personnel will coordinate the notification of the other UC campus. Please notify Academic Personnel as early in the process as is reasonably possible, and certainly **before** any tentative offer is made.

(APM 510-0 and 510-80)

301-5. Competing Offers to an Outside Candidate from Two or More UC Campuses

University policy is that the same level of salary shall be offered by each campus with coordination of the appropriate salary level to be arranged by the Office of the President. The following procedure is to be followed to make this coordination possible: When it becomes known to any campus administrative officer that another campus of the University is also recruiting an individual for a tenured appointment, that officer is obliged to inform the Chancellor who shall, in turn, inform the Office of the President. The latter will then consult with each of the Chancellors concerned with the matter and will arrange for the determination of a single appropriate salary. *(APM 500-16-g)*

301-6. Salaries

a. Academic salary scales

Academic salaries are based upon salary scales. These are published and issued through the Academic Personnel Manual. *(APM 600)*

b. Off-scale salaries *(APM 620)*

Off-scale salaries may be used when necessary to meet competitive conditions. (See *APM 620-14* for a complete list of eligible titles.) Off-scale salaries for acting appointees (typically Assistant Professors still completing their dissertations) are determined in the same manner as for regular ranks.

If counter offers arise during the course of negotiations, the School should make an effort to document these offers.

301-7. Effective Date of Employment

The effective date of an appointment for purposes of payroll and other record keeping is the first day on which salary commences. The beginning date of service for a new appointee, or of service in a new title for a continuing appointee, is the first day on which the appointee is required to be on duty under the terms of the appointment. This date will be different from the effective date for academic year (9-month) appointees paid over 12 months. The effective dates are July 1 or January 1 of the academic year.

301-8. Other Appointments

a. Joint appointments

Whenever a candidate has a split appointment (with the FTE split between two Schools), a joint committee comprised of faculty from both schools decide who will be the lead school. The lead school will write the single case analysis and present it to the joint committee for review. The case analysis covers the candidate's research, teaching, professional activity, university and public service from both schools' perspective. Each school will vote separately on the recommended action and prepare separate Transmittal letters. Each School Dean will write separate Dean's recommendation and Salary justification letters. The Transmittal letter, Dean's recommendation letter and Salary justification letter from the non-lead school will be forwarded to the EVC via APO directly. The lead school will gather all the remaining materials including their Transmittal letter, Dean's letter and Salary justification letter and forward the case to the EVC via APO.

b. Appointments without salary

An individual appointed to a faculty title may be invited to hold a joint appointment without salary in another School. Such appointments, while easily renewable, are made on a year-to-year basis. The School may wish to solicit input from the affiliated Schools prior to making personnel recommendations.

c. Transfer to another school through FTE reassignment

Instances arise where faculty members request that they and their positions be transferred from one unit to another on campus. As mentioned above, a faculty member's position, or job, is in a specific academic unit. Cases of request to transfer will be addressed on an *ad hoc* basis. The possibility of transfer of a faculty member and an FTE will be decided by the Executive Vice Chancellor/Provost after thorough examination of the request and the possible impact of the transfer on each School. Consultation about the effect of such a transfer will minimally include (a) consent of the receiving School (including faculty vote) and dean, (b) advice of the dean of the unit losing the faculty member and FTE, and (c) advice of the Committee on Academic Planning and Resource Allocation.

305. ROLES AND RESPONSIBILITIES

305-1. Academic Personnel Office (APO)

a. The Academic Personnel Office (APO) staff assesses the submitted review file and materials to ensure required materials are complete and are in compliance to established policies and procedures. Once the review file is completed, the APO staff forward the review file and supporting materials to the Academic Senate Office.

b. When the decision is finalized by CAP and the Executive Vice Chancellor/ Provost, the APO staff ensures the appointment letter for the candidate is signed by the Executive Vice Chancellor/Provost and that it is promptly sent to the candidate as well as the School.

c. The APO staff enters the payroll information and coordinates the move for the all new faculty. The APO staff creates a permanent file for each of the faculty. The Academic Personnel Office is the Office of Record for the faculty personnel files.

305-2. Academic Personnel Chair

a. Additional material or information added to the review file

If additional information is requested by the EVC or the Committee on Academic Personnel, the EVC (or Academic Personnel staff on behalf of the EVC) will ask the dean and/or the Academic Personnel Chair to supply the requested material. At times the candidate submits additional material or information that is pertinent to the review. The faculty must be made aware of any additional information that is introduced after the faculty have voted and reviewed the transmittal letter. After review, the Academic Personnel Chair forwards the additional information or material to the dean with a memo that includes a statement that the information has been shared with the faculty.

b. Soliciting extramural letters

The extramural letters for appointments are done by the School staff working with the Search Committee Chair and Academic Personnel Chair. Extramural letters of evaluation should be from qualified and distinguished authorities. For appointments at the level of Assistant Professor, Steps I-III, 3-5 letters from candidate suggested reviewers are required. For appointments at the levels of Assistant Professor, Step IV and above (including all Associate and full Professor levels), 3-4 letters from candidate suggested reviewers **and** 3-5 letters from school suggested reviewers are required. Of the School suggested letters, 2-3 should be from a UC campus.

When letters are handwritten, the School is asked to prepare a typed version. Letters in foreign languages should be translated into English.

The Academic Personnel Chair should solicit evaluations from individuals who are experts in the candidate's field and who are able to provide an objective appraisal of the candidate's work.

Opinions from colleagues at other institutions where the nominee has served and from other qualified persons having first-hand knowledge of the nominee's attainments should be included. For candidates just completing degree or postdoctoral work and being proposed for entry-level positions, letters from supervisors are appropriate.

However, for appointments at higher levels, it is desirable to avoid excessive use of external referees whom reviewers may not regard as objective evaluators either because they are too close to the candidate professionally (e.g., collaborators, doctoral supervisors), or because they have a personal relationship with the candidate. The National Science Foundation criteria serve as an appropriate guide in selecting external reviewers for high level appointments. Reviewers should not be individuals who are known family members, who are business or professional partners, who have a past or present association as thesis advisor or thesis student, who have served as a collaborator on a project, book, article, report or paper within the last 48 months; who have worked to co-edit a journal, a compendium, or conference proceedings within the last 24 months. Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but great care must be taken to not bias or influence the judgment of the referee.

Letters soliciting such external evaluations should contain the following:

> **(1)** An explanation of the nature of the position to be filled; e.g., probationary or tenured professorship. For appointments to the top steps of the series (VI, VII, VIII, and Above Scale), an explanation in the solicitation letter that details the significance of the level so that the referees can evaluate achievement in relation to UC criteria for appointment.

(2) A request for analytical review of the candidate's performance under the applicable criteria and comparison with other scholars in the field at similar rank, and

(3) The following confidentiality statement: Although the contents of your letter may be passed on to the candidate at prescribed stages of the review process, your identity will be held in confidence. The material made available will lack the letterhead, the signature block, and material below the latter. Therefore, material that would identify you, particularly your relationship to the candidate, should be placed below the signature block. In any legal proceeding or other situation in which the source of the confidential information is sought, the University does its utmost to protect the identity of such sources.

c. Sample letter(s) of solicitation

Exhibits A, B, C, and D contain examples of typical letters soliciting outside evaluations. Exhibit A concerns the appointment of an Assistant Professor. Exhibit B was written for the recruitment of an Associate Professor, so it mentions tenure. Exhibit C and Exhibit D are for high-level professors, and as such mention UC criteria for appointment to those levels.

For sample solicitation letters, click here.

305-3. Dean

a. Appointment process

The dean may begin tentative discussions with the proposed candidate regarding possible laboratory or other start-up needs. The dean must be certain that no discussions imply approval of an appointment until the reviewing agencies have concurred and the Executive Vice Chancellor/Provost has approved the appointment.

b. Dean's recommendation, start-up and request for other items

In addition to the dean's letter of recommendation, the dean also writes the School start-up letter that is sent to the Executive Vice Chancellor/Provost for review. Any additional requests for special or negotiated items such as the Mortgage Origination Program (MOP Loans) or unique space requirements must be requested and approved by the Executive Vice Chancellor/Provost.

c. Transmitting the full review file

The dean is responsible for transmitting the full review file to the Executive Vice Chancellor/Provost and the Academic Personnel Office.

310. REQUIRED DOCUMENTATION AND MATERIALS

310-1. Documentation

a. The documentation required to support a recommendation for appointment to an Academic Senate title includes recruitment data, the review file, extramural letters, the transmittal letter, the dean's recommendation, publications, and any teaching documents or evaluations.

b. Appointment files should be documented as carefully as promotion files, addressing all the relevant criteria and providing reviewers with appropriate evidence of excellence in all categories of review.

Matrix I lists the specific documents that are needed for the appointment package.

310-2. Review File

The review file consists of the information provided by the candidate including: a curriculum vitae and a candidate's statement.

310-3. Publications

Copies of publications, reviews, and/or exhibits, including work in press, should be included. For easy reference, each publication should be numbered as it is numbered on the Biography form or curriculum vitae. Electronic files are acceptable as well.

310-4. Evidence of Teaching Competence

Copies of individual student evaluations (if available) or other evidence of teaching must be included.

310-5. Completed Checklist

The completed checklist for Academic Senate series must be submitted. *(Checklist for Appointment: For Academic Senate Series)*

310-6. Biography (Form U1501)

The candidate should submit appropriate biographical information on a signed and dated Biography form. Publications listed on the Biography or attached curriculum vitae should be numbered in sequence. It is important that all items on the form be completed.

If the School prepares the Biography form on behalf of the candidate using his/her submitted curriculum vitae, the Biography form must be reviewed and signed by the candidate. The Biography form should be submitted to APO after a candidate

has signed and returned his/her offer letter and before the candidate's hiring date. (*Biography Form U1501*)

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