UNIVERSITY OF CALIFORNIA
ACADEMIC PERSONNEL MANUAL

II. APPOINTMENT AND PROMOTION

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200-0 Policy

It is the policy of the University to evaluate objectively and thoroughly each candidate for appointment, promotion, or merit increase. Promotions and merit increases are not automatic, but are based on merit.

Every faculty member shall be reviewed at least every five years. The Chancellor, with the advice of the Academic Senate, shall determine the level and type of review and shall develop appropriate implementing procedures.

The Chancellor may exempt from this five-year review faculty who are also members of the Executive Program. (See APM-240-80 regarding the five-year review of academic Deans and Provosts.)

For faculty who are not members of the Executive Program, the five-year review may not be waived; in exceptional circumstances, the Chancellor may defer the review for one year.

200-8 Types

Appointment and promotion policies and procedures for certain specific title series will be found in Manual sections following this general APM - 200.

On each campus the officers reviewing professional research appointments and promotions and reviewing staff appointments will be expected to notify and consult with one another when there is any doubt as to whether a proposed appointment should be classified as professional research or staff personnel. When the officers cannot agree, the question shall be referred to the Chancellor for resolution.

200-17 Effective Service Dates

a. Effective Date of Appointment — General

The effective date of an appointment, merit or promotion to another approved title is the initial date of the change for purposes of payroll and record keeping and indicates the first day on which the payment begins for appointments. Salary increases associated with merits and promotions will be paid as described below.

The University's annual fiscal operating budget year begins July 1. The University's budget is adopted after the State's budget is signed, which may occur after July 1. For merits and promotions that are effective on July 1, the date of payment of associated salary increases depends on when the University's budget is adopted for the fiscal year. In the event the University's budget is not adopted in time to meet applicable payroll deadlines for a July 1 effective date, there may be a delay in payment of salary increases until the University's budget is adopted. Under these circumstances, salary increases will be paid as soon as possible, with retroactive payment to the effective date of the merit or promotion.

b. **Effective Date of Promotions**

The effective date for promotions within any of the title series is July 1 of each year; however, Chancellors and the Vice President—Agriculture and Natural Resources are authorized to promote personnel within the authority granted in APM - 200-24 at any effective date during the year.

c. **Beginning Date of Service**

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 appointee is required to be on duty under the terms of the appointment or new status. This date will be different from the effective date for academic-year appointees paid in twelve installments.

200-19 **Normal Periods of Service at Rank and Step**

For those titles in which normal periods of service at ranks and steps within ranks have been established the following shall apply. (Please note that the following periods are not relevant for purposes of determining retirement credit or sabbatical leave credit.)

a. An academic-year appointee who has served at least two full quarters or one full semester in any academic year will receive service credit for one year at rank and step.

b. An academic-year appointee who has served one quarter or less in any academic year will not receive service credit for that year.

c. A fiscal-year appointee with an effective date of appointment in the period July 1 through January 1 will receive service credit for one year at rank and step.

d. A fiscal-year appointee with an effective date of appointment in the period January 2 through June 30 will not receive service credit for that year.

e. A period of leave after service of at least one full quarter may be counted toward service in reckoning the number of years at rank and step if this is deemed appropriate by reviewing authorities. For periods of leave in relation to the eight-year limitation of service, see APM - 133-17-g.

200-22 **Recall Appointments for Academic Appointees**[1]

a. The University may recall to active service, on a year-to-year basis, academic appointees who have retired, provided such appointments are not in conflict with the terms of the University of California Retirement Plan and/or University policy.[2]

b. Authority[2]

The Chancellor has the authority to approve salaried and non-salaried recall appointments on a year-to-year basis.

c. Criteria

In general, a campus fills a vacancy created by retirement with a long-term appointment. However, delays in such appointments can occur for a number of reasons. Recall appointments may be approved under these and certain other circumstances.

The following criteria shall be considered in determining whether to recommend or approve a recall appointment:

(1) The teaching, research, and/or administrative needs of the department or unit.

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[1] These provisions are consistent with Regents' Standing Order 103.6, and the President's delegation of authority letter dated August 17, 1989, to Chancellors, Laboratory Directors, the Senior Vice President—Business and Finance, and the Vice President—Agriculture and Natural Resources concerning service following retirement.

[2] See APM - 200, Appendix A, Pre-Retirement Recall Guidelines for Faculty Recalled for Post-Retirement Teaching, for exceptions that apply to certain faculty age 60 and older who enter a pre-retirement agreement for a recall for teaching appointment.

(2) Availability of office and laboratory space.

(3) Budgetary resources.

(4) Ability of the candidate in the areas required for appointment in the particular academic title or series (e.g., Professor series). Documentation of these areas should specifically include an evaluation of activities during the current year and the last several years. If the candidate has not served in the University within the past year, the department may evaluate activities over the last several years of service and/or activities during retirement.

d. Procedure

The department chair, an equivalent administrator, or the individual academic appointee may request a recall appointment. The request should be made well in advance of the desired starting date in order to allow sufficient time for academic and administrative review. The campus shall establish a time period for submission of requests.

The department chair will evaluate whether the appointment of the candidate is the best way to fulfill temporary staffing needs, for example, during recruitment of a permanent ladder rank faculty member to fill this position. In accord with department procedures, the chair will have appropriate consultation with the department faculty. The request is reviewed by the Dean or Provost of the College or School and also may be reviewed by the Committee on Academic Personnel, pursuant to campus procedures.

The Chancellor makes the final decision on the recall appointment.

e. Recall Appointments and Reappointments[2]

An appointment may be made only for a period of one year or less and shall have a specific ending date. An appointment expires on that date, and no notice is required.

Reappointments are not automatic. Following review, an appointment may be renewed.

200-24 **Authority**

a. Chancellors are authorized to approve all appointments, reappointments, merit increases, and promotions of academic personnel under their jurisdiction except those appointments involving above-scale salaries beyond the Regental compensation threshold (See Section 101.2 (a) of the Standing Orders of The Regents), and appointments of Regents' Professors and University Professors.

b. On an exception basis and with suitable justification, the Chancellor, Vice President—Agriculture and Natural Resources and Provost and Senior Vice President—Academic Affairs may approve appointments, reappointments, merit increases, and promotions within the authorization granted in APM - 200-24-a retroactively (that is, with the beginning date of service prior to the actual approval), subject to the condition that a new appointee must have completed and subscribed to the State Oath of Allegiance on or before the beginning date of service under the terms of appointment.

   All individuals, including U.S. citizens, under the Immigration Reform and Control Act of 1986, must present evidence through the employment verification process that they are legally eligible to work in the United States.

c. For authority of the Vice President—Agriculture and Natural Resources and the Provost and Senior Vice President—Academic Affairs with respect to personnel under their jurisdiction, see the section on the particular title or title series for specific statements concerning authority to appoint and promote for that title or title series.

200-30 **Academic Personnel Actions — Personnel Review Files**

The personnel review file is that portion of the academic personnel records pertaining to an individual maintained by the University for purposes of consideration of personnel actions under the relevant criteria set forth in this Manual. An individual's personnel review file shall contain only material relevant to consideration of personnel actions under these criteria. Final administrative decisions concerning appointment, promotion, merit increase, appraisal, reappointment, nonreappointment, and terminal appointment shall be based solely upon the material contained in the individual's personnel review file.

200-96 **Reports**

The Chancellor shall maintain records of personnel actions and submit reports to the President as needed.

Pre-Retirement Recall Guidelines for Faculty Recalled for Post-Retirement Teaching

Campus administrators may enter a pre-retirement agreement with a faculty member age 60 (sixty) or older for a recall to service after retirement.

Timing and Duration of Appointment: By agreement between campus administration and the faculty member, the recall period may be up to three academic years, subject to annual renewal after the agreed initial period. Retirement plan regulations require that there generally be a break in service of at least 90 (ninety) days between the retirement date and the date of the recall appointment start date. However, in no case may the recall date be earlier than 30 (thirty) days following the retirement date.

Compensation: In general, the recall rate for academic-year appointees will be 1/9th of the base salary at the time of retirement per quarter course or 1/6th of the base salary per semester course, not to exceed the current salary rate for Professor, Step VII. Fiscal-year salaries should be converted to the academic-year equivalent salary. Campus administrators and faculty may negotiate a higher or lower salary rate, as appropriate to the nature of the course, to reflect specific needs. The base salary is defined for the purposes of these guidelines as the faculty member's academic year (nine-month) salary or fiscal year (twelve-month) salary at the time of retirement augmented by any subsequent range adjustments. Merit and promotion increases are not granted after retirement.

Appointment and Space Assignment: The recall appointment effort may not exceed 46% (forty-six percent) time. However, due to potential Medicare complications, recall appointments will generally be 43% (forty-three percent) time or less. Assignment of office space is subject to the agreement reached between campus administrators and the faculty member. Recall for teaching appointments will not normally include any commitment of research space.

Benefits: Recalled faculty may contribute to the 403(b) Plan and 457(b) Plan. Health benefits are determined by the terms of the recall appointment. Since eligibility for benefits is a critical and complex issue, recall appointees should consult with the campus Benefits Office about how the recall appointment may affect their benefits eligibility. See the Returning to UC Employment After Retirement Factsheet for further information available at: http://atyourservice.ucop.edu/forms_pubs/checklists_factsheets/returntowork.pdf.

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September 11, 2003

VICE CHANCELLORS—ACADEMIC AFFAIRS
VICE CHANCELLORS—ADMINISTRATION
DEPUTY LABORATORY DIRECTORS—OPERATIONS

UCRP Reappointment Guidelines for Rehired Retirees

This memo is in response to inquiries on how the change in the University of California Retirement Plan (UCRP) Normal Retirement Date affects the UCRP Guidelines for Rehire of UC Retirees. UCRP recently was amended to change the Normal Retirement Date to age 60 with 5 years of Service Credit, to support the University's ability to arrange recall appointments, especially faculty who would fill limited teaching assignments.

As background, the Internal Revenue Service (IRS) defines Normal Retirement Date as the date specified by the plan when a member's right to benefits is nonforfeitable. Arrangements made for post-retirement employment before individuals reach the plan's normal retirement date could disqualify the pension plan if the IRS believes there has not been a bona fide termination of employment. Plan disqualification would result in immediate taxation to members, based on the value of a member's accrued benefit in UCRP at the time of disqualification.

The current UCRP Guidelines for Rehired Retirees (copy attached) continue to apply to all rehired retirees regardless of age, including the requirement of a 30-day minimum break in service. However, due to the change in the UCRP Normal Retirement Date, discussions about reemployment may now begin before separation or retirement if a Member is age 60 and has at least 5 years of Service Credit. (The Guidelines and related information are available on the Internet at http://exchange.ucop.edu/documents/UCRP Waiver for Rehired Retirees/).

Michele E. French
Executive Director
HR/Benefits Policy and Program Design

cc: Senior Vice President Mullinix
Associate Vice President Boyette
Executive Director French
Chief Human Resources Officers
Academic Personnel Directors
Benefit Managers
Team Leaders and Unit Heads
University Counsel Clark
University Counsel Dana

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210-6 **Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series**

210-24 **Authority**

210-0 Policy

In their deliberations and preparations of reports and recommendations, academic review and appraisal committees shall be guided by the policies and procedures set forth in the respective *Instructions* which appear below.

210-1 Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series

The following instructions apply to review committees for actions concerning appointees in the Professor series and the Professor in Residence series; and, with appropriate modifications, for appointees in the Adjunct Professor series.

a. Purpose and Responsibility of the Review Committees

The quality of the faculty of the University of California is maintained primarily through objective and thorough appraisal, by competent faculty members, of each candidate for appointment or promotion. Responsibility for this appraisal falls largely upon the review committees nominated by the Committee on Academic Personnel or equivalent Committee and appointed by the Chancellor or a designated representative. It is the duty of these committees to ascertain the present fitness of each candidate and the likelihood of the candidate's pursuing a productive career. In judging the fitness of the candidate, it is appropriate to consider professional integrity as evidenced by performance of duties. (A useful guide for such consideration is furnished by the *Statement on Professional Ethics* issued by the American Association of University Professors. A copy of this *Statement* is appended to these instructions of 210-1 for purposes of reference.) Implied in the committee's responsibility for building and maintaining a faculty of the highest excellence is also a responsibility to the candidate for just recognition and encouragement of achievement.

b. Maintenance of the Committee's Effectiveness

(1) *The membership, deliberations, and recommendations of the review committee are strictly confidential*. The chair of each such committee should remind members of the committee of the confidential nature of the assignment. This should be kept in mind in arranging for all written or oral communications; and when recommendations with supporting documents have been forwarded, all copies or preliminary drafts should be destroyed. Under the provisions of Section 160 of the Academic Personnel Manual, the candidate is entitled to receive upon request from

the Chancellor a redacted copy of all confidential academic review records in the review file (without disclosure of the identities of members of the *ad hoc* review committee).

(2) The whole system of academic review by committees depends for its effectiveness upon each committee's prompt attention to its assignment and its conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.

(3) The chair of the review committee has the responsibility of making sure that each member of the committee has read and understands these instructions.

c. **Procedure**

(1) **General** — Recommendations concerning appointment, promotion, and appraisal normally originate with the department chair. The letter of recommendation should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should also present a report of the department chair's consultation with the members of the department, including any dissenting opinions. The letter should not identify individuals who have provided confidential letters of evaluation except by code. In addition to the letter of recommendation, the department chair is expected to assemble and submit to the Chancellor an up-to-date biography and bibliography, together with copies of research publications or other scholarly or creative work.

(2) **Appointments** — The department chair should include in the documentation opinions from colleagues in other institutions where the nominee has served and from other qualified persons having firsthand knowledge of the nominee's attainments. Extramural opinions are imperative in cases of proposed appointments to tenure status of persons from outside the University.

(3) **Promotions** — Promotions are based on merit; they are not automatic. Achievement, as it is demonstrated, should be rewarded by promotion. Promotions to tenure positions should be based on consideration of comparable work in the candidate's own field or in closely related fields. The department and the review committee should consider how the candidate stands in relation to other people in the field outside the University who might be considered alternative candidates for the position. The department chair shall supplement the opinions of

colleagues within the department by letters from distinguished extramural informants. The identity of such letter writers should not be provided in the departmental letter except by code.

(4) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted. If in the committee's judgment the evidence is insufficient to enable it to reach a clear recommendation, the committee chair, through the Chancellor, shall request amplification. In every case all obtainable evidence shall be carefully considered.

If in assessing all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-1-d below, the committee should recommend accordingly. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement. If there is evidence of sufficient achievement in a time frame that is extended due to a family accommodation as defined in APM - 760, the evidence should be treated procedurally in the same manner as evidence in 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.

d. **Criteria for Appointment, Promotion, and Appraisal**

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive. As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. *Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.* Insistence upon this standards for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and

transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career. The candidate may submit for the review file a presentation of his or her activity in all four areas.

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

The criteria set forth below are intended to serve as guides for minimum standards in judging the candidate, not to set boundaries to exclude other elements of performance that may be considered.

(1) **Teaching** — Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will a tenure commitment be made unless there is clear documentation of ability and diligence in the teaching role. In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups. The committee should pay due attention to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of

evidence on which its appraisal of teaching competence has been based. In those exceptional cases when no such evidence is available, the candidate's potentialities as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that a redacted copy of its report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany each review file. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates who have achieved notable professional success since leaving the University; (d) number and caliber of students guided in research by the candidate and of those attracted to the campus by the candidate's repute as a teacher; and (e) development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction.

All cases for advancement and promotion normally will include: (a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review; (c) their level; (d) their enrollments; (e) the percentage of students represented by student course evaluations for each course; (f) brief explanations for abnormal course loads; (g) identification of any new courses taught or of old courses when there was substantial reorganization of approach or content; (h) notice of any awards or formal mentions for distinguished teaching; (i) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (j) evaluation by other faculty members of teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

(2) **Research and Creative Work** — Evidence of a productive and creative mind should be sought in the candidate's published research or recognized artistic production in original architectural or engineering designs, or the like.

Publications in research and other creative accomplishment should be evaluated, not merely enumerated. There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance. Work in progress should be assessed whenever possible. When published work in joint authorship (or other product of joint effort) is presented as evidence, it is the responsibility of the department chair to establish as clearly as possible the role of the candidate in the joint effort. It should be recognized that special cases of collaboration occur in the performing arts and that the contribution of a particular collaborator may not be readily discernible by those viewing the finished work. When the candidate is such a collaborator, it is the responsibility of the department chair to make a separate evaluation of the candidate's contribution and to provide outside opinions based on observation of the work while in progress. Account should be taken of the type and quality of creative activity normally expected in the candidate's field. Appraisals of publications or other works in the scholarly and critical literature provide important testimony. Due consideration should be given to variations among fields and specialties and to new genres and fields of inquiry.

Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama, and dance, distinguished performance, including conducting and directing, is evidence of a candidate's creativity.

(3) **Professional Competence and Activity** — In certain positions in the professional schools and colleges, such as architecture, business

administration, dentistry, engineering, law, medicine, etc., a demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the the candidate's field. It is responsibility of the department chair to provide evidence that the position in question is of the type described above and that the candidate is qualified to fill it.

(4) **University and Public Service** — The faculty plays an important role in the administration of the University and in the formulation of its policies. Recognition should therefore be given to scholars who prove themselves to be able administrators and who participate effectively and imaginatively in faculty government and the formulation of departmental, college, and University policies. Services by members of the faculty to the community, State, and nation, both in their special capacities as scholars and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality, should likewise be recognized as evidence for promotion. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence, as should contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of the faculty.

e. **The Report**

(1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel or its equivalent and for action by the Chancellor and by the President. Consequently, the report should include an appraisal of all significant evidence, favorable and unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of

the qualifications specified above. It should be adequately documented by reference to the supporting material. It should document the vote of the review committee but not identify the voters. It should not provide the identity of individuals who have provided confidential evaluations except by code.

(2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

Appended for reference is the statement on professional ethics referred to in APM - 210-1-a of these instructions.

American Association of University Professors
Policy Documents & Reports
Pages 75-76, 1990

Statement on Professional Ethics
(Endorsed by the Seventy-Third Annual Meeting, June 1987)

The Statement

I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles of intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

210-2 **Instructions to Review Committees Which Advise on Actions Concerning the Professor of Clinical (*e.g., Medicine*) Series**

a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 275 for policies on the Professor of Clinical (*e.g., Medicine*) series.

b. The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) professional competence and activity, (3) creative work, and (4) University and public service.

The department chair is responsible for documenting the faculty member's division of effort among the four areas of activity. The chair should also indicate the appropriateness of this division to the position that the individual fills in the department, school, or clinical teaching faculty.

Appointees in the Professor of Clinical (*e.g., Medicine*) series are to be evaluated in relation to the nature and time commitments of their University assignments.

The criteria set forth below are intended to serve as guides for the review committee in judging the candidate, not to set boundaries to the elements of performance that may be considered.

Clinical teaching, professional activity, and creative work may differ from standard professorial activities in the University, but can be judged on the basis of professional competence, intellectual contribution, and originality.

(1) **Teaching** — Excellent teaching is an essential criterion for appointment or advancement. Clinical teaching is intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by pressure on the teacher to cope with unpredictably varied problems, by patient-centered immediacy of the subject matter, and by the necessity of preparing the student to take action as a result of the interchange.

Nevertheless, the criteria suggested in the instructions for the regular Professor series (see APM - 210-1) are applicable:

. . . the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; . . . spirit and enthusiasm which vitalize the

candidate's learning and teaching; ability to arouse curiosity in beginning students and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; the extent and skill of the candidate's participation in the general guidance and advising of students . . ..

In addition, the clinical teacher should be successful in applying knowledge of basic health science and clinical procedures to the diagnosis, treatment, and care of a patient in a manner that will not only assure the best educational opportunity for the student, but also provide high quality care for the patient.

For appointment to a title in this series, the appointee should have a record of active participation and excellence in teaching, whether for health professional students, graduate students, residents, postdoctoral fellows, or continuing education students.

For promotion to or appointment at the Professor rank, the appointee should be recognized as an outstanding clinical teacher. Most candidates will have designed educational programs at a local level, and some will have designed such programs at a national level.

(2) **Professional Competence and Activity** — There must be appropriate recognition and evaluation of professional activity. Exemplary professional practice, organization of training programs for health professionals, and supervision of health care facilities and operations comprise a substantial proportion of the academic effort of many health sciences faculty. In decisions on academic advancement, these are essential contributions to the mission of the University and deserve critical consideration and weighting comparable to those of teaching and creative activity.

(a) Standards for Appointment or Promotion

For entry level positions, the individual should have three or more years of training and/or experience post M.D., Ph.D. or equivalent terminal professional degree. In addition, an appointee should show evidence of a high level of competence in a clinical specialty.

For promotion to or appointment at the Associate Professor rank, an appointee should be recognized at least in the local metropolitan health care community as an authority within a clinical specialty. A physician normally will have a regional reputation as a referral

physician; another health professional normally will have a regional reputation as evidenced in such work as that of a consultant.

For promotion to or appointment at the Professor rank, the appointee will have a national reputation for superior accomplishments within a clinical specialty and may have a leadership role in a department or hospital. Appointees may receive patients on referral from considerable distances, serve as consultants on a nationwide basis, serve on specialty boards, or be members or officers of clinical and/or professional societies.

(b) Evaluation of Clinical Achievement

Evaluation of clinical achievement is both difficult and sensitive. In many cases, evidence will be testimonial in nature and, therefore, its validity should be subject to critical scrutiny. The specificity and analytic nature of such evidence should be examined; the expertise and sincerity of the informant should be weighed.

Overly enthusiastic endorsements and cliche-ridden praise should be disregarded.

Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. Letters from outside authorities, when based on adequate knowledge of the individual and written to conform to the requirements cited above, are valuable contributions. Evaluation or review by peers within the institution is necessary. The chair should also seek evaluations from advanced clinical students and former students in academic positions or clinical practice.

If adequate information is not included in the materials sent forward by the chair, it is the review committee's responsibility to request such information through the Chancellor.

(3) **Creative work** — Many faculty in the health sciences devote a great proportion of their time to the inseparable activities of teaching and clinical service and, therefore, have less time for formal creative work than most other scholars in the University. Some clinical faculty devote this limited time to academic research activities; others utilize their clinical experience as the basis of their creative work.

An appointee is expected to participate in investigation in basic, applied, or clinical sciences. In order to be appointed or promoted to the Associate or full Professor rank, an appointee shall have made a significant contribution to knowledge and/or practice in the field. The appointee's creative work shall have been disseminated, for example, in a body of publications, in teaching materials used in other institutions, or in improvements or innovations in professional practice which have been adopted elsewhere.

Evidence of achievement in this area may include clinical case reports. Clinical observations are an important contribution to the advancement of knowledge in the health sciences and should be judged by their accuracy, scholarship, and utility. Improvements in the practice of health care result from the development and evaluation of techniques and procedures by clinical investigators. In addition, creative achievement may be demonstrated by the development of innovative programs in health care itself or in transmitting knowledge associated with new fields or other professions.

Textbooks and similar publications, or contributions by candidates to the professional literature and the advancement of professional practice or of professional education, should be judged as creative work when they represent new ideas or incorporate scholarly research. The development of new or better ways of teaching the basic knowledge and skills required by students in the health sciences may be considered evidence of creative work.

The quantitative productivity level achieved by a faculty member should be assessed realistically, with knowledge of the time and institutional resources allotted to the individual for creative work.

(4) **University and Public Service** — The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. The department chair should provide both a list of service activities and an analysis of the quality of this service.

210-3 **Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment Series**

a. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e, shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 285 both for policies and procedures on appointments in the Lecturer with Security of Employment series.

b. The review committee shall judge the candidate with respect to the proposed rank and duties considering the record of the candidate's performance in (1) teaching, (2) professional achievement and activity, and (3) University and public service.

c. The criteria set forth below are intended to serve as guides for minimum standards by which to judge the candidate, not to set boundaries to exclude other elements of performance that may be considered, as agreed upon by the candidate and the department.

(1) **Teaching**

Clearly demonstrated evidence of excellent teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will security of employment be conferred unless there is clear documentation of outstanding teaching.

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; ability to arouse curiosity in students and to encourage high standards; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; and effectiveness in creating an academic environment that is open and encouraging to all students. The committee should pay due attention to the variety of demands placed on Lecturers by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching competence has been based. In those exceptional cases of an

initial appointment where no such evidence is available, the candidate's potential as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that the report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates; and (d) development of new and effective techniques of instruction.

All cases for advancement and promotion normally will include: (a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review which includes (i) the level of courses and tutorials taught, (ii) the enrollments of courses and tutorials taught, and (iii) for each course, the percentage of student course evaluations in relation to the total number of students in the course; (c) brief explanations for abnormal course loads; (d) identification of any new courses taught or of old courses which the candidate has substantially reorganized in approach or content; (e) notice of any awards or other acknowledgments of distinguished teaching; (f) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (g) commentary by other faculty on teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

(2) **Professional Achievement and Activity**

A demonstrated distinction in the special competencies appropriate to teaching the particular subject is one of the criteria for appointment or promotion. The candidate's professional activities should be scrutinized

for evidence of achievement and leadership. Intellectual leadership must be documented by materials demonstrating that the candidate has, through publication (either in traditional forms or in electronic format), creative accomplishments, or other professional activity, made outstanding and recognized contributions to the development of his or her special field and/or of pedagogy.

(3) **University and Public Service**

The review committee should evaluate both the quantity and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. Evidence of suitability for promotion may be demonstrated in services to the community, state, and nation, both in the candidate's special capacities as a teacher and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence. The department chair should provide both a list of service activities and an analysis of the quality of this service.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions.

210-4 **Instructions to Review Committees Which Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series**

a. The committees here referred to, either standing or *ad hoc* or both, are designated as review committees in what follows. Authorization for their appointment is described in APM - 360-6-b and -c.

b. The quality of the librarian series at the University of California is maintained primarily through objective and thorough review by peers and administrators of each candidate for appointment, merit increase, promotion, and career status action. Responsibility for this review falls, in part, upon the review committee(s). For purposes of appointments, it is the duty of these committees to assess the present qualifications of the candidates and their potential as productive members of the library staffs. For purposes of merit increases, promotions, and career status actions, it is the duty of these committees to assess an individual's performance during a given review period to determine if a merit, promotion, or career status action should be recommended. Review committees should refer to APM - 360 for information concerning appointment, merit increase, promotion, and career status actions.

In conducting its review and arriving at its judgment concerning a candidate, each review committee shall be guided by the criteria as mentioned in APM - 360-10 and described in APM - 210-4-e.

c. **Maintenance of the Committees' Effectiveness**

(1) *The deliberations and recommendations of the review committees are to be strictly confidential. The membership and report of each ad hoc review committee are confidential.* The chair of each committee shall remind members of the confidential nature of the assignment. This requirement must be kept in mind when arrangements are made through the Chancellor or designee for written or oral communications. When recommendations with supporting documents have been forwarded to the Chancellor or designee, all copies or preliminary drafts shall be destroyed. Under the provisions of APM - 360-80-l, the candidate is entitled to receive from the Chancellor or designee a redacted copy of the confidential documents in the academic review record (without disclosure of the identities of members of the *ad hoc* review committee and without separate identification of the evaluation and recommendation made by the *ad hoc* review committee).

(2) The entire system of review by such committees depends for its effectiveness upon each committee's prompt attention to its assignment

and its conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.

(3) The chair of the review committee has the responsibility for making sure that each member of the committee has read and understands these instructions.

d. **Procedures**

(1) **General** — Recommendations for appointments, merit increases, promotions, and career status actions normally originate with the department or unit head, herein called the review initiator. (See APM - 360-80-e.) The letter of recommendation shall provide a comprehensive assessment of the candidate's qualifications, together with detailed evidence to support the evaluation, including an up-to-date biography and bibliography. The letter should also present a report of consultation with appropriate members of the professional library staff and others in a position to evaluate performance and should include any dissenting opinions.

In the case of an appointment, opinions from colleagues in other institutions where the candidate has served and from other qualified persons having firsthand knowledge of the candidate's attainments are to be included, if feasible.

In the review of a proposed merit increase, promotion or career status action (the general procedure for all shall normally be the same, subject to any special campus procedures), extramural evidence, when it can be obtained, is highly desirable although not required.

(2) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted. If, in the committee's judgment, the evidence is incomplete or inadequate to enable it to reach a clear recommendation, the committee shall solicit additional information through the Chancellor or designee and request amplification or new material. In every case, all obtainable evidence shall be carefully considered.

If, according to such evidence, the candidate fails to meet the criteria set forth in APM - 210-4-e, the committee should recommend against the proposed action.

If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse or propose a recommendation for higher rank or higher step within rank which would constitute an accelerated advancement of an appointee.

e. **Criteria**

(1) **Appointments** — A candidate for appointment to this series shall normally be required to have a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

Selection of an individual to be appointed to the rank of Assistant Librarian is based upon the requirements of the position with due attention to the candidate's demonstrated competence, knowledge and experience. A person appointed as Assistant Librarian without previous professional library experience should normally be appointed at Step I. A person who has had previous experience relevant to the position may be appointed to one of the higher salary levels in this rank, depending on the candidate's aptitude, the extent of prior experience, and/or the requirements of the position.

A candidate with extensive previous relevant experience and superior qualifications who is being considered for a highly demanding and responsible position should be appointed to one of the two higher ranks in the series. The criteria for the appointment to either of these levels will be the same as those for promotion as outlined below.

(2) **Merit Increases and Promotions** — At the time of original appointment to a title in this series, each appointee shall be informed that continuation or advancement is justified only by demonstrated skills and achievement which will be determined after objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for continuation or advancement, there is no obligation on the part of the University to continue or to promote. On the other hand, accelerated promotion is possible if achievement has been exceptional. An appointee will be eligible for promotion only if there are demonstrated superior professional skills and achievement. For some, promotion may involve a position change; for others, promotion may not necessarily involve position change but will depend upon increased responsibility as well as

growing competence and contribution in the same position. The assumption of administrative responsibilities is not a necessary condition for promotion.

A candidate for merit increase or promotion in this series shall be judged on the basis of professional competence and quality of service rendered within the library and, to the extent they are relevant, one or more of the following: professional activity outside the library; University and public service; and research and other creative activity. (See APM - 360-10.)

(3) The criteria as set forth in detail below are intended to serve as general guidelines and do not preclude consideration of other unique service to the University. In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of these criteria.

(a) **Professional Competence and Quality of Service Within the Library** — Although contribution in each of the following areas will vary considerably from person to person depending on each person's primary functions as a librarian, performance and potential shall be reviewed and evaluated in any or all of the five major areas of librarianship: selection and development of resources; bibliographic control of collections and their organization for use; reference and advisory service; development and application of specialized information systems; and library administration and management. Additionally, librarians should be judged on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.

Evidence of effective service may include the opinions of professional colleagues, particularly those who work closely or continuously with the appointee; the opinions of faculty members, students, or other members of the University community as to the quality of a collection developed, for example, or the technical or public service provided by the candidate; the opinions of librarians outside the University who function in the same specialty as the candidate; the effectiveness of the techniques applied or procedures developed by the candidate; and relevant additional educational achievement, including programs of advanced study or courses taken toward improvement of language or subject knowledge.

(b) **Professional Activity Outside the Library** — A candidate's professional commitment and contribution to the library profession should be evaluated by taking account of such activities as the following: membership and activity in professional and scholarly organizations; participation in library and other professional meetings and conferences; consulting or similar service; outstanding achievement or promise as evidenced by awards, fellowships, grants; teaching and lecturing; and editorial activity.

(c) **University and Public Service** — Recognition should be given to those who participate effectively and imaginatively in library-wide and University service (including serving on campus or University-wide administrative or academic committees), and in professional librarian services to the community, state, and nation.

(d) **Research and Other Creative Activity** — Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. It is therefore appropriate to take it into account in measuring a librarian's professional development. The evaluation of such research or other creative activity should be qualitative and not merely quantitative and should be made in comparison with the activity and quality appropriate to the candidate's specialty. Note should be taken of continued and effective endeavor. Reports, handbooks, manuals, and similar documents may be considered under this heading only if they present new ideas or incorporate research; otherwise, they should be regarded solely as evidence of professional service.

f. **The Report**

(1) The report of the review committee(s) forms the basis for further administrative review and action by the Chancellor or designee. Consequently, the report should include an assessment of all significant evidence, favorable and unfavorable. It should be specific and analytical, should include the review committee's evaluation of the candidate with respect to the qualifications specified, and should be adequately documented by reference to the supporting material.

(2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a

unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

210-5 **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Supervisor of Physical Education Series**

The following instructions apply to review committees for actions concerning appointees in the Supervisor of Physical Education series (see APM - 300).

The Supervisor of Physical Education series has been designated for those members of a Department of Physical Education or Physical Activities who teach, promote and/or supervise physical activities, intercollegiate athletics, or intramural sports programs; teach courses and establish curricula in physical education; coordinate or administer campus intercollegiate athletics or recreation programs.

The titles Assistant Supervisor, Associate Supervisor, and Supervisor of Physical Education have been granted limited equivalency with the corresponding titles in the Professor series. The equivalency extends to leave of absence privileges (including sabbatical leave) and tenure at the two higher ranks. The supervisor series is not used for those members of a Department of Physical Education or Physical Activities of whom research is required and thus properly belong in the Professor series.

a. **Purpose and Responsibility of the Review Committees**

While the review criteria differ in the supervisor series from the requirements of the Professor series, the quality of the faculty in both series is maintained through objective and thorough appraisal of each candidate for appointment and promotion. Significant responsibility for this appraisal falls to the review committees nominated by the Committee on Academic Personnel (or other appropriate committee) and appointed by the Chancellor. It is the duty of the review committee to ascertain the present fitness of each candidate and the likelihood of a continuing productive career. Implicit in the committee's responsibility for maintenance of a quality faculty is just recognition and encouragement of achievement on the part of the candidate.

b. **Maintenance of the Committee's Effectiveness**

The chair of the review committee has the responsibility of assuring that these instructions have been read and understood by the members, that *strict confidentiality* is maintained by the committee, and that committee actions are carried out with as much dispatch as is consistent with thoughtful consideration. These requirements are presented in greater detail in Section 210-1-b.

c. **Procedure**

(1) **General** — Recommendations for appointment and promotion normally originate with the department chair who should include in the letter of recommendation a comprehensive assessment of the candidate's qualifications and detailed related evidence, and a report of the appropriate consultation with departmental colleagues, recording the vote and the nature of any dissenting opinions. In addition, the department chair is expected to assemble and submit with the recommendation teaching evaluations, updated biographical information, evidence of the candidate's effectiveness, leadership, and professional growth in all assigned areas of responsibility, and any other items pertinent to the review.

(2) **Appointments** — The documentation provided with the department chair's recommendation should include opinions from colleagues in other institutions where the candidate has served, and from other qualified persons having direct knowledge of the candidate's attainments. Extramural opinions are imperative in the case of proposed tenured appointments.

(3) **Promotions** — Promotions are based on merit, and should be recommended only when achievement and the promise of future contributions warrant such action. Both the department and the review committee should consider the candidate's teaching, leadership, professional development and standing in relation to others who might be considered alternative candidates for the position. The department chair should supplement the opinions of departmental colleagues with letters from qualified extramural informants.

(4) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted and if deemed inadequate to reach a clear recommendation, the committee chair shall request, through the Chancellor, additional evidence or amplification. All obtainable evidence shall be carefully considered.

If, according to all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-5-d below, the committee should recommend against appointment or promotion. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement.

d. **Criteria for Appointment and Promotion**

The review committee shall judge the candidate for the proposed rank and duties, considering the record of performance in (a) teaching, (b) professional achievement and leadership in one or more of the following: physical activities, campus intramural or recreation programs, extramural sports, or intercollegiate sports programs; and (c) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing heavier commitments and responsibilities in one area against lighter responsibilities in another. Although published research is *not* required of those in the supervisor of physical education series, such research or other creative activity should be given appropriate recognition as adding to the knowledge in the field. However, neither the flexibility noted above nor the absence of a research requirement should entail a relaxation of the University's high standards for appointment and promotion. *Superior attainment and the promise of future growth, as evidenced in teaching, program leadership, professional development, and University and public service, are indispensable qualifications for appointment and promotions to tenure positions.*

The criteria outlined below are intended to guide reviewing agencies in judging the candidate, not to set boundaries to the elements of performance that may be considered.

(1) **Teaching** — Effective teaching is an essential criterion to appointment or advancement. Under no circumstances will a tenure commitment be made unless there is a clear evidence of ability and diligence in the teaching role. In assessing performance in this area, the committee should consider the candidate's command of the subject; continued growth; mastering of new topics to improve effective service to the University; ability to organize and present course materials; grasp of general objectives; ability to awaken in students an awareness of the importance of subject matter to the growth of the individual; extent and quality of participation; achievements of students in their field.

It is the responsibility of the department chair to provide meaningful statements, accompanied by evidence, including student evaluations, regarding the candidate's effectiveness in teaching.

If the information provided is deemed inadequate, it is the responsibility of the chair of the committee to request additional material, through the Chancellor.

(2) **Professional Achievement and Activity** — Although published research is not required of those in the supervisor series, any pertinent activity or creative work in this area shall be given due consideration as evidence of professional achievement or leadership.

In reviewing the candidate's suitability for appointment or promotion, the committee should evaluate the evidence for professional achievement as shown by educational attainment, record of accomplishment, and promise of future growth. No recommendation for tenure should be made unless this evidence clearly demonstrates that the candidate has superior leadership qualities in one or more of the areas of supervising, coaching, or administering programs in physical education, physical activities, recreation or sports. For appointment or promotion to the rank of Supervisor, significant and extramurally recognized distinction is required. It is the responsibility of the department chair to provide evidence that bears on the questions of leadership and of professional achievement and activity. This may include evidence related to educational accomplishment; the institution of effective and innovative programs; competitive sports records; activity in professional organizations; supervision of personnel; administration of activities, sports, or recreation programs; and other appropriate information.

(3) **University and Public Service** — The committee should evaluate both the amount and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. The department chair should provide both a listing of service aspects and an analysis of the quality of this service.

(4) The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of faculty members.

e. **The Report**

(1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel (or equivalent) and for action by the Chancellor and by the President. Consequently, it should include an appraisal of all significant evidence, favorable or unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of the qualifications

specified above. It should be adequately documented by reference to the supporting material.

(2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reason therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

210-6 **Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series**

a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The instructions below apply to review committees for actions concerning appointees in the Health Sciences Clinical Professor series. The committee should refer to APM - 278 for policies on the Health Sciences Clinical Professor series.

b. The review committee shall evaluate the candidate with respect to proposed rank and duties, considering the record of the candidate's performance in (1) professional competence and activity, (2) teaching, (3) University and public service, and (4) research and creative work. Activities in items (3) and (4) are desirable and encouraged to the extent required by campus guidelines. See APM - 278-10-c and -d.

For appointments, the chair shall provide a description of the proposed allocation of the candidate's time in the areas of activity. For advancement, the chair shall document the faculty member's allocation of effort among the areas of activity. The chair should also indicate the appropriateness of this allocation to the position that the individual holds in the department, school, or clinical teaching faculty.

Appointees in the Health Sciences Clinical Professor series shall be evaluated in relation to the nature and the allocation of time of their University assignments. Faculty with part-time appointments are expected to show the same quality of performance as full-time appointees, but the amount of activity may be less.

The criteria set forth below are intended to serve as guidelines for the review committee in judging the candidate, not as boundaries for the elements of performance that may be considered.

(1) **Professional Competence and Activity**

The evaluation of professional competence and activity generally focuses on the quality of patient care.

A demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be reviewed for evidence of achievement, leadership, or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems.

a. Professional Practice

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate and the likelihood that the candidate will be a competent teacher and develop an excellent professional practice.

In addition to proven competence in teaching, a candidate for appointment or promotion to the rank of Health Sciences Associate Clinical Professor or Health Sciences Clinical Professor in this series should show evidence of excellence in professional practice. Such evidence may include, but is not limited to, evaluations that demonstrate:

- provision of high-quality patient care;
- a high level of competence in a clinical specialty;
- expanded breadth of clinical responsibilities;
- significant participation in the activities of clinical and/or professional groups;
- effective development, expansion, or administration of a clinical service; or
- recognition or certification by a professional group.

The review committee should judge the significance and quantity of clinical achievement and contribution to the profession. In many cases, evidence of clinical achievement will be testimonial in nature.

(b) Professional Activity

An individual's role in the organization of training programs for health professionals and the supervision of health care facilities and operations may provide evidence of exemplary professional activity. In decisions bearing on academic advancement, these activities should be recognized as important contributions to the mission of the University.

(2) **Teaching**

Teaching is a required duty of clinical faculty. Before making an initial appointment to this series, the review committee should evaluate the candidate's potential to be an effective teacher. Evidence of excellence in clinical teaching is essential for advancement in this series. Teaching may involve registered University of California students, housestaff, fellows, and postdoctoral scholars. Normally teaching in the clinical setting comprises intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by multiple demands on the teacher to cope with unpredictably varied problems, patient needs, and the necessity of preparing the students to exercise judgment and/or take action. Nevertheless, the criteria suggested for evaluating teaching in the regular Professor series are applicable:

> In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; . . . fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students. (APM - 210-1-d(1))

In addition, the clinical teacher should be successful in applying knowledge of basic health science and clinical procedures to the diagnosis, treatment, and care of a patient that will not only assure the best educational opportunity for the student, but will also provide the highest quality care for the patient.

Dossiers for advancement and promotion normally will include evaluations and comments solicited from students.

(3) **University and Public Service**

The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for various schools or departments.

(4) **Research and Creative Work**

The review committee should evaluate research and creative work, to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for different schools or departments.

Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. As a general rule, for appointment and promotion at the level of Health Sciences Associate Clinical Professor, faculty may demonstrate local or regional recognition for their clinical and teaching activities. For advancement to the Health Sciences Clinical Professor rank, faculty may demonstrate a regional or national reputation and should demonstrate highly distinguished clinical expertise, highly meritorious service, and excellence in teaching.

Extramural referee letters may be requested for new appointments and promotions if required by campus procedures. For reviews at Health Sciences Clinical Professor, Step VI, and for above-scale salaries, the chair should request letters from authorities and should also seek evaluations from advanced clinical students and former students now in academic positions or clinical practice. If adequate information is not included in the materials sent forward by the chair, it is the review committee's responsibility to request such information through the Chancellor.

210-24 **Authority**

The responsibility to nominate and the authority to appoint review committees shall be in accordance with the stipulations set forth in the Manual Sections concerning the respective title series.

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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

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.

230-4 **Definition and Policy**

a. The Visiting prefix is used to designate one who:

(1) is appointed temporarily to perform the duties of the title to which the prefix is attached; and

(2) either has held, is on leave from, or is retired from an academic or research position at another educational institution, or, alternatively, whose research, creative activities or professional achievement makes a Visiting appointment appropriate. In the latter cases, the Chancellor must solicit advice on the appointment from the Divisional Committee on Academic Personnel or its equivalent.

b. The Visiting prefix may be attached to titles in any of the following series: Professor, Astronomer, Agronomist in the Agricultural Experiment Station, Professional Research, Specialist in Cooperative Extension, and Librarian; except that the Visiting prefix shall not be attached to the title Instructor, Junior Astronomer, or Junior Agronomist.

c. When a title with the Visiting prefix is assigned to a faculty member on leave or retired from another educational institution, the title will usually be the same as the individual's title at the home educational institution, with exceptions when connotations differ (e.g., Reader or Tutor in a British university).

d. If an academic appointee with a Visiting title is later considered for transfer to a corresponding appointment in the regular series, the proposal for such transfer shall be treated as a new appointment subject to full customary review.

230-10 **Criteria**

The criteria for evaluation of a candidate for appointment with a Visiting title shall be the same as for the corresponding regular title. Because the appointment is temporary, reasonable flexibility may be employed in the application of these criteria. Care should be taken to inform the appointee of the provisions of Section 230-4-d.

230-17 **Terms of Service**

Each appointment or reappointment with a Visiting title shall be for a specified term not to exceed one year. The total period of consecutive service with a Visiting title shall not exceed two years.

230-18 **Salary**

a. The salary of an appointee with a Visiting title shall be determined according to the special circumstances of the case, with due consideration given to the individual's regular salary or professional income. In some cases, it will be appropriate to separate considerations of rank from those of salary.

b. Since the negotiated salary for an appointment to a Visiting title may take into account certain relocation expenses, it should not necessarily be regarded as the appropriate salary for any subsequent regular appointment. (Relocation expenses are not the same as travel expenses; for travel expense reimbursement to a Visiting appointee, see the provisions of APM - 230-20-h.)

c. An appointee with a Visiting title in one of the schools of health sciences is not eligible for any of the Strict Full-Time or other special compensation plans of these schools. The Chancellor, after consultation with the Academic Senate, may approve exceptions to this provision in cases of full-time appointments involving patient-care responsibilities.

d. Because salaries of Visiting appointees are negotiated on an individual basis, such salaries are not subject to range adjustments which, when given, automatically affect the regular salary scales.

230-20 **Conditions of Employment**

a. Inasmuch as a Visiting appointment is temporary, with an ending date, and there is no expectation of continued employment, notice of intention not to reappoint is not required, but the formal appointment letter shall specify the starting and termination dates of the service period and indicate that the appointment is self-terminating.

b. As established under the terms of Section 103.9 of the Standing Order of The Regents, termination of the appointment of a faculty member, including that of a Visiting faculty member, before expiration of the contracted term shall be only for good cause, after opportunity for a hearing before the properly

constituted advisory committee of the Academic Senate. In all other cases of grievances pertaining to appointees holding a Visiting title, the provisions of APM - 140 are applicable.

c. An appointee with a Visiting title is not a member of the Academic Senate.

d. Certain removal expenses may be allowed a Visiting appointee who is subsequently appointed to regular faculty rank, or to the regular professional research series, as provided in APM - 560-14-d.

e. Sabbatical leave credit may be accrued by a Visiting appointee under the special conditions described in APM - 740-11-b.

f. Sick leaves, vacation leaves, or authorized special leaves with pay for Visiting appointees will be subject to the policies for corresponding ranks without the Visiting prefix.

g. Neither tenure nor security of employment is acquired by appointment to a Visiting title, although eligible service with certain Visiting titles is credited under the University's "eight-year" rule. (See APM - 133.)

h. Travel expenses for Visiting appointees:

(1) When employed at full time for at least one quarter, an appointee with a Visiting title may be reimbursed for expenses incurred in initially traveling from home to the campus to which appointed, subject to the provisions which appear in the following subsections. Agreements concerning such reimbursement shall be made at the time of negotiation for appointment, and payment of travel expense to the extent authorized by University regulations should not be incorporated in the salary, but paid separately.

Reimbursement for return travel may be made, after completion of the term of appointment, to the point of origin or the actual destination, whichever shall result in the lesser distance.

(2) When paid to Visiting appointees, travel expenses are subject to the following limitations:

(a) When the appointee travels alone, expenses and method of travel shall be governed by the University travel policy.

(b) When accompanied by spouse and/or children, or other near relatives (as defined in APM - 520-4) who regularly form part of the appointee's immediate household, the appointee has the option of claiming one of the following for reimbursement of travel expenses:

(1) The coach air fares from home to the campus to which appointed for the appointee and family members as described above; or

(2) Up to the maximum amount permitted by University policy for travel mileage by a privately owned automobile; or

(3) If the appointee elects to combine air travel from overseas to an airport on the North American continent and subsequent travel by automobile from that point to the campus to which appointed, only the equivalent of the coach air fares from home to the campus to which appointed for the appointee and family members as described above. (This option does not permit reimbursement for overseas air travel plus travel mileage by automobile.)

In case of election of the first or third option, only such miscellaneous expenses related to air travel as are permitted under the provisions of Business and Finance Bulletin G-28, Policy and Regulations Governing Travel, will be allowed.

(c) If, for personal convenience, an indirect route is traveled or travel by a direct route is interrupted, any resulting extra expense shall be borne by the traveler, and reimbursement for expense shall be based only on such charges as would have been incurred by the usually traveled route.

(3) Payments for travel expenses normally shall be made from the "Supplies and Expense" subaccount(s) (Sub 3) of the appropriate account(s) under which the appointment is made. See APM - 230-24-d for reimbursement of payments for travel expenses from other than the appropriate account(s).

(4) Advance signing of an agreement to refund a portion of the travel expense payment if the terms of the appointment are not fulfilled is not required of a Visiting appointee. Any repayment, should events require it, is left to the discretion of the Chancellor.

230-24 **Authority**

a. The Chancellor, the Provost and Senior Vice President—Academic Affairs, and the Vice President—Agriculture and Natural Resources are authorized to approve appointments with Visiting titles under their respective jurisdictions, except as noted in Sections 230-24-b.

b. The Chancellor is authorized 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) of the Standing Orders of The Regents.

c. The authority of the Chancellor, the Provost and Senior Vice President—Academic Affairs, and the Vice President—Agriculture and Natural Resources as stipulated above shall also apply for certain personnel actions having effective dates other than July 1 and for retroactive approvals.

d. The Chancellor, the Provost and Senior Vice President—Academic Affairs, and the Vice President—Agriculture and Natural Resources are authorized to approve the reimbursement of expenses for travel by an appointee with a Visiting title under their respective jurisdictions. If travel expenses are to be incurred outside the United States, prior approval is required for the reimbursement of such expenses. Prior approval is also required for reimbursement of payments for travel expenses from other than the appropriate account(s), whether with intramural or extramural funding.

230-80 **Procedures**

The general procedures for making Visiting appointments shall be the same as those specified for the corresponding regular academic title; e.g., in the Visiting Professor series, the provisions of APM - 220-80 would apply. Because a Visiting appointment is temporary and because it usually serves to recognize the title held at another educational institution, requirements for an *ad hoc* committee may be waived in accordance with APM - 220-80-k.

230-96 **Reports**

See APM - 200-96.

235-4 **Definitions**

a. The "Acting" prefix will be accorded only to a person on a temporary appointment. The prefix thus will signify the conditional, probationary, or emergency status of the appointment, as well as the privilege and responsibility of conducting research, and will often be applied to a person under consideration for appointment to a regular professorial title.

b. This prefix may properly be attached to any of the four titles in the professorial series. At the Instructor level, it will be used only in those cases when the department concerned establishes (to the satisfaction of the Dean of the school or college and of the Chancellor unless authority to appoint has been delegated to a Dean under APM - 235-24 below) that Instructor or Associate is not an appropriate designation for the appointment.

c. A highly promising Assistant Professor may be advanced to the title of Acting Associate Professor in those instances in which it has been determined that the appointee is not yet qualified for tenure status but should be compensated at a rate above the Assistant Professor scale. Such advancement requires review by the campus Committee on Academic Personnel and should occur only in the most exceptional cases. An Acting Associate Professor appointed under this provision retains all privileges to which the appointee was entitled as an Assistant Professor.

d. The title Acting Professor in a School of Law is the entry-level ladder rank title. An Acting Professor in a School of Law is governed by all academic personnel policies applicable to Assistant Professors.

235-10 **Criteria**

Inasmuch as Acting appointees are under consideration for appointment to a title in the professorial series, reference should be made to criteria set forth in sections concerning the particular professorial title involved.

235-17 **Term of Appointment**

a. Each appointment as Acting Instructor or Acting Assistant Professor (or equivalents) shall be for a specified term, not to exceed one year. The total period of service with these titles is limited to two years. (See also APM - 133-0.)

b. Each appointment as Acting Associate Professor or Acting Professor (or equivalents) shall be for a specified term, not to exceed two years. The total period of service with these titles is limited to four years. (See also APM - 133-0.)

c. Service in the title Acting Professor in a School of Law counts toward the eight-year limit under Standing Order 103.9. The four-year limit described in APM - 235-17-b does not apply.

235-18 **Salary**

See APM - 600-18. Acting Professors in the Schools of Law are paid on the Law School salary scale.

235-20 **Conditions of Employment**

The following provisions apply to the conditions of employment of an Acting appointee:

a. An Acting appointee employed 50 percent time or more is included in the University of California Retirement Plan, if the appointee meets the eligibility requirements.

b. Sabbatical leave credit may be accrued by an Acting appointee under special conditions described in APM - 740-11-b(1). An Acting Professor in a School of Law accrues sabbatical leave credit in the same manner as an Assistant Professor.

c. Removal expenses may be allowed an Acting appointee, as provided in APM - 560-14-b. An Acting Professor in a School of Law is eligible for removal expenses under APM - 560-14-a.

235-24 **Authority**

The Chancellor is authorized to approve Acting appointments.

235-25 **Transfer to Regular Status**

An Acting appointee may be transferred to a regular appointment at regular-scale salary provided the appointment has had appropriate Academic Senate review and approval of the Chancellor.

a. Upon official certification that an appointee has completed all formal degree requirements, the department chairperson at the chair's discretion, may recommend the appointee's immediate transfer to a regular appointment at a regular-scale salary.

b. When a change to a regular appointment is approved, the change in title shall be effective with the beginning of the quarter following the date of completion of all formal degree requirements and the change in salary shall be effective at the beginning of the pay period for that quarter.

c. An Acting Professor in a School of Law is eligible for consideration for promotion to Professor under the same provisions which govern the promotion of an Assistant Professor to Associate Professor. See APM - 220.

235-96 **Reports**

See APM - 200-96.

240-4 Definitions

a. An academic Dean or Provost is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. This includes fiscal responsibility for the unit, and responsibility for insuring that systemwide and local policies, including Academic Senate regulations, are observed.

b. A Divisional Dean is head of a Division of a College, School, or other similar academic unit and has administrative responsibility for that unit. A Divisional Dean may also head an intercollege/school division.

c. Deans of non-academic units such as student services are not covered by this policy.

240-10 Criteria for Appointment and Evaluation

Criteria for appointment and evaluation of a Dean or Provost shall be developed by each Chancellor or designee.

240-16 Restrictions

The following restrictions apply to the appointment of an academic Dean or Provost:

a. A Dean or Provost shall hold a concurrent University appointment in one of the following title series: Professor series, Professor in Residence series, or one of the equivalent ranks as defined by Regents' Standing Order 103.3. (See APM - 115)

b. An appointment to the position of Dean or Provost may be full time or part time. The personnel policies herein apply to all appointments, regardless of percent time.

240-18 Salary

a. Authority to approve salaries for the appointment of Deans and Provosts is established in the Personnel Policies for Staff Members, Appendix II, Personnel Policies for Senior Managers.

b. Academic-year or fiscal-year annual salaries up to the Regental Compensation threshold for the appointment of Acting Deans and Acting Provosts are approved by the Chancellor. This figure will be indexed annually in accordance with the Consumer Price Index.

c. Guidelines for the compensation of Divisional Deans, Associate Deans, and Assistant Deans are presented in APM - 630.

240-24 **Authority**

a. Appointment of a Dean or Provost:

The Chancellor has the authority to appoint a Dean or Provost. The Chancellor, in consultation with the Academic Senate, shall appoint a committee to advise in the selection of a Dean or Provost. In cases when the Dean is the head of a school or college consisting of a single department, the faculty of the school or college shall also be consulted. In cases involving professional schools offering courses at the graduate level only, the faculty of the school shall be consulted.

b. Appointment of Acting Dean or Acting Provost:

The Chancellor has the authority to appoint an Acting Dean or Acting Provost in accordance with local campus procedures. The appointment of an Acting Dean or Acting Provost shall be a temporary appointment normally for a period not to exceed twelve months.

c. Appointment of Divisional Dean, Associate Divisional Dean, Associate and Assistant Dean, Associate and Assistant Provosts:

Appointments of Divisional Dean, Associate Divisional Dean, Associate and Assistant Deans, Associate and Assistant Provosts, and acting appointments to those titles shall be made by the Chancellor upon the recommendation of the Dean or Provost under whom they serve and in accordance with specified campus procedures.

d. Deans and Provosts and acting appointments to those titles serve at the discretion of the Chancellor. The Chancellor may end the appointment of a Dean or Provost at will and at any time, after discussion with an appropriate group of the faculty determined by the Chancellor after consultation with the Chair of the Division of the Academic Senate.

e. Divisional Deans, Associate Divisional Deans, Associate and Assistant Deans, and Associate and Assistant Provosts serve at the discretion of the Chancellor. The Chancellor, after consultation with the appropriate Dean or Provost, may end these appointments at will and at any time. In the case of a Divisional Dean who heads an intercollege/school division, provisions for ending the appointment of a dean/provost apply. (See APM - 240-24-d.).

240-80 **Review Procedures**

a. A performance review for academic Deans and Provosts shall be conducted no later than the fifth year of service and at five-year intervals thereafter. In each case involving the review of a Dean or Provost, the Chancellor, in consultation with the Academic Senate, shall appoint an advisory committee to review the performance and accomplishments of the Dean or Provost. The advisory committee shall report its findings to the Chancellor.

b. The Chancellor or designee shall develop guidelines for the review of Divisional Deans, Associate Divisional Deans, Associate and Assistant Deans, and Associate and Assistant Provosts.

240-4 Definitions

a. An academic Dean or Provost is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. This includes fiscal responsibility for the unit, maintaining an affirmative action program for faculty and staff recruitment and retention consistent with University affirmative action policies, and responsibility for insuring that systemwide and local policies, including Academic Senate regulations, are observed.

b. A Divisional Dean is head of a Division of a College, School, or other similar academic unit and has administrative responsibility for that unit. A Divisional Dean may also head an intercollege/school division.

c. Deans of non-academic units such as student services are not covered by this policy.

240-10 Criteria for Appointment and Evaluation

Criteria for appointment and evaluation of a Dean or Provost shall be developed by each Chancellor or designee.

240-16 Restrictions

The following restrictions apply to the appointment of an academic Dean or Provost:

a. A Dean or Provost shall hold a concurrent University appointment in one of the following title series: Professor series, Professor in Residence series, or one of the equivalent ranks as defined by Regents' Standing Order 103.3. (See APM - 115)

b. An appointment to the position of Dean or Provost may be full time or part time. The personnel policies herein apply to all appointments, regardless of percent time. For Deans and Provosts appointed in the Senior Management Program, the Personnel Policies for Senior Managers, also apply. (Personnel Policies for Staff Members, Appendix II)

240-18 **Salary**

a. Authority to approve salaries for the appointment of Deans and Provosts is established in the Personnel Policies for Staff Members, Appendix II, Personnel Policies for Senior Managers.

b. Academic-year or fiscal-year annual salaries up to the Regental Compensation threshold for the appointment of Acting Deans and Acting Provosts are approved by the Chancellor. This figure will be indexed annually in accordance with the Consumer Price Index.

c. Guidelines for the compensation of Divisional Deans, Associate Deans, and Assistant Deans are presented in APM - 630.

240-24 **Authority**

a. Appointment of a Dean or Provost:

The Chancellor has the authority to appoint a Dean or Provost. The Chancellor, in consultation with the Academic Senate, shall appoint a committee to advise in the selection of a Dean or Provost. In cases when the Dean is the head of a school or college consisting of a single department, the faculty of the school or college shall also be consulted. In cases involving professional schools offering courses at the graduate level only, the faculty of the school shall be consulted.

b. Appointment of Acting Dean or Acting Provost:

The Chancellor has the authority to appoint an Acting Dean or Acting Provost in accordance with local campus procedures. The appointment of an Acting Dean or Acting Provost shall be a temporary appointment normally for a period not to exceed twelve months.

c. Appointment of Divisional Dean, Associate Divisional Dean, Associate and Assistant Dean, Associate and Assistant Provosts:

Appointments of Divisional Dean, Associate Divisional Dean, Associate and Assistant Deans, Associate and Assistant Provosts, and acting appointments to those titles shall be made by the Chancellor upon the recommendation of the Dean or Provost under whom they serve and in accordance with specified campus procedures.

d. Deans and Provosts and acting appointments to those titles serve at the discretion of the Chancellor. The Chancellor may end the appointment of a Dean or Provost at will and at any time, after discussion with an appropriate group of the faculty determined by the Chancellor after consultation with the Chair of the Division of the Academic Senate.

e. Divisional Deans, Associate Divisional Deans, Associate and Assistant Deans, and Associate and Assistant Provosts serve at the discretion of the Chancellor. The Chancellor, after consultation with the appropriate Dean or Provost, may end these appointments at will and at any time. In the case of a Divisional Dean who heads an intercollege/school division, provisions for ending the appointment of a dean/provost apply. (See APM - 240-24-d.).

240-80 **Review Procedures**

a. A performance review for academic Deans and Provosts shall be conducted no later than the fifth year of service and at five-year intervals thereafter. In each case involving the review of a Dean or Provost, the Chancellor, in consultation with the Academic Senate, shall appoint an advisory committee to review the performance and accomplishments of the Dean or Provost. The advisory committee shall report its findings to the Chancellor.

b. The Chancellor or designee shall develop guidelines for the review of Divisional Deans, Associate Divisional Deans, Associate and Assistant Deans, and Associate and Assistant Provosts.

242-24 **Authority**

a. The Director of an Organized Research Unit (ORU) is appointed by the Chancellor or Chancellor's designee after a nomination procedure on which the Chancellor and the Academic Senate have agreed. The founding Director of an ORU may be specified in the proposal to establish the ORU. When the appointment of a new Director is for an existing unit, the Advisory Committee should be solicited for nominations.

b. The Director of a Multi-campus Research Unit (MRU) is appointed by the Provost after consultation with the appropriate Chancellors and with the advice of a Search Committee appointed by the Vice Provost for Research. Nominations for membership on the Search Committee are solicited by the Vice Provost for Research from the Chair of the Academic Council and the Chancellors. Normally, at least one member of the Advisory or Executive Committee of an existing MRU seeking a new Director serves on the Search Committee.

The administrative policies and procedures concerning the University of California's Research Units may be viewed online at http://www.ucop.edu/research/orupolicy.html.

245-4 **Definition**

A department chair is a faculty member who serves as the academic leader and administrative head of a department of instruction or research, or a clinical service.

245-6 **Responsibility**

The duties of department chairs (or equivalent officers) are attached as Appendix A to APM - 245.

245-10 **Criteria for Appointment**

Criteria for appointment of a department chair shall be developed by each Chancellor.

245-11 **Criteria for Evaluating Leadership and Service in the Academic Personnel Process**

Academic leadership is, in itself, a significant academic activity. Therefore, distinguished leadership and effective discharge of administrative duties by a department chair shall be considered as appropriate criteria in evaluating the performance of a department chair for a merit increase, accelerated increase, or promotion. It is expected that a department chair will remain active in both teaching and research in order to maintain his or her capabilities in the appropriate field of scholarship. However, a chair who discharges his or her duties as a chair effectively may have reduced time for teaching and research. Reduced activity in these areas that results from active service as a department chair should be recognized as a shift in the type of academic activity pursued by the department chair rather than a shift away from academic pursuits altogether. Therefore, it is entirely appropriate to award a merit increase, or, if performance warrants it, an accelerated increase, primarily for demonstrated excellence in service in the chair appointment when accompanied by evidence of continued productive involvement in scholarly activities.

Promotions in rank and advancement up to Step V of the Professor rank should be considered with these criteria in mind. However, advancement above Step V of the Professor rank or to an above-scale salary are advancements of greater significance than promotion and merit increases up to Professor Step V and should require substantial justification beyond excellence of administrative service.

Department chairs who are being considered for academic advancement are subject to regular review procedures, including review by the Committee on Academic Personnel or the equivalent committee.

245-16 **Restrictions**

The policies governing the appointment and review of academic Deans, as outlined in APM - 240, shall take precedence in the case of a single department, school, or college in which the Dean also serves as department chair.

245-18 **Salary**

University policy permits payment of administrative stipends to chairs and vice chairs of departments of instruction or research, or a clinical service. For details on the Stipend Policy, see APM - 633.

245-24 **Authority**

a. The Chancellor has the authority to appoint department chairs upon the recommendation of the Dean or equivalent officer and after consultation with the tenured faculty in the department concerned.

b. The Chancellor has the authority to appoint acting chairs on a temporary basis for a period not to exceed 12 months. The Chancellor may reappoint an acting chair when circumstances warrant such action.

c. The appointment of a vice chair shall be recommended to the Chancellor by the chair and the Dean. The Chancellor has the authority to appoint the vice chair.

d. The department chair serves at the discretion of the Chancellor. The Chancellor, after consultation with the appropriate Dean or Provost and department faculty, may end the appointment of a department chair at will and at any time. This authority may not be redelegated.

e. The department vice chair serves at the discretion of the Chancellor. The Chancellor, after consultation with the appropriate Dean or Provost and the department chair, may end the appointment of the vice chair at will and at any time.

245-80 **Review Procedures**

The Chancellor shall establish campus policies with respect to review of department chairs at suitable intervals during their appointment; however, a department chair shall not serve longer than five consecutive years without review.

Duties of Department Chairs (or Equivalent Officers)*

The chair of a department of instruction and research is its leader and administrative head. Appointed by the Chancellor, the chair is responsible to the Chancellor through the Dean of the college or school.

As leader of the department, the chair has the following duties:

1. The appointee is in charge of planning the programs of the department in teaching, research, and other functions. The chair is expected to keep the curriculum of the department under review, and to maintain a climate that is hospitable to creativity, diversity, and innovation.

2. The appointee is responsible for the recruitment, selection, and evaluation of both the faculty and the staff personnel of the department. In consultation with colleagues, the chair recommends appointments, promotions, merit advances, and terminations. The appointee is responsible for maintaining a departmental affirmative action program for faculty and staff personnel, consistent with University affirmative action policies. The appointee is expected to make sure that faculty members are aware of the criteria prescribed for appointment and advancement, and to make appraisals and recommendations in accordance with the procedures and principles stated in the President's Instructions to Appointment and Promotion Committees.

3. The appointee should be receptive to questions, complaints, and suggestions from members of the department, both faculty and staff personnel, and from students, and should take appropriate action on them.

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*On some campuses some or all of the duties which are performed by the chair of a department of instruction and research may be performed by other officers. The College Provosts at San Diego perform some but not all of the duties of department chairs. The administrative heads of special academic agencies for curricular innovation are to some extent like department chairs. It is because of such variations from the traditional pattern of academic organization that the phrase "department chairs (or equivalent officers)" occurs in this memorandum and other textual references to department chair. Each Chancellor to whom this applies is responsible for making clear to such an "equivalent officer" which of the duties and responsibilities of department chairs are being entrusted.

The chair's administrative duties include the following (special assignments may be added from time to time, and the Chancellor or Dean may specify additional duties):

1. To make teaching assignments in accordance with the policy described in Regulation #750 of the Academic Senate,* and to make other assignments of duty to members of the department staff.

2. To prepare the schedule of courses and of times and places for class meetings.

3. To establish and supervise procedures for compliance with University regulations on the use of guest lecturers and Academic Senate Regulation #546 on special studies courses.**

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*750. (A) Only regularly appointed officers of instruction holding appropriate instructional titles may have substantial responsibility for the content and conduct of courses which are approved by the Academic Senate.

(B) Professors and professors in residence and adjunct professors of any rank, instructors, instructors in residence and adjunct instructors, and lecturers may give courses of any grade. Persons holding other instructional titles may teach lower division courses only, unless individually authorized to teach courses of higher grade by the appropriate Committee on Courses or Graduate Council. If a course is given in sections by several instructors, each instructor shall hold the required instructional title. (EC 15 Apr 74).

(C) Announcements of special study courses in which individual student work under the direction of various members of a department may state that presentation is by the staff, but a member of the department shall be designated as the instructor in charge.

(D) Only persons approved by the appropriate administrative officer, with the concurrence of the committee on courses concerned, may assist in instruction in courses authorized by the Academic Senate. (AM 16 Mar 70, 15 Jun 71)

(E) No student may serve as a reader or assistant in a course in which he/she is enrolled.

**546. Registration in special studies courses for undergraduates must be approved by the chair (or equivalent) of each department concerned. This approval must be based upon a written proposal submitted to the chair.

4. To make arrangements and assignments of duty for the counseling of students, and for the training and supervision of Teaching Assistants and other student teachers and teacher aides.

5. To prepare the budget and administer the financial affairs of the department, in accord with University procedures.

6. To schedule and recommend to the Chancellor sabbatical leaves and other leaves of absence for members of the department. (The chair may approve a leave of absence with pay for seven calendar days or less for attendance at a professional meeting or for the conduct of University business without submitting a leave of absence form.)

7. To report promptly the resignation or death of any member of the department.

8. To be responsible for the custody and authorized use of University property charged to the department, and for assigning departmental space and facilities to authorized activities in accordance with University policy and campus rules and regulations.

9. To be responsible for departmental observance of proper health and safety regulations, in coordination with the campus health and safety officer.

10. To maintain records and prepare reports in accord with University procedures.

11. To report any failure of a faculty or staff member to carry out responsibilities and to recommend appropriate disciplinary action.

12. To report annually on the department's affirmative action program, including a description of good faith efforts undertaken to ensure equal opportunity in appointment, promotion, and merit activities, as well as a report on affirmative action goals and results in accordance with campus policy.

In performing these duties, the chair is expected to seek the advice of faculty colleagues in a systematic way, and to provide for the conduct of department affairs in an orderly fashion through department meetings and the appointment of appropriate committees. The chair also is expected to seek student advice on matters of concern to students enrolled in the department's programs. In large departments, the chair may be assisted in the tasks involved in carrying out the responsibilities of the chair by a vice chair or other colleagues, and, when desired, by an executive committee chosen in an appropriate manner; however, the responsibilities themselves may not be delegated.

260-0 **Policy**

a. The title University Professor is reserved for scholars of the highest international distinction who are recognized and honored as the top scholars on their campus and are respected as teachers of exceptional ability.

b. Appointees to this title shall be distinguished members of the University of California Academic Senate who hold the rank of full Professor, Above Scale.

c. An appointment as University Professor does not alter the faculty member's appointment on the home campus. An appointment to this title confers affiliation with the entire University of California.

d. An appointment as University Professor is for an indefinite term unless rescinded by The Regents. Upon retirement, a University Professor becomes University Professor Emeritus. Pursuant to APM - 200-22, emeritus University Professors may be recalled to active service on a year-to-year basis.

e. While no arbitrary limit is placed upon the number of University Professors in active service during any period, the special responsibilities of the title and the rigor of the selection process are expected to keep the group quite small.

260-10 **Criteria**

A candidate for appointment as a University Professor shall be judged by the following criteria:

a. The candidate must be recognized nationally and internationally as a distinguished scholar whose work is of recognized superior quality according to the standards set by leading scholars in the field. There should be evidence that the candidate has made stellar contributions in the field, has conducted and published seminal research, and continues to produce original work. At the time of nomination, the candidate must be a member of the University of California Academic Senate who holds the rank of full Professor, Above Scale.

b. The candidate must be a successful teacher of exceptional ability. The candidate's ability and desire to teach, stimulate, and inspire and to communicate effectively with students should not be limited to majors and specialists in the individual's particular discipline. There should be evidence that the candidate excels at all levels of teaching including undergraduate

courses, graduate courses, thesis supervision, and/or professional courses, depending on the candidate's discipline.

c. The candidate must have interests and accomplishments that extend beyond a particular scientific, scholarly, or creative specialty and must also demonstrate a willingness to serve the University beyond the home campus. There should be evidence that the candidate has provided exemplary University and public service.

260-20 **Conditions of Employment**

A University Professor shall retain an appointment in a home department on the home campus. Visits to other campuses for formal and informal seminars and meetings with faculty and students, relating to both teaching and research or other creative work, are encouraged. Normally, the University Professor will not receive additional compensation for these services. The University Professor may also be called upon to address general audiences and serve the University in other appropriate ways.

More extended assignments to serve on another campus may be arranged. In any event, teaching assignments on the home campus shall be made with due regard for all such other activities as described above.

260-22 **Funding**

The salaries of University Professors shall be budgeted in their home departments.

Funding in support of a University Professor's Universitywide duties will be made available annually upon approval of the President. An amount not less than this sum will also be allocated annually by the Chancellor of the home campus for each incumbent. Normally, emeritus University Professors will not be eligible for funding from the President's Office.

260-24 **Authority**

Appointment of a University Professor shall be made by The Regents, upon recommendation by the President, after appropriate review as set forth in APM - 260-80.

260-80 **Procedure for Appointment**

a. A recommendation for appointment to this title will ordinarily originate in the home department of the candidate, and shall be supported by ample documentation of the individual's qualifications consistent with procedures for promotion reviews. Because appointments to the University Professor title are so rigorously evaluated, the home department is urged to consult at an early stage of the nomination process with the school/college and campus administration regarding the feasibility of a recommendation for appointment.

   In framing the proposal, the recommending officer will find it useful to follow the instructions to review committees (see APM - 210-1) as a basic guide to proper documentation, which shall include a complete, up-to-date bio-bibliographical record. Particular care should be exercised in assuring that an objective and representative sampling of opinion is obtained from within as well as outside the University and not solely from distinguished individuals in the candidate's own discipline. The views or opinions of a broad spectrum of current and former students shall be included.

   In addition, the candidate should submit a statement which indicates a willingness to serve as University Professor and a general outline of plans for fulfilling the responsibilities of a University Professor.

b. Review at the campus level shall include review by the appropriate Academic Senate committee. The committee report shall be submitted to the Chancellor. At all stages of the review process, absolute confidentiality must be maintained.

c. If the Chancellor approves the nomination, the Chancellor will forward the complete file with a recommendation to the President.

d. The President will appoint an ad hoc faculty review committee of members nominated for the particular case by the University Committee on Academic Personnel (UCAP). Such committee (ordinarily of five members) shall be composed of full Professors and shall include members from at least three campuses, including the home campus. (The appropriate Academic Senate committee of the home campus should also suggest names for members of the ad hoc committee. The President will forward such suggestions to the UCAP.)

The ad hoc committee shall be furnished the file as forwarded by the Chancellor. Request for additional information, when and if needed by the committee, shall be addressed to the Provost and Senior Vice President–Academic Affairs.

The ad hoc committee shall act as promptly as possible and provide a report of its review and comments to the President.

e. Prior to a decision, the President will consult with the University Committee on Academic Personnel for its recommendation. The President will make a decision as to appropriate action on the basis of the accumulated evidence and recommendations. If the decision is in favor of the proposed appointment, the President will recommend the candidate to The Regents for final approval.

f. If The Regents approve the appointment, the President will notify the individual.

265-0 **Policy**

The University of California policy on Presidential Chairs, dated July 2, 1981, is set forth in the following pages.

Office of the President
July 2, 1981

Policy on Presidential Chairs

A fund functioning as an endowment has been established by The Regents to support a continuing program of Presidential Chairs. The initial allocation to the fund will support nine chairs. This number may be augmented by the President with the approval of The Regents. The establishment of Chairs and appointment of Chair holders pursuant to this policy shall conform to the guidelines listed here.

Administrative Guidelines

1. Purpose of the Chairs

   Presidential Chairs are intended to encourage new or interdisciplinary program development or to enhance quality in existing academic programs of the University.

2. Support for the Chairs

   Allocations to support the program will be provided annually to the Chancellors through the normal budget process. Support for each Chair will be equivalent to the income from a $250,000 share of the program fund. The actual income allocated in any year will depend upon the earnings of the fund in the previous year. The program has been designed as a continuing commitment, and campuses may make permanent commitments for the tenure of any individual Presidential Chair holder.

3. Use of Funds

   Funds allocated to the campuses for Presidential Chairs may be used to support instructional activities, research, or other creative activities of the incumbent Chair holder. During periods in which there is no incumbent, campuses may utilize the allocation to support programs in the general academic area of the Chair(s) or carry forward the funds to augment the total amount available for the next incumbent.

   The income allocated for the Presidential Chairs may be subdivided to support more than one Chair as long as the minimum level of support for each such Chair, including campus matching funds, is at least equal to the income from $250,000. If the income from any $250,000 allocation of The Regents is subdivided, at least one of the Chairs created must further the program goals stated in 1. above and must be specifically designated as a Presidential Chair. Up to 50 percent of the total allocation to each campus for Presidential Chairs may be permanently encumbered, upon specific

agreement of the President, to establish a base for matching private funds for endowed chairs. Chairs not designated as Presidential Chairs established with these or other funds shall conform to *The Regents' Policy on Endowed Chairs* adopted May 16, 1980 and the *Administrative Guidelines for Campus Implementation of the Regental Policy on Endowed Chairs* issued May 16, 1980.

4. Procedure for Proposing a Presidential Chair

Chancellors shall be responsible for developing proposals to be submitted to the President for utilizing Presidential Chairs. Proposals may select from a range of options to carry out the broad academic purposes intended, e.g., Chairs to be filled on a permanent basis by tenured faculty members, rotating Chairs to be filled by a succession of visiting scholars or members of the campus faculty, or Chairs to be filled in alternate years, with Chair funds to be used for program support in the intervening years.

The Chancellor's submission to the President shall specify the fields or disciplines in which the Chair(s) will be designated and the relationship of the Chair(s) to campus priorities as indicated in the campus academic plan or other relevant planning documents. Departures from this arrangement would be only as a consequence of consultation with the Academic Senate and with students.

The submission must also indicate the procedure for consultation with the Academic Senate and the students in establishing the Chair and selecting appointees.

5. Appointment of Faculty Members as Presidential Chair Holders

Holders of Presidential Chairs shall be designated by the President of the University on the recommendation of the Chancellor, following established procedures for the appointment of members of the faculty as well as procedures described in section 3 of the *Administrative Guidelines* of May 16, 1980. No member of the faculty may hold a Presidential Chair while on indefinite leave.

6. Assignment of the Presidential Chairs

Presidential Chairs should be viewed as campuswide resources and are subject to reassignment by the Chancellor at the time an incumbent vacates the Chair. Reassignment will follow the proposal procedure described in 4. above.

7. Responsibility for the Program

The Academic Vice President shall be responsible for Universitywide aspects of this program.

270-4 **Definition**

Titles in this series are assigned to academically qualified individuals who engage in teaching, research or other creative work, and University and public service to the same extent and at the same level of performance as those holding corresponding titles in the Professor series in the same department. Such assignments, however, shall be made only under conditions and restrictions (see APM - 270-16, 270-17, and 270-20) which serve to make a clear distinction between appointments in this series and appointments in the Professor series (defined in APM - 220). Professor in Residence titles are intended to be used for individuals supported by non-State funds.

270-8 **Types of Appointments**

a. Titles (and ranks) in this series are:

(1) Instructor in Residence

(2) Assistant Professor in Residence

(3) Associate Professor in Residence

(4) Professor in Residence

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.

A *transfer* is a type of new appointment for an individual whose last appointment was in a University of California title, usually a faculty title. Regular academic review is required. An affirmative action search may not be required. For example, a transfer may occur because an individual's duties change. On some campuses, a transfer is called a "change of series." See APM - 270-16-e.

c. A *promotion* is an advancement from one rank to a higher rank within this series, usually the next rank as listed above.

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

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

270-10 **Criteria**

A candidate for appointment or advancement in this series shall be judged by the same four criteria and standards of performance specified for the Professor series:

a. Teaching

b. Research and creative work

c. Professional competence and activity

d. University and public service

These criteria and standards are set forth in the *Instructions to Review and Appraisal Committees* (see APM - 210-1).

270-16 **Restrictions**

a. An appointee holding a title in this series must either be a full-time academic employee of the University, with 100 percent of the employment allocated among one or more appointments to academic titles, or be certified by the Chancellor that his or her sole professional commitment is to the University. In either case, an appointee with a title in this series must be academically qualified to serve in a corresponding title in the Professor series in the same department, and must meet the criteria outlined in APM - 270-10.

b. Limits on State Funding:

Fifty percent or more of the base salary of the appointee shall come from funds other than General (State) funds, except that the Chancellor is authorized, under justifying circumstances, to fund more than 50 percent of the base salary from General (State) funds for a period normally not in excess of two years.

When an appointment in any title in this series is supported by General (19900) funds for more than 50 percent time (0.5 FTE), the total period of such appointment, in combination with appointments in the Adjunct Professor series supported by 19900 funds for more than 50 percent time shall not exceed eight years. In other words, there is a cumulative eight-year limit on State funding in the Adjunct Professor and Professor in Residence series. Exceptions to this provision are appointments as permitted pursuant to campus policies in the Neuropsychiatric Institutes at San Francisco and Los Angeles.

c. Limitation of Service:

Regardless of funding source, there is an eight year limitation of service for an appointee who holds the Assistant Professor in Residence title either alone or when combined with those titles listed in APM - 133-0-a.

d. To the extent that General (State) funds are used to support any part of the base salary of an academic appointee for service with a title in this series, the corresponding fractional part of a budgeted FTE shall also be used for the appointment.

e. Transfer of appointees to other titles:

(1) An appointee with a title in the Professor in Residence series may be appointed to the Professor series only following a competitive search. Under special circumstances, the Chancellor may grant an exception.

(2) Transfer of an Assistant Professor in Residence:

In cases where there has been a review of an Assistant Professor in Residence and the Chancellor has decided not to continue the individual's appointment in the Professor in Residence series, the individual may not be appointed to any faculty title for a period of five years.

Up to the time of the Chancellor's decision, an appointee may be transferred to other titles, with his or her consent, the recommendation of the department, and regular academic review. For restrictions on transfer to the Professor series, see (1) immediately above.

(3) Transfer of an Associate Professor in Residence and a Professor in Residence:

The Chancellor may approve transfer of an Associate Professor in Residence or a Professor in Residence to other titles, with the individual's consent, the recommendation of the department, and regular academic review. For restrictions on transfer to the Professor series, see (1) immediately above.

270-17 **Terms of Service**

a. An appointment to the title of Instructor in Residence or Assistant Professor in Residence shall be made with a specified ending date. The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specific period and that the appointment *ipso facto* ends at the specified date.

(1) **Instructor in Residence**

An initial appointment is limited to 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. Total University service as an Instructor in Residence may not exceed two years.

(2) **Assistant Professor in Residence**

Each appointment and reappointment is limited to a maximum term of two years. The appointment may be made for a shorter term. Total University service with this title and those titles listed in APM - 133-0-a may not exceed eight years.

b. An appointment to the title of Associate Professor in Residence or Professor in Residence may be made in two ways:

(1) **With a specific ending date**

For an Associate Professor in Residence (Steps I, II, III), each appointment is limited to a maximum term of two years. For an Associate Professor in Residence (Steps IV and V) and for a Professor in Residence, each appointment period is limited to a maximum term of three years. These appointments may be made for a shorter term.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specified period and that the appointment *ipso facto* ends at the specified date.

Termination prior to the specified ending date of such appointments may be only for good cause and is subject to the provisions of Standing Order 103.9 (see APM - 270-20).

(2) **With no specific ending date**

It is recommended that such appointments be made only when there is a reasonable expectation of long-term funding.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment does not carry either tenure or security of employment.

For provisions concerning termination, see APM - 270-20-a.

c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17, except that an appointment period normally will coincide with the University's fiscal year of July 1 through June 30. 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 - 270-24-a(6) and -a(7).

270-18 **Salary**

a. Appointments to titles in this series may be made with or without salary. For appointments with salary, the academic salary scales for the Professor series shall apply, subject to the terms of the compensation plan. All appointees, including those without salary, must be full-time in the service of the University or be certified by the Chancellor that his or her sole professional commitment is to the University (see APM - 270-16-a).

b. The normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.

270-20 **Conditions of Employment**

a. Expiration of an appointment and termination

(1) **Appointments with specific ending dates are subject to the following policies**:

(a) An appointment to a title in this series with a specified ending date expires by its own terms on that date, and additional notice of the ending of the appointment is not required.

However, in cases when appointments have been renewed at least once and if the funding sources and campus procedures permit, it is desirable (but not required) that a reasonable period of notice be given:

- appointees who will have more than two years of service by the end of the current appointment might be given as much as 12 months' notice;

- appointees who will have at least one year of service and not more than two years of service by the end of the current appointment might be given six months' notice.

The Chancellor shall establish procedures for the review of cases when an appointee with between 1 and 2 years of service is given less than 30 days notice, and when an appointee with more than 2 years of service is given less than 60 days notice. The Chancellor may establish procedures that include notice periods greater than those mentioned above.

(b) Non-reappointment of an Assistant Professor as a result of a personnel review:

When an Assistant Professor is not reappointed as a result of a personnel review, an individual who so requests in writing shall be given a written statement of the reasons for non-reappointment. The written statement shall be given to the individual before the specified ending date, whenever possible. The appointment, however, will expire on the specified ending date, regardless of such statement. See APM - 270-83 and -84.

(c) Termination prior to the specific ending date:

Termination prior to the specific ending date shall be only for good cause and is subject to the provisions of Standing Order 103.9.

(2) **Appointments with no specific ending date are subject to the following policies:**

Except in instances of resignation or dismissal for good cause, termination of an appointment with no specific ending date is subject to the following:

(a) Establishment of an ending date:

Written notice by the Chancellor of termination as a result of budgetary reasons, programmatic reasons, and/or lack of work serves to establish a specific ending date. Once a specific ending date has been established, appointments are subject to the provisions of Standing Order 103.9; termination before the specific ending date shall be made only for good cause and after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

Budgetary reasons include discontinuation of the funding for all or part of a program or project on which the appointee works and/or from which all or part of his or her salary is budgeted.

Programmatic changes include discontinuation of all or part of a program or project on which the appointee works.

Lack of work may be because of a change in the emphasis of an ongoing program or project, lack of funds, and/or the termination of an individual's appointment at a hospital affiliated or associated with the University.

Each appointee shall be notified in writing regarding this policy by the department chair or corresponding administrative officer at the time of appointment.

(b) Order of termination:

The order of termination for appointees with the same rank who are supported from the same funding source in the same department,

unit, or project, shall be on the basis of special skills, knowledge, or ability essential to the operation of the department, unit, or project.

When there is no substantial difference in the degree of special skills, knowledge, or ability essential to the department, unit, or project, the order of termination shall be in inverse order of seniority. Seniority is defined as the number of months of full-time equivalent service with the University.

(c) Review procedures:

The Chancellor shall establish procedures for the review of a recommendation by a department or a division to terminate an appointee as a result of budgetary reasons, programmatic changes, and/or lack of work.

(d) Written notice of specific ending date:

The Chancellor shall provide the appointee with written notice of termination. If the funding source will permit, it is desirable that the written notice of termination take effect on June 30 of the next academic year and, in any event, not less than 30 days after notification. If the funding source for the appointment will not permit 30 days' notice, the University shall provide a minimum of 30 days' notice and, if necessary, use 19900 (State) funds for that period. Appropriate pay in lieu of notice may be given.

(e) Performance evaluation:

Upon receipt of notice of termination, the appointee may request in writing an evaluation of his or her academic achievements. Such an evaluation will serve to establish for the record an institutional assessment of the appointee's qualifications and performance independent of budgetary and programmatic reasons.

b. Dismissal for misconduct:

The Faculty Code of Conduct applies to appointees in this series.

c. Appointees in this series are members of the Academic Senate. See Standing Order 105.1(a).

d. Neither tenure nor security of employment is acquired by appointment to a title in this series.

e. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that provision is available in the fund source(s) from which the salary is paid.

When the base salary of the appointee is supported wholly or partially by General (State) funds, leaves will be supported by General (State) funds in the same percentage of time. Each Chancellor shall establish campus procedures to provide for the administration of a leave program.

Appointees are not eligible for the sabbatical leave program as described in APM - 740.

270-24 **Authority**

Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review and subject to the restrictions in APM - 275-16 and 275-17, rests with the Chancellor except as noted in (a) below.

(a) **Professor in Residence at an above-scale salary:**

The Chancellor 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 - 270-85.)

(b) An initial appointment or subsequent reappointment of any person after his or her retirement may be made only on a year-to-year basis and with specific approval of the Chancellor.

(c) The Chancellor's authority as stipulated above extends to the approval of promotions and merit increases having effective dates other than July 1.

(d) The Chancellor's authority as set forth above also extends to the retroactive approval of appointments, promotions, and merit increases (that is, with the beginning date of service prior to the date of actual approval).

270-80 **Review Procedures**

The provisions of APM - 220-80-c, -d, -e, -f, -g, -h, -i, -j, and 220-84-b apply to appointees in this series.

270-81 **Procedure for Appointment and Reappointment of an Instructor in Residence**

The general provisions of APM - 220-80, as listed in Section 270-80, apply here. In addition:

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

b. The Chancellor shall give written notification to the candidate of the final decision to appoint or reappoint as Instructor. The ending date of an appointment shall be clearly shown on the appropriate campus approval document that effects the action.

c. The Chancellor shall inform the Instructor in Residence in writing of the nature and conditions of the appointment.

270-82 **Procedure for Appointment or Reappointment to the Rank of Assistant Professor in Residence**

The general provisions of APM - 220-80, as listed in APM - 270-80, 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 or reappointment. The ending date of an appointment or reappointment shall be clearly shown on the appropriate campus approval document that effects the action.

c. The Chancellor shall inform the Assistant Professor in Residence in writing of the nature and conditions of the appointment or reappointment.

270-83 **Procedure for the Formal Appraisal of an Assistant Professor in Residence**

Formal appraisals of Assistant Professors in Residence shall be made in order to arrive at preliminary assessments of the prospects of candidates for promotion as well as to identify appointees whose records of performance and advancement are below the level of excellence desired for continued membership in the faculty. The general provisions of APM - 220-80, as listed in Section 270-80, apply here. In addition:

a. Normally each Assistant Professor in Residence shall be appraised well in advance of possible promotion (usually 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, would call for an exception to the general rule. Each Assistant Professor in Residence 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 in Residence or with this title in combination with the titles listed in APM - 133-0-a. 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 in Residence 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 or terminal appointment.

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 so determines. On the basis of its study of all available information, the review committee shall submit a report to the Chancellor stating whether there is evidence of achievement and promise sufficient to justify the Assistant Professor in Residence's continued candidacy for eventual promotion. If the review committee finds that the

evidence does not justify the continued candidacy, it shall recommend non-reappointment or terminal appointment consistent with the limitations of service in APM - 133-0. The report of the *ad hoc* review committee shall then be considered by the Committee on Academic Personnel and the Chancellor. See APM - 220-80-g.

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 chairperson, 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 chairperson or the appointee.

270-84 **Procedure for Non-Reappointment of an Assistant Professor in Residence for Academic Reasons**

The general provisions of APM - 220-80, as listed in Section 270-80, apply here. In addition:

a. A proposal not to reappoint an Assistant Professor in Residence may originate with the department chairperson 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 - 270-82.

b. During a review of a formal appraisal, or consideration of reappointment or promotion of an Assistant Professor in Residence, 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.

c. The Chancellor is responsible for a decision not to reappoint or to make a terminal appointment of an Assistant Professor in Residence. This authority may not be redelegated. The Chancellor shall, through the Dean or Provost, inform the chairperson of a decision not to reappoint. The Chancellor shall provide a written statement to the individual advising of the outcome of the personnel review. Provisions regarding notice requirements are in APM - 270-20-a.

d. Each Chancellor is authorized to establish guidelines for responding to requests for written statements of reasons for non-reappointment subject to these conditions:

(1) no written statement shall be furnished except in response to a request in writing from the appointee; and

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

270-85 **Procedure for Appointment or Promotion to the Rank of Associate Professor in Residence or Professor in Residence**

The general provisions of APM - 220-80, as listed in Section 270-80, apply here. In addition:

a. With a recommendation for promotion, the following information shall be included in the chairperson's detailed statement:

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

(2) the nature and extent of the faculty member's research, professional competence and activity, University and public service; and

(3) current biographical and bibliographical information.

b. An *ad hoc* 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 the decision as to appropriate action on the basis of the accumulated evidence and recommendations and in accordance with the provisions of APM - 220-80-g, -h, -i, -j.

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

In a case involving 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.

270-96 **Reports**

See APM - 200-96.

275-4 **Definition**

Titles in this series are assigned to academically qualified individuals who are occupied full time in the service of the University, whose predominant responsibilities are in teaching and clinical service, and who also engage in creative activities. These appointments are reserved for salaried positions in the health sciences with the University and/or an affiliated hospital. For an exception to the requirement of full-time service, see APM - 275-16-a.

An appointee to a title in this series will normally carry a heavier load of teaching and/or clinical service than appointees in the regular Professor series or in the Professor in Residence series.

275-8 **Types of Appointments**

a. Titles and (and ranks) in this series are:

(1) Assistant Professor of Clinical (e.g., *Medicine*)

(2) Associate Professor of Clinical (e.g., *Medicine*)

(3) Professor of Clinical (e.g., *Medicine*)

b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the three 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.

A *transfer* is a type of new appointment for an individual whose last appointment was in a University of California title, usually a faculty title. Regular academic review is required. An affirmative action search is not normally required. For example, a transfer may occur because an individual's duties change. On some campuses, a transfer is called a "change of series."

c. A *promotion* is an advancement from one rank to a higher rank within this series, usually the next rank as listed above.

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

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

275-10 **Criteria**

A candidate for appointment or advancement in this series shall be judged by the following criteria:

a. Teaching

b. Professional competence and activity

c. Creative work

d. University and public service

These criteria and standards are set forth in APM - 210-2, *Instructions to Review Committees Which Advise on Actions Concerning the Professor of Clinical (e.g., Medicine) series.*

275-16 **Restrictions**

a. An appointee holding a title in this series either must be a full-time academic employee of the University, with 100 percent of the employment allocated among one or more appointments to academic titles, or be certified by the Chancellor that his or her sole professional commitment is to the University.

b. Funding

(1) On a campus where *all* appointees in this series have one-year appointments or less, funding may come from General (State) funds or from other sources. The use of State funds in this case does not involve any commitment of tenure or security of employment. The State money is a temporary funding source for one year or less, and may be renewed.

The Chancellor shall notify appointees on State funds of the above conditions and restrictions.

(2) Limits on State funding for campuses not covered by (1) above.

On campuses not covered by (1) above, 50 percent or more of the base salary of the appointee shall come from funds other than General (State) funds, except that the Chancellor is authorized, under justifying circumstances, to fund more than 50 percent of the base salary from General (State) funds for a limited period of time. When an appointment in any title in this series is supported by General (State) funds for more than 50 percent time (0.5 FTE), the total period of such appointment, in combination with any other State funded appointments in those titles specified in APM - 133-0-b and -c, shall not exceed eight years. In other words, there is a cumulative eight-year limit on State funding on these particular campuses for an individual who holds any title or titles in this series, i.e., Assistant, Associate, and Full Professor of Clinical (e.g., *Medicine*).

c. Regardless of funding source, there is an eight-year limitation of service for an Assistant Professor of Clinical (e.g., *Medicine*) in that title alone or in combination with other titles listed in APM - 133-0-b and -c.

d. Transfer of appointees in the regular Professor series or the Professor in Residence series to the Professor of Clinical (e.g., *Medicine*) series.

(1) For transfer of an Assistant Professor or an Assistant Professor in Residence, see APM - 133-0-a.

(2) An appointee with the title Associate Professor, Professor, Associate Professor in Residence, or Professor in Residence may, upon recommendation of the department and regular academic review, transfer to the Professor of Clinical (e.g., *Medicine*) series.

e. Movement from the Professor of Clinical (e.g., *Medicine*) series to the regular Professor series and the Professor in Residence series.

A faculty member with a title in the Professor of Clinical (e.g., *Medicine*) series may be appointed to the Professor series or to the Professor in Residence series only following a competitive search. Under special circumstances, the Chancellor may grant an exception to allow transfer to the Professor in Residence series.

f. Number of appointees

(1) In order to maintain an appropriate balance in the health sciences schools between research and education and clinical service, the Chancellor, in consultation with the Senate, may establish a quota on the number of

appointments in this series. If so desired, a quota may be set for each school or department.

(2) If the number of appointees in the series exceeds 1/6 of all local Senate members in all the clinical departments on the campus, a Senate committee will review the appropriateness of adding new members to the Professor of Clinical (e.g., *Medicine*) series. For purpose of calculating the 1/6 ratio, current appointees to the Professor of Clinical (e.g., *Medicine*) series are to be included in the number of "all Senate members", and all Emeriti Senate members are to be excluded.

It is the responsibility of the Chancellor to monitor the number of appointments.

g. An appointee in this series shall be a member of an approved compensation plan in the University or the equivalent in an affiliated hospital. The Chancellor shall determine which plans are considered equivalent for purposes of this provision.

As an exception to the above, if a School or College does not have a compensation plan, such as the School of Veterinary Medicine, the Chancellor may authorize use of this series for that particular academic unit.

275-17 **Terms of Service**

a. Title of Assistant Professor of Clinical (e.g., *Medicine*)

An appointment to the title of Assistant Professor of Clinical (e.g., Medicine) shall be made with a specified ending date. The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specific period and that the appointment *ipso facto* expires at the specified date.

Each appointment and reappointment is limited to a maximum term of two years. The appointment may be made for a shorter term. Total University service in this title in combination with those titles listed in APM - 133-0-b and -c shall not exceed eight years. Time in this title does not count toward service as an Assistant Professor in Residence or any title eligible for tenure.

b. Appointments to the title of Associate Professor of Clinical (e.g., *Medicine*) and Professor of Clinical (e.g., *Medicine*) may be made in two ways.

(1) **With a specific ending date**:

For an Associate Professor of Clinical (e.g., *Medicine*) (Steps I, II, III), each appointment is limited to a maximum term of two years. For an Associate Professor of Clinical (e.g., *Medicine*) (Steps IV and V) and for a Professor of Clinical (e.g., *Medicine*), each appointment is limited to a maximum term of three years. These appointments may be made for a shorter term.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specified period and that the appointment *ipso facto* ends at the specified date.

Termination prior to the specific ending date of such appointments shall be only for good cause and is subject to the provisions of Standing Order 103.9. (See APM - 275-20.)

(2) **With no specific ending date**:

It is recommended that such appointments be made only when there is a reasonable expectation of long-term funding.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment does not carry either tenure or security of employment.

For provisions concerning termination, see APM - 275-20-a.

c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17, except that normally an appointment period will coincide with the University's fiscal year of July 1 through June 30. 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 - 275-24-a(6) and -a(7).

275-18 **Salary**

a. Appointments to titles in this series shall be made either with salary or without salary. The academic salary scales for the regular Professor series shall apply, subject to the terms of the compensation plan. Without-salary appointments in this series are to be made only when the affiliated hospital pays the salary and the individual is full-time in the service of the University.

b. The normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.

c. Individuals with a salaried appointment in this series may hold a non-salaried appointment in this series in another Department or School.

275-20 **Conditions of Employment**

a. Expiration of an appointment and termination

(1) **Appointment with specific ending dates are subject to the following policies**:

(a) An appointment to a title in this series with a specified ending date expires by its own terms on that date, and additional notice of the ending of the appointment is not required.

However, in cases when appointments have been renewed at least once, and if the funding sources and campus procedures permit, it is desirable (but not required) that a reasonable period of notice be given:

- appointees who will have more than two years of service by the end of the current appointment, might be given as much as 12 months' notice;

- appointees who will have at least one year of service and not more than two years of service by the end of the current appointment, might be given six months' notice.

The Chancellor shall establish procedures for the review of cases when an appointee with between 1 and 2 years of service is given less than 30 days' notice, and when an appointee with more than 2 years of service, is given less than 60 days' notice. The Chancellor may establish procedures that include notice periods greater than those mentioned above.

(b) Non-reappointment as a result of a personnel review:

When an individual is not reappointed as a result of a personnel review, an individual who so requests in writing shall be given a written statement of the reasons for non-reappointment. This

written statement shall be given to the individual before the specified ending date, whenever possible. The appointment, however, will expire on the specified ending date, regardless of such statement.

For information on the formal appraisal of an Assistant Professor of Clinical (e.g., *Medicine*), see APM - 275-83; for non-reappointment for academic reasons, see APM - 275-84.

(c) Termination prior to the specific ending date:

Termination prior to the specific ending date shall be only for good cause and is subject to the provisions of Standing Order 103.9.

(2) **Appointment with no specific ending date**:

Except in instances of resignation or dismissal for good cause, termination of an appointment with no specific ending date is subject to the following policies:

(a) Establishment of a specific ending date:

Written notice by the Chancellor of termination as a result of a personnel review for inadequate performance, budgetary reasons, programmatic changes, and/or lack of work serves to establish a specific ending date. Once a specific ending date has been established, appointments are subject to the provisions of Standing Order 103.9; termination before the specific ending date shall be made only for good cause and after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

Budgetary reasons include discontinuation of the funding for all or part of a program or project on which the appointee works and/or from which all or part of his or her salary is budgeted.

Programmatic changes include discontinuation of all or part of a program or project on which the appointee works.

Lack of work may be because of a change in the emphasis of the ongoing program, lack of funds, and/or the termination of an individual's appointment at a hospital affiliated or associated with the University.

Each appointee shall be notified in writing regarding this policy by the department chair or corresponding administrative officer at the time of appointment.

(b) Order of termination:

The order of termination for appointees with the same rank who are supported from the same funding source in the same department, unit or project, shall be on the basis of special skills, knowledge, or ability essential to the operation of the department, unit, or project.

When there is no substantial difference in the degree of special skills, knowledge, or ability essential to the department, unit, or project, the order of termination shall be in inverse order of seniority.

(c) Review procedures:

The Chancellor shall establish procedures for the review of a recommendation by a department or a division to terminate an appointee as a result of a personnel review for inadequate performance, budgetary reasons, programmatic changes, and/or lack of work.

(d) Written notice of specific ending date:

The Chancellor or designee shall provide the appointee with written notice of termination. If the funding source will permit, it is desirable that the written notice of termination take effect on June 30 of the next academic year and, in any event, not less than 30 days after notification. If the funding source for the appointment will not permit 30 days' notice, the University shall provide a minimum of 30 days' notice and, if necessary, use 19900 (State) funds for that period. Appropriate pay in lieu of notice may be given.

(e) Performance evaluation:

Upon receipt of notice of termination, the appointee may request in writing an evaluation of his or her academic achievements. In cases involving termination because of budgetary reasons, programmatic changes, and/or lack of work, such an evaluation will serve to establish for the record an institutional assessment of the appointee's qualifications and performance independent of those considerations.

(f) Dismissal for misconduct:

The faculty Code of Conduct applies to appointees in this series.

b. Appointees in this series are members of the Academic Senate. See Standing Order 105.1(a).

c. Neither tenure nor security of employment is acquired by appointment to a title in this series.

d. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that provision is available in the fund source(s) from which the salary is paid. The Chancellor may approve leaves for twelve months or less.

When the base salary of the appointee is supported wholly or partially by General (State) funds, leaves will be supported by General (State) funds in the same percentage of time. Each Chancellor shall establish campus procedures to provide for the administration of a leave program.

Appointees are not eligible for the sabbatical leave program as described in APM - 740.

275-24 **Authority**

Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review and subject to the restrictions in APM - 275-16 and 275-17, rests with the Chancellor except as noted in (a) below.

(a) **Professor of Clinical (e.g., *Medicine*) at an above-scale salary**:

The Chancellor 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 - 275-85.)

(b) An initial appointment or subsequent reappointment of any person after his or her retirement may be made only on a year-to-year basis and with specific approval of the Chancellor.

(c) The Chancellor's authority as stipulated above extends also to the approval of promotions and merit increases having effective dates other than July 1.

(d) The Chancellor's authority as set forth above extends also to the retroactive approval of appointments, promotions, and merit increases (that is, with the beginning date of service prior to the date of actual approval).

275-80 **Review Procedures**

The provisions of APM - 220-80-c, -d, -e, -f, -g, -h, -i, -j, and 220-84-b apply to appointees in this series.

275-82 **Procedures for Appointment or Reappointment to the Rank of Assistant Professor of Clinical (e.g., *Medicine*)**

The general provisions of APM - 220-80, as listed in Section 275-80, 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 or reappointment. The ending date of an appointment or reappointment shall be clearly shown on the appropriate campus approval document that effects the action.

c. The Chancellor shall inform the Assistant Professor of Clinical (e.g., *Medicine*) in writing of the nature and conditions of the appointment or reappointment.

275-83 **Procedure for the Formal Appraisal of an Assistant Professor of Clinical (e.g., *Medicine*)**

Formal appraisals of Assistant Professors of Clinical (e.g., *Medicine*) shall be made in order to arrive at preliminary assessments of the prospects of candidates for promotion as well as to identify appointees whose records of performance and advancement are below the level of excellence desired for continued membership in the faculty.

The general provisions of APM - 220-80, as listed in APM - 275-80, apply here. In addition:

a. Normally each Assistant Professor of Clinical (e.g., *Medicine*) shall be appraised well in advance of possible promotion (usually 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 of Clinical (e.g., *Medicine*) 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 of Clinical (e.g., *Medicine*) or with this title in combination with the titles listed in APM - 133-0-b and -c. 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 of Clinical (e.g., *Medicine*) is being recommended for promotion to take effect within a year, has given written notice of resignation, or in cases when no appointment beyond the eighth year is contemplated and the individual has been so notified.

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 so determines. On the basis of its 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 of Clinical (e.g., *Medicine*)'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 limitations of service in APM - 133-0. The report of the *ad hoc* committee will then be considered by the Committee on Academic Personnel and the Chancellor. See APM - 220-80-g.

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 chairperson, 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 chairperson or the appointee.

275-84 **Procedures for Non-Reappointment of an Assistant Professor of Clinical (e.g., *Medicine*) for Academic Reasons**

The general provisions of APM - 220-80, as listed in APM - 275-80, apply here. In addition:

a. A proposal not to reappoint an Assistant Professor of Clinical (e.g., *Medicine*) may originate with the department chair as a result of departmental review during consideration for reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM - 275-82.

b. During a review of a formal appraisal, or consideration of reappointment or promotion of an Assistant Professor of Clinical (e.g., *Medicine*), 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.

c. The Chancellor is responsible for a decision not to reappoint or to make a terminal appointment of an Assistant Professor of Clinical (e.g., *Medicine*). The Chancellor shall, through the Dean or Provost, inform the chairperson of a decision not to reappoint. The Chancellor will provide a written statement to the individual advising of the outcome of the personnel review. Provisions regarding notice requirements are in APM - 275-20-a.

d. Each Chancellor is authorized to establish guidelines for responding to requests for written statements of reasons for non-reappointment subject to these conditions:

(1) No such 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.

275-85 **Procedures for Appointment or Promotion to the Rank of Associate Professor of Clinical (e.g., *Medicine*) or Professor of Clinical (e.g., *Medicine*)**

The general provisions of APM - 220-80, as listed in APM - 275-80, apply here. In addition:

a. With a recommendation for promotion, the following information shall be included in the chairperson's detailed statement:

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

(2) the nature and extent of the faculty member's professional competence and activity, creative achievement, University and public service; and,

(3) current biographical and bibliographical information.

b. An *ad hoc* 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 the decision regarding appropriate action on the basis of the accumulated evidence and recommendations and in accordance with the provisions of APM - 220-80-g, -h, -i, and -j.

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.

275-96 **Reports**

See APM - 200-96.

278-4 **Definition**

a. Faculty in the Health Sciences Clinical Professor series are salaried appointees in the health sciences who teach, participate in patient care, and may participate in University and/or public service and scholarly and/or creative activities.

   Faculty in the Health Sciences Clinical Professor series teach the application of basic sciences and the mastery of clinical procedures in all areas concerned with the care of patients, including dentistry, medicine, nursing, optometry, pharmacy, psychology, veterinary medicine, the allied health professions, and other patient care professions.

   The Health Sciences Clinical Professor series is separate from the volunteer Clinical Professor series, which is governed by APM - 279.

b. Faculty in the Health Sciences Clinical Professor series may serve full time, part time, or without salary.

c. Concurrent without-salary appointments

   A concurrent without-salary appointment in the Health Sciences Clinical Professor series may be made for an appointee who is employed by the University as a staff physician or clinician, or for an individual who holds a salaried clinical appointment paid by an institution with which the University has a formal affiliation agreement. The Chancellor, with the advice of the clinical departments, may establish separate review procedures and, within the limits of APM - 210-6, separate criteria for these appointees. For example, the Chancellor may decide that the campus will conduct only promotion reviews for this group.

   When an individual's salaried appointment ends, the without-salary appointment in the Health Sciences Clinical Professor series also will end automatically. Without-salary appointments in this series are to be distinguished from appointments in the volunteer Clinical Professor series (APM - 279), which are for practitioners from the community and at other non-affiliated sites.

d. Health Sciences Clinical Professor titles are supported primarily by non-State funds, as defined in APM - 190, Appendix F (footnote 1), although under certain conditions, State funds may be used (see APM - 278-16-a).

278-8 **Types of Appointment**

a. Titles (and ranks) in this series are:

(1) Health Sciences Clinical Instructor

(2) Health Sciences Assistant Clinical Professor

(3) Health Sciences Associate Clinical Professor

(4) Health Sciences Clinical Professor

b. An *appointment* (as distinguished from a promotion) occurs when an individual is employed in one of the four ranks listed 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 in this series.

c. A *change of series* is a type of new appointment for an individual whose last appointment was within the University of California, usually in a faculty title. A change of series may occur because an individual's duties change. A regular academic review is required for this action. A competitive affirmative action search may or may not be required, (see APM - 278-16-b).

d. A *promotion* is an advancement within this series from one rank to a higher rank.

e. A *merit increase* is an advancement in salary step or to an above-scale salary rate without a change in rank (see APM - 615).

f. A *reappointment* is the renewal of an appointment in this series immediately following the end date of the previous appointment (i.e., without a break in service). A reappointment may or may not be accompanied by a promotion or a merit increase.

278-10 **Criteria**

A candidate in this series shall be evaluated using the criteria specified below. The criteria shall be appropriately weighted to take into account this series' primary emphasis on direct patient care services and clinical teaching. See APM - 210-6.

The criteria are:

a. Professional competence and activity

b. Teaching

c. University and public service are desirable and encouraged to the extent required by campus guidelines

d. Research and creative work are desirable and encouraged to the extent required by campus guidelines

These criteria and standards are set forth in APM - 210-6, *Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series.*

278-16 **Restrictions**

a. Funding

(1) For Health Sciences Compensation Plan members, no State funds shall be used for any salary above the rate associated with the faculty member's rank and step on the Fiscal Year Salary Scale. Any compensation above the Fiscal Year Salary Scale shall be funded using Health Sciences Compensation Plan funds and/or other non-State funds in compliance with any relevant fund source restrictions as outlined in APM - 670, Health Sciences Compensation Plan, Section IV-A, B, and C.

The Chancellor may develop guidelines on the locally appropriate use of State and non-State funds to support appointments in this series, within the restrictions on fund sources stated in the Health Sciences Compensation Plan and the restrictions given below in (2) and (3).

(2) In a school or equivalent unit where all appointees in this series have appointments of one year or less, funding equivalent to the Fiscal Year Salary Scale rate for the appointee's rank and step may come from State funds or from other sources. The Chancellor shall notify these faculty that the use of State funds for these appointments does not indicate any commitment of tenure or security of employment. For such appointments, which may be renewed, there is no time limit on the use of State funding.

(3) Limits on State funding for Schools not covered by (2) above.

In a school or equivalent unit where appointees in this series do not all have appointments of one year or less, the following restrictions apply for any individual who has an appointment at 50 percent time or more. At least 50 percent of funding equivalent to the Fiscal Year Salary Scale rate for the rank and step of an appointee shall come from sources other than State funds. However, in exceptional circumstances, the Chancellor is authorized to use State funds for 50 percent or more of an individual's Fiscal Year Salary Scale rate for the specific rank and step for no more than 8 (eight) years. This limit on State funding applies to service for an individual over the course of his or her University career in all ranks in this series combined. Such an exception, in combination with service in any other State-funded appointment in those titles specified in APM - 133-0-b and -c, shall not exceed eight years.

Appointments in the Health Sciences Clinical Professor series at less than 50 percent time may be supported by State funds with no limit on the duration of the use of State funding.

b. Change of series of appointees to other titles

An appointee in the Health Sciences Clinical Professor series may be appointed to the Professor series, the Professor in Residence series, or the Professor of Clinical (e.g., *Medicine*) series only after a competitive affirmative action search and review by the appropriate Senate committee. In exceptional circumstances, the Chancellor may grant an exception to the search requirement.

The Chancellor may approve the transfer of an appointee in the Health Sciences Clinical Professor series to the Adjunct Professor series with the individual's consent, the recommendation of the department, and a regular academic review.

278-17 **Terms of Service**

An appointment in the Health Sciences Clinical Professor series shall have a specified ending date. Written notice of the appointment or reappointment shall follow the provisions of APM - 137-17. In addition, the written notice shall include any funding requirements for continuing the appointment and reappointment.

a. Health Sciences Clinical Instructor

At this rank, an initial appointment is limited to a one-year term but may be for a shorter term. Total University service as a Health Sciences Clinical Instructor may not exceed two years. The Chancellor may grant an exception to the two-year limit.

b. Health Sciences Assistant Clinical Professor

Each appointment and reappointment at this rank is limited to a maximum term of two years but may be for a shorter term. Total University service at more than 50 percent time in this title, combined with those titles listed in APM-133-0-b and -c, may not exceed eight years. The Chancellor may grant an exception to the eight-year limit.

In computing the years of service for a Health Sciences Assistant Clinical Professor, only those quarters or semesters at more than 50 percent time in a UC-paid faculty position will count. There is no eight-year limit for an individual who holds a without-salary Health Sciences Assistant Clinical Professor appointment, along with a salaried clinical appointment paid by an affiliated institute, or along with a University staff title, unless the Chancellor establishes an eight-year limit.

c. Health Sciences Associate Clinical Professor and Health Sciences Clinical Professor

For a Health Sciences Associate Clinical Professor (Steps I, II, and III), each appointment period is limited to a maximum of two years. For a Health Sciences Associate Clinical Professor (Steps IV and V) and for a Health Sciences Clinical Professor, each appointment period is limited to a maximum of three years. An individual may be reappointed for successive terms, for example, as Associate Professor Step V, but each reappointment period is limited to a maximum of three years. These appointments may be made for a shorter term.

Normally, the effective date of an appointment will coincide with the University's fiscal year (July 1 through June 30). Normally, a promotion or merit increase is effective July 1. See APM - 220 for general academic personnel policy regarding appointment and promotion.

278-18 **Salary**

a. The academic salary scales for the regular Professor series shall apply, subject to the terms of special salary scales or the Health Sciences Compensation Plan. Salary provisions for Health Sciences Compensation Plan members are outlined in APM - 670, Health Sciences Compensation Plan, Section IV-A, B, C.

b. Normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.

278-20 **Conditions of Employment**

a. Appointees in this series are not members of the Academic Senate.

b. Neither tenure nor security of employment is acquired by appointment to a title in this series, regardless of percentage of State funding.

c. Unless not required for the position, appointees in the Health Sciences Clinical Professor series must possess and maintain an appropriate valid license and active membership as a Medical Staff member, or equivalent. Loss of license or active Medical Staff privileges will result in, at department discretion, reassignment of duties or termination of appointment for cause under APM - 150.

d. Expiration of an appointment, layoff, and termination:

(1) APM - 137, Non-Senate Academic Appointees/Term Appointment, applies to this series.

(2) A Health Sciences Assistant Clinical Professor who, because of an eight-year limitation of service, is not reappointed as a result of a personnel review, may request a written statement of the reasons for non-reappointment. The written request must be made within 30 (thirty) calendar days of the notice of non-reappointment, and a written response shall be made within 60 (sixty) calendar days of the request. The written notice of non-reappointment shall be given to the individual before the specified ending date, whenever possible. However, the appointment will expire on the specified ending date, regardless of whether the notice was provided before the specified ending date.

(3) Termination of an appointment prior to the specified ending date shall be only for good cause, and in accordance with the provisions of Section 103.9 of the Standing Orders of The Regents. When the reason for termination is based on budgetary reasons, lack of work, or programmatic needs, the procedures described in APM - 145, Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time, shall apply. When the reason for termination is for cause, such as misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy, the procedures described in APM - 150, Non-Senate Academic Appointees/Corrective Action and Dismissal, shall apply.

e. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent allowable by the fund source(s) from which the salary is paid. When an appointee's base salary is supported wholly or partially by State funds, the leave will be proportionately supported by State funds.

f. Appointees with a title in this series are not eligible for sabbatical leave (APM - 740).

g. The Faculty Code of Conduct (APM - 015) applies to all appointees in this series. The Chancellor may develop procedures for the application of the Faculty Code of Conduct.

h. The provisions of APM - 140 concerning grievances of non-Senate academic appointees shall apply to appointees with titles in this series.

i. The provisions of APM - 145 concerning layoff and involuntary reduction in time shall apply to appointees with titles in this series.

j. The provisions of APM - 150 concerning corrective action and dismissal shall apply to appointees with titles in this series.

278-24 **Authority**

The Chancellor has authority to approve academic personnel actions (e.g., appointments, reappointments, merit increases, promotions, and terminations) in this series in accordance with this and other applicable academic personnel policies. The Chancellor 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.

278-80 **Review Procedures**

The general provisions of APM - 220-80 apply to appointees in the Health Sciences Clinical Professor series. The Chancellor, with the advice of the Academic Senate, shall develop local review procedures for this series for all academic personnel actions (e.g., appointment, reappointment, promotion, and termination).

279-0 Policy

Appointees in the Clinical Professor series are community volunteer clinicians who teach the application of clinical and basic sciences in areas of patient care. These appointments constitute a valuable way to utilize the interest and expertise of practitioners from the community on a part-time unsalaried voluntary basis in the areas of teaching, patient care, and clinical research.

For an individual who is employed by the University as a staff physician or clinician or who holds a clinical appointment paid by an affiliated site, a concurrent without salary appointment should be made in the Health Sciences Clinical Professor series (see APM - 278) not in the volunteer Clinical Professor series.

279-8 Types of Appointments

Titles and ranks in this series are:

(1) Clinical Instructor

(2) Assistant Clinical Professor

(3) Associate Clinical Professor

(4) Clinical Professor

279-10 Criteria

An appointee must have the appropriate license to practice in his or her field and must contribute significantly to the clinical teaching program. Each school may establish other minimum standards (e.g., board certification). The Chancellor shall establish campus guidelines that specify the minimum number of required hours per year; the number of minimum hours may vary in different schools or departments.

Clinical competence and excellence in teaching will be the primary basis for appointment, reappointment, and promotion in this series. Clinical competence should be determined by primary verification of licenses, written peer recommendations from recent supervisors, National Practitioner Data Bank (NPDB) report (may be self-query by applicant), evidence of current medical malpractice insurance, chronology of employment with no unexplained gaps since completion of residency, and list of malpractice claims and suits in which the applicant has been involved with narrative description of the underlying allegations, facts and resolution of the complete case. The Chancellor in

consultation with the schools and clinical departments shall determine the need for additional review criteria. For example, if the individual has participated in professional organizations, University and community service, and/or research, a description of these activities should be included in the appointee's personnel file as part of the review material.

279-17 **Terms of Service**

The initial appointment of an individual to a title in this series shall have a specified ending date and may be for a maximum term of three years. Subsequent reappointments may have maximum terms of five years. There is no limit on the number of times an appointment may be renewed or the number of years spent in each rank.

After the initial appointment, there shall be at least a minimal review prior to reappointment that includes evaluation of clinical expertise. Such evaluation must include a written evaluation from the chair or designee of clinical competence. After that review, each appointee shall be reviewed at least every five years. The Chancellor may defer the review for one year.

The Chancellor in consultation with the clinical schools and departments shall establish written criteria and guidelines, including the timing for a promotion review. In general, after 10 (ten) years of service, promotion should be considered.

Appointees in the volunteer Clinical Professor series may not be transferred to another University title. Appointment to another University title may be made after a competitive affirmative action search.

279-20 **Conditions of Employment**

An appointment in this series with a specified ending date expires by its own terms on that date. Written notice should be provided when the appointment is not renewed. It is within the University's sole discretion not to reappoint an individual. APM - 137, Non-Senate Academic Appointees/Term Appointment, does not apply.

An appointment may be terminated before the ending date for cause, such as failure to serve the required minimum number of hours, or when in the judgment of the Dean, upon the recommendation of the chair, there is no longer a need for the appointee's services or the conduct or performance of the appointee does not warrant continued appointment with the University. The Dean shall give the individual 30 (thirty) days written notice with a statement of the reason for the termination. APM - 145, Non-Senate Academic Appointees/Layoff and

Involuntary Reduction in Time, and APM - 150, Non-Senate Academic Appointees/Corrective Action and Dismissal, do not apply to appointees in this series.

An appointee may present a written complaint about his or her appointment or early termination of the appointment to the Chancellor for administrative review. A complaint must be filed within 30 (thirty) calendar days from the date of a written notice of termination. The Chancellor shall consult with the appropriate University official, such as the department Chair or Dean, and shall make a written response to the appointee. The written response shall normally be made within 90 days of the receipt of the complaint. APM - 140, Non-Senate Academic Appointees/Grievances, does not apply to appointees in this series.

279-75 **University Defense And Indemnification**

Appointees may be covered under the University's self-insured liability programs for alleged negligent acts and/or omissions arising from activities conducted within the course and scope of their University appointment. Determination of such coverage is made based on the California Tort Claims Act, Business and Finance Bulletins, BUS-9 and BUS-75, and applicable campus policy, agreement or contract. See BUS-9 and BUS-75 for information on defense, indemnification, and required evidence of eligibility.

For additional information on University defense and indemnification, contact the campus/medical center risk management or Office of the President, Office of Risk Management.

280-4 **Definition**

a. Titles in this series may be assigned (1) to individuals who are predominantly engaged in research or other creative work and who participate in teaching, or (2) to individuals who contribute primarily to teaching and have a limited responsibility for research or other creative work; these individuals may be professional practitioners of appropriate distinction. Appointees with titles in this series also engage in University and public service consistent with their assignments.

b. Appointees may serve full-time, part-time, or at 0 percent time.

c. Adjunct Professor titles are intended to be supported primarily by non-State funds. For purposes of this policy, non-State funds are all funds other than General funds (19900-19999).

280-8 **Types of Appointments**

a. Titles (and ranks) in this series are:

(1) Adjunct Instructor

(2) Assistant Adjunct Professor

(3) Associate Adjunct Professor

(4) Adjunct Professor

b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the four ranks listed 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.

A *transfer* is a type of new appointment for an individual whose last appointment was in a University of California title, usually a faculty title. Regular academic review is required. A competitive affirmative action search may not be required. For example, a transfer may occur because an individual's duties change. On some campuses, a transfer is called a "change of series." See APM - 280-16-d.

c. A *promotion* is an advancement from one rank to a higher rank within this series, usually the next rank as listed above.

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

e. The term *reappointment* is used for the renewal of an appointment immediately following the ending date of the previous appointment in this series. If there is a break in service, then it is an appointment, not a reappointment. A reappointment may or may not be accompanied by a promotion or a merit increase.

280-10 **Criteria**

A candidate for appointment or advancement in this series shall be judged by the four criteria specified below. Evaluation of the candidate with respect to these criteria shall take appropriately into account the nature of the University assignment of duties and responsibilities and shall adjust accordingly the emphasis to be placed on each of the criteria. For example, a candidate may have a heavy workload in research and a relatively light workload in teaching.

The four criteria are:

a. Teaching

b. Research and creative work

c. Professional competence and activity

d. University and public service

The Chancellor, with the advice of the Senate, may publish standards of performance for appointment and promotion for the Adjunct Professor series.

280-16 **Restrictions**

a. When participation in teaching is less than one course a year (or equivalent), the appointee should be considered for transfer to another academic title.

Professional Researchers who teach less than one course a year, or equivalent, on a regular basis should hold a Lecturer title in conjunction with the research title. Individuals who are primarily researchers and who teach regularly at least one course a year (or equivalent) should be appointed in the Adjunct Professor series for their whole appointment. Clinical teaching may satisfy the teaching requirement.

For appointments in which teaching is the main activity, it should be demonstrated clearly before appointment to the Adjunct Professor series that a "teaching only title" such as Lecturer is not appropriate (e.g., a faculty member who also has clinical responsibilities). If, during an appointment in the Adjunct Professor series, research ceases to be part of the appointee's duties, the individual should be considered for transfer to another academic title.

b. Limits on State Funding:

(1) Appointments are designed to be supported primarily by non-State funds. See APM - 280-4-c.

As a minimum, one half of the funding for the base salary of an Adjunct appointment shall come from funds other than State funds. For example, for a half-time appointment (50 percent time), one half of that appointment must be non-State funded; (e.g., 25 percent time may be State funded, 25 percent time must be non-State funded). For definition of non-State funds, see APM - 280-4-c.

Even when an individual holds the Adjunct title in conjunction with another University title which may be entirely supported by non-State funds, one half of the Adjunct appointment shall be supported by non-State funds.

(2) Exceptions

(a) For appointments at more than 50 percent time:

Under justifying circumstances, the Chancellor is authorized to fund more than 50 percent of the base salary of the appointment from State funds for a period normally not to exceed two years. This authority of the Chancellor may not be redelegated. See below for maximum limits on State funding.

When an appointment in any title in this series is supported by State funds for more than 50 percent time (0.5 FTE), the total period of such appointment, either alone or in combination with appointments in the Professor in Residence series and the Professor of Clinical (e.g., *Medicine*) series supported by State funds for more than 50 percent time, shall not exceed eight years. In other words, there is a cumulative eight-year limit on State funding in the Adjunct Professor series, the Professor in Residence series, and the Professor of Clinical (e.g., *Medicine*) series.

(b) For appointments at 50 percent time or less:

Under justifying circumstances, the Chancellor is authorized to allow Adjunct appointments at half-time or less to be State funded for more than half the appointment. These appointments may be fully State funded. Under this exception, appointments shall be made only with a specific ending date for a one- or two-year term. There is no limit on the total number of years an individual may hold a series of such appointments.

(3) Within the provision on funding, the Chancellor may develop guidelines on the appropriate use of State and non-State funding.

c. Limitation of Service:

Regardless of the funding source, there is an eight-year limitation of service for an appointee who holds the Assistant Adjunct Professor title at more than 50 percent time, either in that title alone or when combined with those titles listed in APM - 133-0-c. In computing time for the Adjunct title, only those quarters or semesters at more than 50 percent time will count. Service at associated and affiliated hospitals at more than 50 percent time counts, even when the individual is 0 percent for University payroll purposes.

The Chancellor may grant exceptions to the eight-year limitation of service.

d. Transfer of appointees to other titles:

An appointee with a title in the Adjunct Professor series may be appointed to the Professor series, the Professor in Residence series, and the Professor of Clinical (e.g., *Medicine*) series only following a competitive affirmative action search and review by the appropriate Senate committee. Under special circumstances, the Chancellor may grant an exception to the search requirement.

280-17 **Terms of Service**

a. An appointment to the title of Adjunct Instructor or Assistant Adjunct Professor shall be made with a specified ending date. The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specific period and that the appointment *ipso facto* ends at the specified date. Termination prior to the specified ending date of an appointment may be only for good cause and is subject to the provisions of Standing Order 103.9. See APM - 280-20-c.

(1) Adjunct Instructor

An initial appointment is limited to 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. Total University service as an Adjunct Instructor may not exceed two years.

(2) Assistant Adjunct Professor

Each appointment and reappointment is limited to a maximum term of two years. The appointment may be made for a shorter term.

b. An appointment to the title of Associate Adjunct Professor or Adjunct Professor may be made in two ways:

(1) **With a specific ending date**

For an Associate Adjunct Professor (Steps I, II, III), each appointment is limited to a maximum term of two years. For an Associate Adjunct Professor (Steps IV and V) and for an Adjunct Professor, each appointment period is limited to a maximum term of three years. These appointments may be made for a shorter term.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specified period and that the appointment *ipso facto* ends at the specified date.

Termination prior to the specified ending date of an appointment may be only for good cause and is subject to the provisions of Standing Order 103.9. See APM - 280-20-c.

(2) **With no specific ending date**

It is recommended that such appointments be made only when there is a reasonable expectation of long-term funding.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment does not carry either tenure or security of employment.

For provisions concerning termination, see APM - 280-20-c.

c. Rules concerning effective dates of appointments are stipulated in APM - 200-17, except that an appointment period normally will coincide with the University's fiscal year of July 1 through June 30. 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 - 280-24-a(6) and (7).

280-18 **Salary**

a. Appointments to titles in this series may be made with or without salary. For appointments with salary, the academic salary scales for the regular Professor series shall apply, subject to the terms of the compensation plan.

b. The normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.

280-20 **Conditions of Employment**

a. Appointees in this series are not members of the Academic Senate.

b. Neither tenure nor security of employment is acquired by appointment to a title in this series.

c. Expiration of an appointment, layoff, and termination.

(1) Appointments with specific ending dates are subject to the following policies:

(a) An appointment to a title in this series with a specified ending date expires by its own terms on that date, and additional notice of the ending of the appointment is not required.

However, in cases when an appointment has been renewed at least once and if the funding sources and campus procedures permit, it is desirable (but not required) that a reasonable period of notice be given.

The Chancellor shall establish procedures for the review of cases when an appointee with between 1 and 2 years of service is given less than 30 days' notice, and when an appointee with more than 2 years of service is given less than 60 days' notice. The Chancellor may establish procedures that include notice periods greater than those mentioned above.

(b) Termination prior to the specific ending date:

Termination prior to the specific ending date shall be only for good cause and is subject to the provisions of Standing Order 103.9.

(2) Appointments with no specific ending date are subject to the following policies:

(a) Establishment of a specific ending date:

Except in instances of resignation, retirement, or death, written notice by the Chancellor serves to establish a specific ending date.

When an appointment in this series ends, because of lack of work, lack of funds, or programmatic change, the provisions of APM 145, Layoffs—Non-Senate Academic Appointees, shall apply.

Termination for unsatisfactory performance shall occur only after appropriate academic review.

For dismissal because of misconduct, the Faculty Code of Conduct (APM - 015) applies.

(b) Written notice of a specific ending date:

The Chancellor shall provide the appointee with written notice of termination. If the funding source will permit, it is desirable that the written notice of termination take effect on June 30 of the next academic year and, as a minimum, not less than 30 days after notification. If the funding source for the appointment will not permit 30 days' notice, the University shall provide a minimum of

30 days' notice and, if necessary, use State funds for that period. (See APM - 280-4-c.) Appropriate pay in lieu of notice may be given.

(c) Once a specific ending date has been established, appointments are subject to the provisions of Standing Order 103.9; termination before the specific ending date shall be made only for good cause and after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

d. The Faculty Code of Conduct (APM - 015) applies to all appointees in this series. The Chancellor may develop procedures for the application of the Faculty Code of Conduct.

e. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that provision is available in the fund source(s) from which the salary is paid.

If the leave is approved, and the base salary of the appointee is supported wholly or partially by State funds, then the leave will be supported by State funds in the same percentage of time. (See APM - 280-4-c.) Each Chancellor shall establish campus procedures to provide for the administration of a leave program.

Appointees are not eligible for sabbatical leave (APM - 740).

f. The provisions of APM - 140 concerning appeals of non-Senate academic appointees shall be applicable for appointees with titles in this series.

280-24 **Authority**

Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review and subject to the restrictions in APM - 280-16 and 280-17, rests with the Chancellor except as noted in (a) below.

(a) **Adjunct Professor at an above-scale salary**:

The Chancellor 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 - 280-85.)

(b) An initial appointment or subsequent reappointment of any person after his or her retirement may be made on a year-to-year basis and with specific approval of the Chancellor.

(c) The Chancellor's authority as stipulated above extends to the approval of promotions and merit increases having effective dates other than July 1.

(d) The Chancellor's authority as set forth above also extends to the retroactive approval of appointments, promotions, and merit increases (that is, with the beginning date of service prior to the date of actual approval).

280-80 **Review Procedures**

The general provisions of APM - 220-80 apply to appointees in this series.

280-81 **Procedure for Appointment and Reappointment of an Adjunct Instructor**

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

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

b. The Chancellor shall give written notification to the candidate of the final decision to appoint or reappoint as an Adjunct Instructor. The ending date of an appointment or reappointment shall be shown clearly on the appropriate campus approval document that effects the action.

c. The Chancellor shall inform the Adjunct Instructor in writing of the nature and conditions of the appointment or reappointment.

280-82 through 85 – The following subsections on review procedures apply to an individual who may be a candidate for promotion. The Chancellor, with the advice of the Senate, may develop other, more streamlined procedures for short-term appointees.

280-82 **Procedure for Appointment or Reappointment to the Rank of Assistant Adjunct Professor**

The general provisions 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, the 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 or reappointment. The ending date of an appointment or reappointment shall be shown clearly on the appropriate campus approval document that effects the action.

c. The Chancellor shall inform the Assistant Adjunct Professor in writing of the nature and conditions of the appointment or reappointment.

280-83 **Procedure for the Formal Appraisal of an Assistant Adjunct Professor Who May Be a Candidate for Promotion**

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

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

a. Normally each Assistant Adjunct Professor shall be appraised well in advance of possible promotion (usually 2 1/2 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, would call for an exception to the general rule. Each Assistant Adjunct 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 Adjunct Professor or with this title in combination with the titles listed in APM - 133-0-c. 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 Adjunct 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 or terminal appointment.

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 so determines. On the basis of its study of all available information, the review committee shall submit a report to the Chancellor stating whether there is evidence of achievement and promise sufficient to justify the Assistant Adjunct Professor's continued candidacy for eventual promotion. If the review committee finds that the evidence does not justify the continued candidacy, it shall recommend non-reappointment or terminal appointment consistent with the limitations of service, specified in APM - 133-0 and APM - 280-16-c. The report of the *ad hoc* review committee then shall be considered by the Committee on Academic Personnel and the Chancellor. See APM - 220-80-g.

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.

280-84 **Procedure for Non-Reappointment for Academic Reasons of an Assistant Adjunct Professor Who Is a Candidate for Promotion**

This section applies only to those appointees who, because of the eight-year limitation of service, will be either promoted or terminated. For the question of termination for poor performance for other appointees, see APM - 280-20-c.

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

a. If a proposal not to reappoint an Assistant Adjunct Professor is a result of a departmental review during consideration of reappointment, the case shall be reviewed in accordance with the provisions of APM - 280-82.

b. During a review of a formal appraisal, or consideration of reappointment or promotion of an Assistant Adjunct Professor, 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.

c. The Chancellor is responsible for a decision not to reappoint or to make a terminal appointment of an Assistant Adjunct Professor. The Chancellor shall, through the Dean or Provost, inform the chair of a decision not to reappoint. The Chancellor shall provide a written statement to the individual advising of the outcome of the personnel review. The written statement shall be given to the individual before the specified ending date, whenever possible. The appointment, however, will expire on the specified ending date, regardless of when the statement is given to the individual. Provisions regarding notice requirements are specified in APM - 280-20-c.

d. Each Chancellor is authorized to establish guidelines for responding to requests for written statements of reasons for non-reappointment subject to these conditions:

(1) an appointee shall make the request in writing; and

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

280-85 **Procedure for Appointment or Promotion to the Rank of Associate Adjunct Professor or Adjunct Professor**

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

a. With a recommendation for promotion, the following information shall be included in the chair's detailed statement:

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

(2) the nature and extent of the faculty member's research, professional competence and activity, University and public service; and

(3) current biographical and bibliographical information.

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

c. The Chancellor shall make the decision as to appropriate action on the basis of the accumulated evidence and recommendations and in accordance with the provisions of APM - 220-80-g, -h, -i, -j.

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.

280-96 **Reports**

See APM - 200-96.

283-4 **Definition**

a. The title Lecturer, whether used as an only title or as an additional title, shall be assigned to a professionally qualified appointee not under consideration for appointment in the professorial series (in contrast to the usual expectation of Acting appointees), whose services are contracted for certain teaching duties, often for limited periods or for part-time.

b. The title Senior Lecturer, whether used as an only title or as an additional title, may be assigned to an appointee who qualifies as a Lecturer, who provides services of exceptional value to the University, and whose salary is at the Professor level.

c. Agricultural Experiment Station personnel and other professional research personnel not holding professorial titles, but with rank of Assistant (_____) or above, will be given the supplemental title of Lecturer or Senior Lecturer when they are carrying out instructional assignments; but they will continue to be governed by the policies and practices that apply to their research appointments.

d. A registered student or candidate for a higher degree at this University shall not be given the title of Senior Lecturer, and unless an individual exception is made by the Chancellor, the student or candidate shall not be given the title of Lecturer.

e. Holders of the title Lecturer and Senior Lecturer should not be confused with Regents' Lecturers who constitute an entirely separate category of appointments. (See APM - 290.)

283-10 **Criteria for Review and Appointment**

Review is to be conducted in terms of criteria particularly appropriate to this type of appointment, but with correlative reference to the professional achievement required for equivalent salary in the professorial ranks.

a. For reappointment of a Lecturer on more than 50 percent time beyond the sixth year, one of the following two qualifications is essential:

(1) Teaching of truly exceptional quality.

(2) Teaching so specialized in character that it cannot be done with equal effectiveness by regular faculty members or by strictly temporary appointees.

b. In addition to the requirements of Paragraph a. above, for appointment as Senior Lecturer the appointee's salary must be at the Professor level and the appointee's services must be of exceptional value to the University.

283-18 **Salary**

An authorized salary scale established for the Lecturer and Senior Lecturer titles is issued by the Office of the President.

283-20 **Conditions of Employment**

a. A Lecturer or Senior Lecturer may teach courses of any grade.

b. This appointment will not imply the responsibility of engaging in research; but if the appointee desires to do so and the department considers the appointee competent for such work, it may provide the appropriate facilities.

c. In view of the limited responsibilities in areas other than teaching, a Lecturer or Senior Lecturer normally will be assigned a heavier instructional load (relative to full-time-equivalent service) than that normally given to an appointee in the professorial series.

d. A Lecturer or Senior Lecturer will not be eligible for removal expenses, since at the time of appointment the appointee is not regarded as an early candidate for appointment in the professorial series. However, a Lecturer or Senior Lecturer holding a special short-term appointment (two quarters or less) on a terminal project financed from extramural sources may receive a round-trip aircoach allowance or the equivalent when such expenses may be defrayed within the terms of the contract or grant.

e. A Lecturer or Senior Lecturer will be ineligible for sabbatical leave. However, a full-time Senior Lecturer who has long continued to render outstanding service may be recommended to the Board of Regents for leave with salary in lieu of sabbatical leave. (See APM - 740-11-b for conditions under which leave credit may accrue.)

283-24 **Review Requirements and Authority to Appoint**

Authority to appoint Lecturers and Senior Lecturers is assigned as follows:

a. **Initial appointments**

The Chancellor is authorized to approve the initial one-year, appointment of a Lecturer or Senior Lecturer. In case of the appointment of a Senior Lecturer, campus Committee on Academic Personnel (or equivalent) review is required.

b. **Reappointments**

(1) Following the initial year, reappointment of a Lecturer or Senior Lecturer on more than 50 percent time is subject to campus Committee on Academic Personnel (or equivalent) review and approval by the Chancellor.

(2) Reappointment of a Lecturer or Senior Lecturer on more than 50 percent time beyond the eighth year of service requires satisfaction of conditions set forth in APM - 135.

285-0 **Policy**

a. Lecturer titles which have or lead to security of employment are faculty positions designed to meet the long-term instructional needs of the University which cannot be best fulfilled by an appointee in the regular professorial series.

b. A budgeted FTE must be allocated for any appointee in this series.

285-4 **Definition**

a. These titles are assigned to individuals who engage in teaching, professional activities, and University and public service.

b. The Lecturer with Security of Employment series should not be confused with Regents' Lecturer (see APM - 290), or with Lecturer and Senior Lecturer (see Memorandum of Understanding: Non-Senate Instructional Unit).

285-8 **Titles**

a. Titles in the Lecturer with Security of Employment series are:

(1) Lecturer with Potential for Security of Employment (PSOE)

(2) Senior Lecturer with Potential for Security of Employment (PSOE)

(3) Lecturer with Security of Employment (SOE)

(4) Senior Lecturer with Security of Employment (SOE)

b. A *promotion* is an advancement from one rank to a higher rank within the Lecturer SOE series.

Upon promotion, a Lecturer PSOE becomes a Lecturer SOE, and a Senior Lecturer PSOE becomes a Senior Lecturer SOE. A Lecturer SOE may be promoted to Senior Lecturer SOE.

c. A Lecturer PSOE and a Senior Lecturer PSOE have appointments with specific end dates. The term *reappointment* means the renewal of an appointment immediately following the end date of a previous appointment in this series. A reappointment may or may not be accompanied by a promotion or a merit increase.

285-10 **Criteria**

a. A candidate for appointment, merit increase, or promotion in this series shall be judged by achievements in the following areas: teaching, professional achievement and activity, and University and public service.

Criteria for examining achievement in these areas are set forth in APM - 210-3, *Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment (SOE) Series.*

b. The title Senior Lecturer with Potential for Security of Employment (PSOE) or Senior Lecturer with Security of Employment (SOE) may be assigned to an appointee who provides services of exceptional value to the University and whose excellent teaching and professional accomplishments have made him or her a recognized leader in his or her professional field and/or in education.

c. Appointment and advancement of a part-time appointee with a title in this series shall depend on the quality of performance at a level of distinction comparable to that demanded of a full-time appointee; however, when circumstances warrant, a lesser rate of professional achievement and activity will be acceptable. Teaching assignments and departmental, committee, and other service should be in proportion to the percentage of time of the position, but the same quality of performance is expected as for a full-time appointee.

d. Transfer of appointees in the regular professorial series to the Lecturer SOE series.

(1) In cases when there has been a review of an Assistant Professor and the Chancellor has decided not to continue the individual's appointment in the professorial series, the individual may not subsequently be appointed on any campus to the Lecturer SOE series (or certain other titles) for a period of five years. (See APM - 133-0-a(3).)

(2) Upon the recommendation of the department and following regular academic review, the Chancellor may transfer an Associate Professor or Professor to the Lecturer SOE or Senior Lecturer SOE title. This transfer requires the written consent of the faculty member.

e. When there has been a review of a Lecturer PSOE or Senior Lecturer PSOE and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not subsequently be appointed on any campus to certain faculty titles for a period of five years. For a list of these faculty titles, see APM - 133, Appendix A. (See also APM - 133-0-b(3).)

285-16 **Restrictions**

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

a. Normally an appointment to this series is for full-time service to the University.

b. Security of employment may be granted only for an appointment at more than half time. (See Regents' Standing Order 103.10.)

c. An appointment for less than full-time service with a title in this series may be authorized under appropriate circumstances, provided the Chancellor specifically approves the arrangement as being in the best interests of the University based on the particular situation. Ordinarily, such part-time appointments will be limited to cases in which the appointee's professional commitment is to the University. In the rare case that a part-time appointee has a professional commitment other than to the University, the Chancellor must be assured that the appointee will be able to fulfill all the obligations entailed in the University appointment.

In the future, the Chancellor is not obligated to increase the percentage of any part-time appointment, even if the appointee and/or the department request such an increase.

The appointee shall execute a written agreement that the security of employment status and other conditions of the appointment as described below are limited to the specified percentage of time. The agreement shall be set forth in a letter from the Chancellor advising the individual that the part-time appointment does not imply any future right to a full-time appointment with security of employment. The letter should also state that the rate at which credit for University service accrues for University retirement benefits

may likewise be affected. The individual must sign and return a copy of such letter to indicate consent.

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

d. Promotions, merit increases, and reappointments may be made only within the limits of supporting funds.

e. A registered student or candidate for a higher degree at the University of California is not eligible for appointment to a title in this series.

285-17 **Terms of Service–Appointment Review**

a. Lecturer with Potential for Security of Employment (PSOE) and Senior Lecturer with Potential Security of Employment (PSOE)

(1) Term of Appointment

Each appointment and reappointment is limited to a maximum term of two years. The total University service with this and certain other titles may not exceed eight years, in accordance with APM - 133-0-b and Regents' Standing Order 103.10 which provides: ". . . a Lecturer–Potential Security of Employment or Senior Lecturer–Potential Security of Employment appointed at more than half time who has completed eight years of service in that title, or in that title in combination with other titles as established by the President, shall not be continued in that title after the eighth year unless given appointment with security of employment."

(2) Effective Date of Appointment

Rules concerning the effective date of appointments shall be as stipulated in APM - 200-17; normally an appointment period will coincide with the University's fiscal year of July 1 through June 30.

(3) Appointment for Less Than Two Years

The appointment or reappointment of a Lecturer PSOE or Senior LecturerPSOE may be for a period of less than two years only under the following circumstances:

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

(b) A promotion or merit increase may become effective on July 1 before the end of a two-year term, but such advancement shall mark the beginning of a new term of appointment.

(c) A terminal appointment for a Lecturer PSOE or Senior Lecturer PSOE may be for a period of less than two years provided adequate notice has been given, as stipulated in APM - 285-17-a(5).

(4) Advancement

An appointee holding the title Lecturer PSOE or Senior Lecturer PSOE is eligible for reappointment, merit increase, and promotion. Decisions about reappointment, merit increase, and promotion 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.

(5) Notice for Non-Renewal of Appointment

When an appointment as a Lecturer PSOE or Senior Lecturer PSOE is not to be renewed, written notice shall be given by the Chancellor in advance of the expiration date in accordance with the schedule below. Pay in lieu of notice may be authorized by the Chancellor.

(a) With less than one year of service as a Lecturer PSOE or Senior Lecturer PSOE by the end of the current period of appointment: at least a four-month notice.

(b) With at least one complete year of service and not more than two years of service as a Lecturer PSOE or Senior Lecturer PSOE by the end of the current period of appointment: at least a six-month notice.

(c) With more than two years of service as a Lecturer PSOE or Senior Lecturer PSOE by the end of the current period of appointment: at least a twelve-month notice.

(6) Termination Before the End of the Appointment Period

Termination of the appointment of a Lecturer PSOE or Senior Lecturer PSOE before the expiration of the appointment shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

b. Lecturer with Security of Employment (SOE) and Senior Lecturer with Security of Employment (SOE)

All appointments and promotions to the ranks of Lecturer SOE and Senior Lecturer SOE are continuous until terminated by resignation, retirement, or dismissal. A Senior Lecturer SOE may be demoted to Lecturer SOE.

"An appointment with security of employment shall not be terminated except for good cause after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate." (Regents' Standing Order 103.10).

285-18 **Salary**

The Office of the President publishes a salary range for this series. The rate of advancement may be more variable, and in many cases slower, than for professorial positions.

For a Lecturer SOE, the normal period of service before review for advancement for a merit increase is three years. The period of service in the rank of Lecturer SOE may be of indefinite duration. Promotion to Senior Lecturer SOE is not normally expected, but may occur when warranted. Review for promotion to the Senior Lecturer SOE title will normally occur only after a minimum of six years in the title of Lecturer SOE.

Senior Lecturer SOE titles should be paid at a level no less than Professor, Step I. Normally, an appointee shall be reviewed every three years for a merit increase, until the salary is equivalent to that of Professor Step V. Service at that level and higher may be of indefinite duration, and review for advancement will not usually occur after less than four years. Senior Lecturers SOE of the highest distinction, whose work has been internationally acclaimed, are eligible for salaries above the top of the range.

285-20 **Conditions of Employment**

a. Part-time Lecturers PSOE and part-time Senior Lecturers PSOE are not members of the Academic Senate. Full-time Lecturers PSOE and full-time Senior Lecturers PSOE are members of the Academic Sentate.

b. Part-time Lecturers SOE and part-time Senior Lecturers SOE are not members of the Academic Senate. Lecturers SOE and Senior Lecturers SOE who are full-time appointees are members of the Academic Senate. (See Regents' Standing Order 105.1(a).)

c. An appointee to this series may be assigned to teach courses at any level.

d. Since appointment to a title in this series does not imply the responsibility of engaging in research, an appointee will be assigned a heavier instructional load than that of an appointee in the regular professorial series.

e. An appointee with a title in this series is not eligible to apply for sabbatical leave. (APM - 740)

f. An appointee with a title in this series is eligible for leave with pay (APM - 758) or without pay (APM - 759), when the Chancellor determines that the leave is in the interest of the University. The Chancellor may approve a leave of absence with pay for twelve months or less.

285-24 **Authority to Approve Appointments, Reappointments, and Promotions**

For a general outline, see APM - 220-24 and local campus implementing procedures.

285-80 **Review Procedures**

The Chancellor, in consultation with the Committee on Academic Personnel, may develop local review procedures for the Lecturer with Security of Employment series. Campus procedures for review and advancement shall be modeled on the general pattern of the review process for members of the professorial series. See APM - 220-80, and 220-82 through 220-85.

285-95 **Letters of Invitation and Notification**

See APM - 220-95 for model language. The term "security of employment" shall be substituted for the term "tenure."

289-6 **Responsibility**

In the capacity as a University administrative officer, the department chairperson must establish procedures to insure that the chair will be notified about any intended use of guest lecturers, and the chairperson must decide whether or not the participation of an individual proposed as a guest lecturer is of such a nature as to require appointment to a position with an appropriate instructional title. If the department chairperson determines that such an appointment is necessary, then the guest lecturer shall not participate in the presentation of the course unless the chairperson recommends the appointment and the appointment is approved, after appropriate review, by the Chancellor or the Chancellor's representative.

The department chairperson is responsible for the maintenance of records and preparation of reports on which to base periodic administrative review of the use of guest lecturers.

290-0 **Policy**

a. In order to bring to the University distinguished individuals, ordinarily from nonacademic fields, who through their contact with students and faculty may add to and enrich university life, The Regents of the University of California have established the titles Regents' Professor and Regents' Lecturer.

b. Appointment of a Regents' Professor is preferred to the appointment of a Regents' Lecturer whenever possible.

c. Nominations shall be coordinated by the Chancellors whenever possible in order to avoid conflicts and to make possible service on more than one campus when agreeable to the prospective appointee and to the Chancellor.

290-1 **Terms of Appointment**

To achieve the special purposes of Regents' Professor and Regents' Lecturer appointments as indicated in APM - 290-0, the following terms govern these appointments:

a. **A Regents' Professor**

(1) should live in the vicinity of the campus and be available for seminars, colloquia, and informal consultation with students and faculty members;

(2) should be available for lectures, seminars and conferences on campuses other than the one to which appointed for approximately two weeks of each semester;

(3) may participate in instruction in courses given for credit, at the discretion of the individual instructor; and

(4) may be assigned a course to teach, at the discretion of the department chairperson and with the concurrence of the appropriate bodies of the Academic Senate.

b. **A Regents' Lecturer**

(1) should live in the vicinity of the campus and be available for seminars, colloquia and informal consultation with students and faculty members; and

(2) may address class sessions of a course given for credit at the invitation of the instructor, but does not normally participate in instruction.

290-4 **Definition**

a. **Regents' Professor**

A Regents' Professor serves for a semester/quarter or an academic year at the University of California upon the invitation of the President of the University and with the approval of the Board of Regents. The Regents' Professor's achievements in agriculture, banking, commerce, engineering, industry, labor, law, medicine, or any other nonacademic field in the arts, sciences, or professions are equivalent to those on which appointments to regular University professorships are based.

b. **Regents' Lecturer**

A Regents' Lecturer serves for a relatively short period of time at the University of California upon the invitation of the Chancellor. The Regents' Lecturer's achievements in agriculture, banking, commerce, engineering, industry, labor, law, medicine, or any other nonacademic field in the arts, sciences, or professions are equivalent to those on which appointments to regular University lectureships are based.

290-6 **Responsibility**

Responsibility for acting on appointments is assigned as follows:

a. The Chancellor is responsible for appointing a special committee of faculty members to undertake the solicitation of names and initial screening of potential Regents' Professors and Regents' Lecturers.

b. The President is responsible, at appropriate intervals, for asking members of the Board of Regents to suggest names to be transmitted to the Chancellors for the committee's consideration.

c. The faculty committee, appointed by the Chancellor, undertakes the solicitation of names and initial screening, and is responsible for submitting lists of recommended individuals to the Chancellor.

d. The Chancellor is responsible for submitting recommendations for Regents' Professors to the President.

e. The President is responsible for submitting to The Regents recommendations for Regents' Professors.

f. The President is responsible for implementing intercampus exchange of Regents' Professors.

290-8 **Types of Appointment**

a. The term of appointment shall begin and end within the period from the first day of classes in the Fall Semester/Quarter and the last day of classes in the Spring Semester/Quarter of the current year.

b. Regents' Professors shall be appointed for a semester/quarter or an academic year.

c. Regents' Lecturers shall be appointed for a period of less than a semester/quarter or an academic year, but preferably for not less than two weeks.

290-10 **Criteria**

Criteria for appointment are:

a. **Regents' Professors:** Achievements in agriculture, banking, commerce, engineering, industry, labor, law, medicine, or any other nonacademic field in the arts, sciences, or professions, equivalent to those on which appointments to regular University professorships are based.

b. **Regents' Lecturers:** Achievements in the fields listed in a. above, equivalent to those on which appointments to regular University lectureships are based.

290-16 **Limitations**

No commitment on an appointment as Regents' Professor is to be made until The Regents have approved the appointment.

290-18 **Salary**

See APM - 640.

290-24 **Authority**

Authority to appoint Regents' Professors and Regents' Lecturers is delegated as follows:

a. Regents' Professors

Appointments are approved by The Regents on recommendation of the President.

b. Regents' Lecturers

Chancellors are authorized to appoint Regents' Lecturers at a salary not in excess of the salary scale issued by the Office of the President.

300-4 **Definition**

Titles in this series are used for members of the faculty who have duties of one or more of the following types, but who are not called upon for the type of published research expected of appointees in the Professor series (see APM - 220), although such research or other creative activity shall be given appropriate recognition (see APM - 210-5-d):

> Teaching, promotion and/or supervision of physical activities, intercollegiate athletics, or intramural sports programs; teaching courses and establishing curricula in physical education; coordination or administration of campus intercollegiate athletics or recreation programs.

300-6 **Responsibility**

For personnel actions involving titles in this series, it shall be the responsibility of the Chancellor to establish appropriate campus review procedures, after appropriate consultation involving representatives of the relevant academic bodies and relevant administrative officers. Such procedures shall be in writing and shall be disseminated appropriately on campus.

300-8 **Types**

a. Titles (and ranks) in this series are:

   (1) Junior Supervisor of Physical Education

   (2) Assistant Supervisor of Physical Education

   (3) Associate Supervisor of Physical Education

   (4) Supervisor of Physical Education

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 off-scale or 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 a merit increase.

300-10 **Criteria**

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

a. Effectiveness in teaching.

b. Professional achievement in one or more of the following: physical activities, campus intramural or recreation programs, extramural sports, or intercollegiate sports programs.

c. University and public service.

An explanation of these criteria is set forth in APM - 210-5.

It should be noted that published research, such as is expected of candidates in the professor series, is *not* a responsibility of those in the supervisor of physical education series. However, accomplishments in research or creative activity in the relevant fields under b. above should be given proper recognition in judging the candidate's professional achievement.

Appointment to a part-time position with a title in this series shall require the same qualifications as for a full-time appointment. Advancement of a part-time appointee with a title in this series shall depend on quality of performance at a level of effectiveness and achievement comparable to that expected of the full-time appointee. Teaching assignments as well as departmental, committee, and other University service are to be kept in proportion to the percentage of time of the assignment.

Typical qualifications for ranks in this series are as follows:

Junior Supervisor: Individuals shall be appointed primarily for their special competence to teach one or more activity classes. Possession of at least a bachelor's degree, preferably in Physical Education, or its equivalent in professional training, is a requisite for appointment. Service in this rank does not, in itself, assure eventual promotion to a higher rank in this series.

Assistant Supervisor: Appointees to this rank typically offer instruction in courses in physical activities or physical education; or teach, promote and/or supervise campus intramural and recreation programs, extramural sports programs, or intercollegiate sports programs. Appointment shall be based on possession of special competence and/or professional experience, normally including some post-baccalaureate educational training or professional experience. Promotion to this rank shall be based on evidence of growth (and promise of continued growth) in professional achievement and excellence of services performed in assigned responsibilities. Service in this rank does not, in itself, assure eventual promotion to higher rank in this series. Accelerated advancement is possible if achievement is exceptional.

Associate Supervisor: To qualify for appointment or promotion to this rank, individuals must have demonstrated distinguished attainment in teaching and supervising, professional distinction in the relevant fields named under APM - 300-10-b. above, and evidence of leadership in these areas. In judging the candidate, consideration should be given to all forms of significant evidence about the candidate's training, experience, higher education, and special skills, and to evidence of performance in teaching, supervising, coaching, counseling students, and administering programs in physical education, physical activities, recreation, or sports.

Supervisor: Candidates for appointment or promotion to this rank shall be judged in the same way as for Associate Supervisor, except that candidates for Supervisor, in addition, shall have attained significant externally recognized distinction in a professional field or shown outstanding ability in a major area of professional responsibility.

300-16 **Restrictions**

a. An appointment or reappointment to the title Junior Supervisor or Assistant Supervisor of Physical Education must be for a specified term, and may not be for an "indefinite" period.

b. A title in this series is not to be conferred on an appointee unless there is an appropriately budgeted provision for the appointment.

c. An appointment to a title in this series is normally for full-time service to the University, although there subsequently may be a temporary reduction in the percentage of time of the appointment to enable the appointee to serve the University in some other capacity.

d. An 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 and fully justified by the particular circumstances. Such part-time appointments ordinarily will be limited to cases in each of which the individual's primary professional commitment is to the University. In the case of a part-time appointment of an individual with a professional commitment other than the one to the University, there must be assurance 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 Supervisor of Physical Education or Supervisor of Physical Education, or promotion to one of these ranks on a part-time basis, shall be subject to the same provisions as in the case of full-time appointment; and the appointee shall execute a memorandum of understanding agreeing that the tenure status and other benefits of appointment as described below are limited to the specified fraction of time.

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 is no implied right to a full-time tenure appointment; and, further, that the accrual or 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 to the Chancellor a carbon copy of such a letter to indicate consent.

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

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

f. A title in this series may not be used for an individual who is a registered student or candidate for a degree on the campus of appointment. (The title Teaching Assistant or Physical Activities Assistant shall, instead, be used for such an appointment.)

300-17 **Terms of Service**

a. **Junior Supervisor of Physical Education**

An appointment is limited to a term of one year or less, and may be renewed for one additional year. The total University service as Junior Supervisor of Physical Education may not exceed two years (see APM - 133-0-a). The form effecting employment or a change in status for each appointee (1) may not show an "indefinite" ending date, and (2) must bear the following statement:

> This appointment is for one academic year, or lesser term as herein set forth, and is not for a longer period unless written notification is so given to the appointee. In the absence of such written notification, the appointment terminates at the conclusion of the term as specified.

b. **Assistant Supervisor of Physical Education**

Each appointment and reappointment is limited to a term of two years or less. 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.

The appointment or reappointment of an Assistant Supervisor of Physical Education may be for a period of less than two years only under the following conditions:

(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 marks the beginning of a new term of appointment.

(3) A terminal appointment for an Assistant Supervisor of Physical Education may be for a term of less than two years provided adequate notice has been given, as stipulated in APM - 300-20-c.

c. **Associate Supervisor and Supervisor of Physical Education**

(1) Appointments to the ranks of Associate Supervisor and Supervisor of Physical Education are continuous in tenure, subject to the specifications of Section 103.9 of the Standing Orders of The Regents, quoted in APM - 300-20-d.

(2) The normal period of service as an Associate Supervisor is six years, but there is no obligation on the part of the University to promote an Associate Supervisor to the rank of Supervisor 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 - 300-24.

(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.

300-18 **Salary**

a. An authorized salary scale established for this series is 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.

(1) Junior Supervisor of Physical Education: Service in the rank of Junior Supervisor is limited to two years.

(2) Assistant Supervisor of Physical Education: The total period of University service in the title Assistant Supervisor of Physical Education, 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 is two years at each step in the Assistant Supervisor rank.

(3) Associate Supervisor of Physical Education: The normal period of service in the rank of Associate Supervisor is six years. The normal period of service is two years at each of the first two steps in this rank; there is no specified normal period of service as Associate Supervisor of Physical Education, Step III.

(4) Supervisor of Physical Education: The normal period of service is three years at each of the first three steps of this rank. There are no specified normal periods of service at the steps above Supervisor of Physical Education, Step III. Steps V, VI and VII are reserved for Supervisors of Physical Education of great achievement and distinction. Advancement to Step V calls for highly meritorious service as well as outstanding and nationally recognized professional achievement and activity as represented by leadership or administration of activity programs. The criteria for advancement to Steps VI and VII are the same as those for Step V; however, such advancement must be based on achievements and accomplishments since previous advancements. Advancement to Steps V, VI or VII shall not occur after less than three years at the preceding steps except in very strongly justified cases.

300-20 **Conditions of Employment**

a. The termination of the appointment of a Junior Supervisor or Assistant Supervisor of Physical Education before the expiration of the contracted term shall be only for good cause, after the opportunity for a hearing before the

properly constituted advisory committee of the Academic Senate. (This is stipulated in Section 103.9 of the Standing Orders of The Regents, quoted in APM - 300-20-d.) In all other cases of grievances pertaining to appointees in this series, the provisions of APM - 140 shall apply.

b. An appointee holding the rank of Assistant Supervisor of Physical Education 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, such as described in APM - 220-84-d.

c. When an appointment as Assistant Supervisor of Physical Education 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 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) For Assistant Supervisors with more than two years of University service by the end of the current period of appointment: at least a twelve-month notice. Such notice shall be given at the time the one-year terminal appointment is made.

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

d. 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."

On February 9, 1940, the following resolution was adopted by The Regents: "Supervisors, Associate Supervisors, and Assistant Supervisors in the departments of Physical Education shall be entitled to

leaves of absence on the same basis and under the same terms as Professors, Associate Professors, and Assistant Professors."

On June 28, 1952, The Regents amended the foregoing resolution to include the following additional paragraph: "In relation to academic tenure and retiring allowances, the ranks of Supervisor and Associate Supervisor in the departments of Physical Education shall be considered to be the equivalent to those of Professor and Associate Professor."

e. Membership in the Academic Senate is not acquired by appointment in this series.

f. For eligibility for reimbursement of 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.

300-24 **Authority**

Authority to approve appointments, reappointments, and promotions to titles in this series is the same as for corresponding ranks in the Professor series, as set forth in APM - 200-24.

300-80 **Procedures**

The procedures set forth in APM - 200-80 through 220-85 are applicable to the personnel actions involving corresponding ranks in this series, but with due consideration for the provisions of APM - 300-6.

300-95 **Letters of Invitation and Notification**

See APM - 220-95.

300-96 **Reports**

See APM - 200-96.

310-4 **Definition**

a. The Professional Research series is used for appointees who engage in independent research equivalent to that required for the Professor series and not for appointees whose duties are limited to making significant and creative contributions to a research project or to providing technical assistance to a research activity. Appointees with Professional Research titles do not have teaching responsibilities.

b. Appointees can with campus approval be Principal Investigators and have the major responsibility and leadership for their research programs.

   Appointments in this series may also be made to individuals who are not Principal Investigators, if they meet the research qualifications and demonstrate the accomplishment and the independence of research equivalent to that required for the Professorial ranks. For example, these individuals may be funded from a large center or collaborative program grant on which many independent investigators are working, or they may hold a Visiting title.

   The ability to secure independent funding does not automatically qualify individuals for appointment to the Professional Research series.

c. Appointees may serve full-time, part-time, or without salary, provided they are actively engaged on a research project in accordance with APM - 310-4-b.

d. Professional Research titles may be supported by State and/or non-State funds.

310-8 **Types of Appointments**

a. Titles (and ranks) in this series are:

   (1) Assistant Research (e.g., *Physicist*)

   (2) Associate Research (e.g., *Physicist*)

   (3) Research (e.g., *Physicist*)

b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the three ranks listed 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 to the next rank as listed above.

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

e. The term *reappointment* means the renewal of an appointment in this series. If the renewal of an appointment does not immediately follow the ending date of the previous appointment, the action is an appointment, not a reappointment. A reappointment may or may not be accompanied by a promotion or a merit increase.

310-10 **Criteria**

A candidate for a title in this series must have earned a doctorate or its equivalent. The Chancellor may grant an exception to this requirement.

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

a. Research qualifications and accomplishments equivalent to those for the Professor series

b. Professional competence and activity equivalent to those for the Professor series

c. University and/or public service

An Assistant Research (e.g., *Physicist*) is not required to participate in service activities. An Associate Research (e.g., *Physicist*) and a Research (e.g., *Physicist*) are expected to engage in University and/or public service, such as service on research review boards.

An appointee in this series must demonstrate continuous and effective engagement in independent and creative research activity of high quality and significance, equivalent to that expected of the Professor series. Proposed merit increases and promotions in the Professional Research series shall be reviewed with the same rigor accorded to proposed merits and promotions in the Professor series. See APM - 210-1.

310-16 **Restrictions**

a. Appointees in this series who teach must hold concurrently an appropriate faculty title, following campus review procedures for such appointment.

b. The appointment letter shall set forth any funding requirements for the position.

310-17 **Terms of Service**

a. An appointment or reappointment to the title of Assistant Research (e.g., *Physicist*) shall have a specified ending date. For written notification, see APM - 137-17.

b. An appointment or reappointment to the title of Associate Research (e.g., *Physicist*) or Research (e.g., *Physicist*) may be made in one of two ways:

(1) **With a specified ending date**

For written notification, see APM - 137-17.

(2) **With no specified ending date**

An appointment with no specified ending date should be made only when there is a reasonable expectation of long-term funding.

The appointee shall be notified in writing that the appointment does not carry either tenure or security of employment.

For provisions concerning termination see APM - 310-20-c.

c. Appointments and reappointments may have shorter terms than the maximums described below. The normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.

(1) An appointment or reappointment in the Assistant Research (e.g., *Physicist*) rank shall be for a period of two years or less. Ordinarily, appointees serve in the first four steps with the corresponding salary levels. Steps V and VI may be used in exceptional situations, with proper justification, consistent with campus practice. Service at Assistant Research (e.g., *Physicist*), Step V, may be in lieu of service at Associate Research (e.g., *Physicist*), Step I, for which the published salary is slightly higher. Likewise, service at Assistant Research (e.g., Physicist), Step VI, may be in lieu of service at Associate Research (e.g., Physicist), Step II.

When service at Assistant Research (e.g., *Physicist*), Step V, is followed by service at Associate Research (e.g., *Physicist*), 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 Research (e.g., *Physicist*), Step VI, is followed by service at Associate Research (e.g., *Physicist*), Step II.

There is an eight-year limit for an appointee who holds the Assistant Research (e.g., *Physicist*) title, either in that title alone or when combined with a Visiting Assistant Research (e.g., *Physicist*) title, with or without salary. The Chancellor may grant an exception to the eight-year limitation of service.

(2) For appointments with specific ending dates, an appointment or reappointment in the Associate Research (e.g., *Physicist*) rank at any one of the first three steps shall be for a period of two years or less. The normal period of service in the rank of Associate Research (e.g., *Physicist*) is six years. Steps IV and V may be used in exceptional situations, with proper justification, consistent with campus practice. Service at Associate Research (e.g., *Physicist*), Step IV, may be partly or entirely in lieu of service at Research (e.g., *Physicist*), Step I, for which the published salary is slightly higher. Likewise, service at Associate Research (e.g., *Physicist*), Step V, may be partly or entirely in lieu of service at Research (e.g., *Physicist*), Step II.

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

(3) For appointments with specific ending dates, an appointment or reappointment in the Research (e.g., *Physicist*) rank may be for a period of three years or less. 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 Research (e.g., *Physicist*), Step VI, usually will not occur after less than three years of service at Step V, and will be granted on evidence of highly distinguished scholarship. In interpreting these criteria, reviewers should require evidence of excellence and high merit in original scholarship or creative achievement; and, in addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement. Service at Research (e.g., *Physicist*), Step VI, or higher may be of indefinite duration. Advancement from Research (e.g., *Physicist*), 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.

Advancement to an above-scale salary is reserved for scholars of the highest distinction whose work has been internationally recognized and acclaimed. 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 a justification for further salary advancement. The record must demonstrate 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 an increase at intervals shorter than four years be approved.

d. Every member of the Professional Research series shall be reviewed at least every five years. In exceptional circumstances, the Chancellor may defer the review one year.

e. Rules concerning effective dates of appointments are set forth in APM - 200-17, except that an appointment period normally will coincide with the University's fiscal year of July 1 through June 30 or with the end date of funding. The effective date of a promotion or merit increase is normally July 1. However, exceptions may be granted by the Chancellor. (See APM - 310-24.)

310-18 **Salary**

a. Authorized salary scales are issued by the Office of the President.

b. For off-scale salaries, see APM - 620.

310-20 **Conditions of Employment**

a. Appointees to this series are not members of the Academic Senate.

b. Neither tenure nor security of employment is acquired by appointment to a title in this series.

c. Expiration of an appointment, layoff, and termination

(1) Appointments which have specific ending dates are subject to APM - 137 (Non-Senate Academic Appointees/Term Appointment). For layoff or involuntary reduction in time before the end date, see APM - 145. For dismissal for unsatisfactory performance before the end date, see APM - 150.

(2) Appointments with no specific ending date are subject to the following policies:

(a) When an appointment in this series is terminated because of budgetary reasons, lack of work, or programmatic needs, APM - 145 (Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time) shall apply.

(b) Termination for unsatisfactory performance shall occur only after appropriate academic review, in accordance with APM - 150 (Non-Senate Academic Appointees/Corrective Action and Dismissal).

d. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that funds are available in the source(s) from which the salary is paid.

Appointees are not eligible for sabbatical leave (APM - 740).

e. APM - 140 (Non-Senate Academic Appointees/Grievances) shall apply to appointees in this series.

310-24 **Authority**

a. Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review, rests with the Chancellor, except for certain above-scale salaries. The Chancellor has authority to approve above-scale salary levels 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)(2) of the Standing Orders of The Regents.

b. An initial appointment or subsequent reappointment of any person following retirement may be made on a year-to-year basis and with specific approval of the Chancellor.

c. The Chancellor's authority as stipulated in APM - 310-24-a extends to the approval of promotions and merit increases having effective dates other than July 1.

d. The Chancellor's authority as set forth in APM - 310-24-a also extends to the approval of appointments, merit increases, and promotions which are retroactive (that is, with the beginning date prior to the date of approval).

310-80 **Recommendations and Review**

The provisions of APM - 220-80-c, -d, -e, -h, -i, -j, and 220-84-b, modified as appropriate in specific circumstances, apply to this series.

311-4 **Definition**

a. Project (e.g., *Scientist*) series titles are given to those appointees who make significant and creative contributions to a research or creative project in any academic discipline. Appointees with Project (e.g., *Scientist*) titles may engage in University and public service. They do not have teaching responsibilities.

b. Appointees in this series may be ongoing members of a research team or may be employed for a limited period of time to contribute high-level skills to a specific research or creative program.

c. Appointees in this series are not required to carry out independent research or develop an independent research reputation. Ordinarily, appointees in Project (e.g., *Scientist*) series titles will carry out research or creative programs with supervision by a member of the Professor or Professional Research series.

d. The Project (e.g., *Scientist*) series differs from the Professional Research series in that the former need not demonstrate the same capacity for fully independent research or research leadership required of the Professor series and Professional Research series.

e. Appointees in the Project (e.g., *Scientist*) series are expected to have a broader range of knowledge and competency and a higher level of independence than appointees in the Specialist series, whose appointment and advancement depend on the technical contributions that they make to the work of the research team.

f. An appointee in the Project (e.g., *Scientist*) series does not usually serve as a Principal Investigator. See campus policies for Principal Investigator and Co-Principal Investigator status. For titles that do not automatically qualify as Principal Investigator or Co-Principal Investigator, the Chancellor may grant an exception. Serving as a Principal Investigator is not required or expected for an appointment, merit increase, or promotion.

   The designation as Principal Investigator does not in itself justify an appointment to the Professional Research series.

g. Appointees may serve full-time, part-time, or without salary.

h. Project (e.g., *Scientist*) series titles may be supported by State and non-State funds.

311-8 **Types of Appointments**

a. Titles (and ranks) in this series are:

(1) Assistant Project (e.g., *Scientist*)

(2) Associate Project (e.g., *Scientist*)

(3) Project (e.g., *Scientist*)

b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the three ranks listed 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.

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

e. The term *reappointment* means the renewal of an appointment in this series. If the renewal of an appointment does not immediately follow the ending date of the previous appointment, the action is an appointment, not a reappointment. A reappointment may or may not be accompanied by a promotion or a merit increase.

311-10 **Criteria**

The candidate for a title in this series must have earned a doctorate or its equivalent. The Chancellor may grant an exception to this requirement.

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

a. Demonstrated significant, original, and creative contributions to a research or creative program or project

b. Professional competence and activity

Appointees in this series need not demonstrate the same independence or scholarly breadth as members of the Professor or Professional Research series. University and public service are encouraged but not required.

311-16 **Restrictions**

a. Appointees in this series who teach must hold concurrently an appropriate faculty title, following campus review procedures for such appointment.

b. The appointment letter shall set forth any funding requirements for the position.

311-17 **Terms of Service**

a. An appointment or reappointment in the Project (e.g., *Scientist*) series shall have a specified ending date. The appointee shall be advised in writing that the appointment is for a specific period and that the appointment ends at the specified date. See APM - 137.

When there is a reasonable expectation of long-term funding, the Chancellor, by exception, may make an appointment in the Associate Project (e.g., *Scientist*) and Project (e.g., *Scientist)* title with no specific ending date. The appointee shall be advised in writing that the appointment does not carry tenure or security of employment.

Appointments and reappointments may have shorter terms than the maximums described below.

(1) An appointment or reappointment in the Assistant Project (e.g., *Scientist*) rank shall be for a period of two years or less. Ordinarily, appointees serve in the first four steps with the corresponding salary levels. Steps V and VI may be used in exceptional situations, with proper justification, consistent with campus practice. Service at Assistant Project (e.g., *Scientist*), Step V, may be in lieu of service at Associate Project (e.g., *Scientist*), Step I, for which the published salary is slightly higher. Likewise, service at Assistant Project (e.g., *Scientist*), Step VI, may be in lieu of service at Associate Project (e.g., *Scientist*), Step II.

When service at Assistant Project (e.g., *Scientist*), Step V, is followed by service at Associate Project (e.g., *Scientist*), 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 Project (e.g., *Scientist*), Step VI, is followed by service at Associate Project (e.g., *Scientist*), Step II.

For campuses that adopt an eight-year limitation of service, there is an eight-year limit for an appointee who holds the Assistant Project (e.g., *Scientist*) title, either in that title alone or when combined with an Assistant Research (e.g., *Physicist*) title and Visiting Assistant Research (e.g., *Physicist*) title.

(2) For appointments with specific ending dates, an appointment or reappointment in the Associate Project (e.g., *Scientist*) rank at any one of the first three steps, shall be for a period of two years or less. The normal period of service in the rank of Associate Project (e.g., *Scientist*) is six years. Steps IV and V may be used in exceptional situations, with proper justification, consistent with campus practice. Service at Associate Project (e.g., *Scientist*), Step IV, may be partly or entirely in lieu of service at Project (e.g., *Scientist*), Step I, for which the published salary is slightly higher. Likewise, service at Associate Project (e.g., *Scientist*), Step V, may be partly or entirely in lieu of service at Project (e.g., *Scientist*), Step II.

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

(3) For appointments with specific ending dates, an appointment or reappointment in the Project (e.g., *Scientist*) rank may be for a period of three years or less. The normal period of service at step is three years in each of the first four steps. Service at Step V and higher may be of indefinite duration.

b. Rules concerning effective dates of appointments are set forth in APM - 200-17, except that an appointment period normally will coincide with the University's fiscal year of July 1 through June 30 or with the end date of funding. The effective date of a promotion or merit increase is normally July 1. However, exceptions may be approved by the Chancellor. (See APM - 311-24)

311-18 **Salary**

Authorized salary scales are issued by the Office of the President.

For off-scale salaries, see APM - 620.

311-20 **Conditions of Employment**

a. Appointees to this series are not members of the Academic Senate.

b. Neither tenure nor security of employment is acquired by appointment to a title in this series.

c. When an appointment in this series is terminated because of budgetary reasons, lack of work, or programmatic needs, APM - 145 (Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time) applies.

d. APM - 150 (Non-Senate Academic Appointees/Corrective Action and Dismissal) applies to this series.

e. An appointment which has a specific ending date is subject to APM - 137 (Non-Senate Academic Appointees/Term Appointment).

f. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that funds are available in the source(s) from which the salary is paid.

   Appointees are not eligible for sabbatical leave (APM - 740).

g. APM - 140 (Non-Senate Academic Appointees/Grievances) applies to appointees in this series.

311-24 **Authority**

a. Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review, rests with the Chancellor, except for certain above-scale salaries.

   The Chancellor has the authority to approve above-scale salary levels 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)(2) of the Standing Orders of The Regents.

b. An initial appointment or subsequent reappointment of any person following retirement may be made on a year-to-year basis and with specific approval of the Chancellor.

c. The Chancellor's authority as stipulated in APM - 310-24-a extends to the approval of promotions and merit increases having effective dates other than July 1.

d. The Chancellor's authority as set forth in APM - 310-24-a also extends to the retroactive approval of appointments, merit increases, and promotions (that is, with the beginning date prior to the date of approval).

320-4 **Definition**

The Agronomist series is used for appointees primarily engaged in research in the subject areas indicated by their titles. This title series is used at the Agricultural Experiment Station, or at the Giannini Foundation for Agricultural Economics, or the Kearney Foundation for Soil Science. Often an appointment in this series is held jointly with a title in the Professor series on one of the campuses of the University.

320-6 **Responsibility**

Responsibility for acting upon appointments and promotions is assigned as follows:

a. For Junior Agronomist and Assistant Agronomist:

(1) The department chairperson (after consultation with the members of the department), the dean of the college or school and assistant director of the Agricultural Experiment Station, and the Committee on Academic Personnel, or equivalent committee, are responsible for making recommendations on appointments and promotions.

(2) When necessary, a special review committee shall be nominated by the Committee on Academic Personnel.

(3) The Chancellor is responsible for appointing the special review committee.

(4) The Committee on Academic Personnel is responsible for transmitting the recommendations of the special review committee to the Chancellor.

b. For Associate Agronomist and Agronomist:

(1) The department chairperson (after consultation with the members of the department), the dean of the college or school and assistant director of the Agricultural Experiment Station, and the Committee on Academic Personnel, or equivalent committee, are responsible for making recommendations on appointments and promotions.

(2) The Committee on Academic Personnel is responsible for nominating a special review committee.

(3) The Chancellor is responsible for appointing the special review committee.

(4) The Committee on Academic Personnel is responsible for transmitting the recommendations of the special review committee to the Chancellor.

320-8 **Types**

Appointment and promotion in this series may be made to the following ranks:

a. Junior Agronomist

b. Assistant Agronomist

c. Associate Agronomist

d. Agronomist

320-10 **Criteria**

For criteria to use in judging a candidate for appointment or promotion to a position in this series, please see APM - 220-10-b, -c, and -d.

320-16 **Restriction**

Appointments with titles in this series shall normally be on a fiscal-year basis. Appointments may be made on an academic-year basis provided there is programmatic and fiscal justification endorsed by both the Chancellor and the Vice President—Agriculture and University Services.

320-18 **Salary**

See APM - 600-18.

320-20 **Terms of Service**

a. An appointment as Junior Agronomist may be for one year or two years. Service in this rank should not exceed two years.

b. An appointment as Assistant Agronomist is for a term of two years. An Assistant Agronomist may be reappointed for three additional terms of two years.

c. An appointment as Associate Agronomist is regarded as continuing during satisfactory behavior and efficient service. The normal period of service in this rank is six years, although there is no obligation, moral or otherwise, to promote to the Agronomist rank.

d. An appointment as Agronomist is regarded as continuing during satisfactory behavior and efficient service.

e. The normal periods of service for the Agronomist series are as shown in the Academic Salary Scale.

Junior Agronomist	*	
Assistant Agronomist	Step I	- 2 years
	Step II	- 2 years
	Step III	- 2 years
	Step IV	- 2 years
	Step V	- 2 years
	Step VI	- 2 years
Associate Agronomist	Step I	- 2 years
	Step II	- 2 years
	Step III	- 2 years
	Step IV	- 3 years
	Step V	- 3 years
Agronomist	Step I	- 3 years
	Step II	- 3 years
	Step III	- 3 years
	Step IV	- 3 years
	Step V	- No normal period of service
	Step VI	- No normal period of service

*There is only one step for Junior Agronomists.

Step VII	- No normal period of service
Step VIII	- No normal period of service
Step IX	- No normal period of service

320-24 **Authority**

Authority to approve appointments, reappointments, merit increases, and promotions in this series, following appropriate review, rests with the Chancellor except as noted below.

Agronomist in the Agricultural Experiment Station at an above-scale salary:

The Chancellor has authority to approve above-scale salary levels 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)(2) of the Standing Orders of The Regents.

320-80 **Recommendations and Review**

APM - 220-80, modified as appropriate in specific circumstances, applies to this series.

330-4 **Definition**

The Specialist series is used for academic appointees who are engaged in research in specialized areas and who do not have any teaching responsibilities.

330-6 **Responsibility**

a. **For Specialists in the Agricultural Experiment Station**

Responsibility for reviewing personnel and for recommending appointments and promotions rests with the department chairperson, dean of the college or school (or Director of the Citrus Experiment Station acting in the capacity of Assistant Director of the Agricultural Experiment Station) and the Chancellor.

b. **For Specialists in the Scripps Institution of Oceanography**

Responsibility for reviewing personnel and for recommending appointments and promotions rests with the director or department chairperson, the Director of the Scripps Institution of Oceanography, and the Chancellor.

c. **For Specialists in all Other Departments**

Responsibility for reviewing personnel and for recommending appointments and promotions rests with the director or department chairperson, the dean of the school or college involved, and the Chancellor.

330-8 **Types**

Appointment and promotion in this series may be made to the following ranks:

a. Junior Specialist

b. Assistant Specialist

c. Associate Specialist

d. Specialist

330-10 **Criteria**

In judging a candidate for appointment or promotion to a position in this series, the following criteria are used:

a. Performance in research in specialized areas

b. Professional competence and activity

c. University and public service

330-18 **Salary**

a. An authorized salary scale established for this series is issued by the Office of the President.

b. New appointees are normally paid at a minimum salary rate for the rank to which appointment is made. (See also APM - 310-12-c.)

See also APM - 615-24.

330-20 **Conditions of Employment**

The normal periods of service for each step of the ranks listed in APM - 330-8 are as shown in the Academic Salary Scale:

a.	Junior Specialist	Step I	- 1 year
		Step II	- 1 year
b.	Assistant Specialist	Step I	- 2 years
		Step II	- 2 years
		Step III	- 2 years
c.	Associate Specialist	Step I	- 2 years
		Step II	- 2 years
		Step III	- 2 years
		Step IV	- No normal period of service

d.	Specialist	Step I	- 3 years
		Step II	- 3 years
		Step III	- No normal period of service
		Step IV	- No normal period of service
		Step V	- No normal period of service

330-24 **Authority**

Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review, rests with the Chancellor except as noted below.

Specialist at an above-scale salary:

The Chancellor has the authority to approve above-scale salary levels 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)(2) of the Standing Orders of The Regents.

330-80 **Recommendation and Review**

The provisions of APM - 220-80-c, -d, -e, -h, -i, -j, 220-84-b, modified as appropriate in specific circumstances, apply to this series.

334-4 **Definition**

The Specialist in Cooperative Extension Series is used for academic appointees who are qualified by formal education and/or experience to conduct educational activities and mission oriented research in their area of specialty, and who have responsibility for the interpretation, adaption, and transmission of the results of relevant research. Teaching of regular undergraduate or graduate courses is not a responsibility of this series.

334-8 **Types**

a. Titles (and ranks) in this series are:

(1) Assistant Specialist in Cooperative Extension

(2) Associate Specialist in Cooperative Extension

(3) Specialist in Cooperative Extension

b. An *appointment* occurs when an individual is employed in one of the 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 in APM - 334-8-a. 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. (See 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.

334-10 **Criteria**

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

(1) Performance in extending knowledge and information

(2) Research, especially applied research, and creative work

(3) Professional competence and activity

(4) University and public service.

In addition, every appointee in this series is responsible for applying and furthering the affirmative action goals and objectives of the University and of the Division of Agriculture and Natural Resources.

Although reviewers shall be rigorous and objective in evaluating a candidate's qualifications within the established criteria, reviewers shall exercise reasonable flexibility in balancing, when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another area; however, this balance may not be achieved by an absence of performance in any of the specified areas.

b. A merit increase or promotion is based on individual qualifications and meritorious performance and is not automatic after a stated number of years of service. Accelerated advancement is possible if achievement is exceptional.

334-17 **Terms of Service**

a. **Assistant Specialist in Cooperative Extension**

An Assistant Specialist in Cooperative Extension at any percentage of time is normally appointed for the maximum term of two years (24 months) as a fiscal-year appointment. The appointment may be made for a shorter term. Reappointment is normally considered at the time of the biennial merit review. The total University service with this title, either by itself or in combination with the following titles, may not exceed eight years (96 months):

Visiting Assistant Specialist in Cooperative Extension
Assistant Cooperative Extension Advisor
Assistant Professor

Acting Assistant Professor
Visiting Assistant Professor
Junior Specialist in the Agricultural Experiment Station
Assistant Specialist in the Agricultural Experiment Station
Junior Agronomist in the Agricultural Experiment Station
Acting Junior Agronomist in the Agricultural Experiment Station
Assistant Agronomist in the Agricultural Experiment Station
Visiting Assistant Agronomist in the Agricultural Experiment Station
Acting Assistant Agronomist in the Agricultural Experiment Station

For policies on computation of years of service in regard to periods of leave, temporary transfers, changes in status, and breaks in service, see APM - 133. The Chancellor may grant exceptions to the eight-year limitation of service.

b. **Associate Specialist in Cooperative Extension and Specialist in Cooperative Extension**

(1) All appointments to the ranks of Associate Specialist in Cooperative Extension and Specialist in Cooperative Extension are indefinite appointments with no ending date until terminated by layoff, retirement, demotion, dismissal, resignation, separation, or death.

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

334-18 **Salary**

a. An authorized salary scale established for this series is issued by the Office of the President.

b. Normal Periods of Service

(1) Assistant Specialist in Cooperative Extension: The normal period of service at a given step is two years. (For the eight-year limitation of service in this title, see APM - 334-17-a.)

(2) Associate Specialist in Cooperative Extension: The normal period of service in any one of the first three steps is two years. For the last two steps, the normal period of service is three years.

The normal total period of service in the Associate rank is six years.

(3) Specialist in Cooperative Extension: 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 and will be granted on evidence of 1) excellent performance in extending knowledge and information, 2) highly distinguished scholarship, especially applied scholarship, and/or creative work, 3) excellence in professional competence and activity, and 4) highly meritorious University and public service.

In interpreting these criteria for advancement to Step VI, reviewers should require evidence of excellence and high merit in performance in extending knowledge and information; in scholarship, especially applied scholarship, and/or creative achievement; in professional competence and activity; and in service. In addition, there should be great distinction, recognized nationally or internationally in the performance 1) of extending knowledge and information or 2) in scholarly and creative achievement.

Service at Step VI or higher may be of indefinite duration. Advancement from Step VI to Step VII, and from Step VII to Step VIII, 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.

Advancement to an above-scale salary is reserved for Specialists of the highest distinction whose performance in the extension of knowledge is excellent and whose work has been internationally recognized and acknowledged. 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 a 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.

334-20 **Conditions of Employment**

The following conditions of employment apply to appointment to a title in this series:

a. Neither tenure nor security of employment is acquired by appointment to any title in this series.

b. Continued appointment must be justified by a high level of achievement and performance. (See also APM - 334-20-f)

c. An appointee accrues sick leave credit and vacation credit in accordance with the provisions of APM - 710 and 730, respectively.

d. See APM - 740 for eligibility for sabbatical leave privileges.

e. For eligibility for reimbursement for certain expenses, see APM - 550 (moving expenses for change of assignment or headquarters) and APM - 560 (removal expenses).

f. When an appointment is to be terminated, written notice by the appropriate administrative authority shall be given in advance of the termination date in accordance with the following schedule:

(1) In the event of unsatisfactory job performance: See APM - 150.

(2) In the event of discontinuance of the program, function, or position in the organization for programmatic reasons: not less than a three-month notice will be given appointees with less than three years' service; and not less than a four-month notice will be given to appointees with service of three years or more. Appropriate pay in lieu of notice may be given.

(3) In the event funding is no longer available: not less than a one-month notice will be given whenever feasible.

(4) In case of dismissal for serious misconduct, termination may be made with no advance notice.

(5) For non-reappointment for academic reasons of an Assistant Specialist in Cooperative Extension as a result of academic personnel review, see APM - 334-84.

g. In the event of termination of an appointment in this series because of lack of work, lack of funds, or programmatic change, the provisions of the University Academic Non-Senate Layoff Policy (APM - 145) apply.

h The provisions of APM - 140 concerning the University Grievance Policy for academic non-Senate appointees are applicable to appointees in this series.

i. The provisions of APM - 150 regarding corrective action and dismissal for non-Senate academic appointees are applicable to appointees in this series.

334-24 **Authority***

a. On behalf of the Vice President—Agriculture and Natural Resources, the Chancellor may approve appointments, reappointments, merit increases, promotions,and terminations in this series, except that an appointment or advancement to an above-scale salary beyond the Regental compensation threshold is subject to Regental approval upon recommendation by the President. See Section 101.2(a)(2) of the Standing Orders of The Regents and APM - 334-85-d.

b. Merit increases and promotions having effective dates other than July 1, and the retroactive approval of appointments, merit increases, and promotions are subject to the preceding provisions of APM - 334-24-a, and each such approval must be on an exceptional basis and with suitable justification.

334-80 **Procedures**

The Chancellor shall establish procedures which entail adequate stages of review of proposed appointments, reappointments, merit increases, and promotions to ensure proper evaluation of the individual candidates. Such procedures shall include appointment by the Chancellor of personnel committees which include peers and which will review, when appropriate, appointments, reappointments, merit increases, and promotions and which will also recommend, when appropriate, the composition of *ad hoc* review committees. *Ad hoc* review committees,

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*The authority for personnel actions in this section lies with the Vice President—Agriculture and Natural Resources. The Vice President—Agriculture and Natural Resources and the Chancellors of the Berkeley, Davis, and Riverside campuses have entered into Memoranda of Understanding whereby these Chancellors may execute these personnel actions on behalf of the Vice President—Agriculture and Natural Resources.

appointed by the Chancellor, will normally include appointees from the Agricultural Experiment Station.

334-83 **Procedure for the Formal Appraisal of Assistant Specialist in Cooperative Extension**

Formal appraisals of Assistant Specialists in Cooperative Extension shall be made in order to arrive at preliminary assessments of the prospects of candidates for eventual promotion to Associate rank as well as to identify appointees whose records of performance and achievement are below the level of excellence desired for continued employment in the Specialist in Cooperative Extension series. The general rules of APM - 220-80 apply here. In addition:

a. Normally each Assistant Specialist in Cooperative Extension shall be appraised well in advance of possible promotion to Associate 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 Specialist in Cooperative Extension shall be appraised no later than the first half of the appointee's sixth year of service in the University with the title Assistant Specialist in Cooperative Extension or with this title in combination with other titles as defined in APM - 334-17-a.

   Earlier appraisals are permissible. Subject to these procedures 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 Specialist in Cooperative Extension 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. The Chancellor shall promulgate appropriate procedures to conduct this appraisal.

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 thinks might be 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.

334-84 **Procedures for Non-Reappointment for Academic Reasons of an Assistant Specialist in Cooperative Extension**

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

a. If a proposal not to reappoint an Assistant Specialist in Cooperative Extension is a result of a departmental review during consideration of reappointment, the case shall be reviewed in accordance with the provisions of APM - 220-82.

b. In a case of formal appraisal, reappointment, or promotion of an Assistant Specialist in Cooperative Extension, if the Academic Vice Chancellor's (or other appropriate officer's) preliminary assessment is to make a terminal appointment, is not to reappoint or promote, or is contrary to the departmental recommendation, see APM - 220-84-b for the appropriate procedures.

c. The Chancellor is responsible for a decision not to reappoint or to make a terminal appointment of an Assistant Specialist in Cooperative Extension. The Chancellor shall inform the chair, through the Dean or Provost, of a decision not to reappoint. The Chancellor shall provide a written statement to the individual advising of the outcome of the personnel review. Provisions regarding notice requirements are stated in APM - 220-20-c.

334-85 **Procedure for Appointment or Promotion to the Rank of Associate Specialist in Cooperative Extension or Specialist in Cooperative Extension**

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

a. With a recommendation for promotion, the following information shall be included in the chair's detailed statement:

(1) The nature and extent of the Specialist in Cooperative Extension responsibilities in each of the four criteria over a specific period of years; and

(2) Current biographical and bibliographical information.

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

c. The Chancellor shall make the decision concerning appropriate action on the basis of the accumulated evidence and recommendations and in accordance with the provisions of APM - 220-80-g, -h, -i, -j.

d. Specialist in Cooperative Extension at an above-scale salary:

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)(2) 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.

334-96 **Reports**

See APM - 200-96

335-4 Definitions

Titles in this series are used primarily for academic appointees in Cooperative Extension whose main roles are to make available to the public the latest in knowledge and practices in agricultural and related sciences and in family and consumer sciences in a manner that benefits the general public.

Cooperative Extension Advisors are county-based and have responsibilities for programs at the county level.

335-6 Responsibility

Responsibility for recommending appointments, reappointments, merit increases, and promotions rests with the appropriate County Directors, Assistant Directors, the Cooperative Extension Service Administrative Committee, the Vice President—Agriculture and Natural Resources, or other appropriate administrative personnel designated by the Vice President.

Any use of titles in these series for appointments outside Cooperative Extension shall be made only with the approval of the President, on recommendation of the Vice President—Agriculture and Natural Resources. (See APM - 335-24 concerning authority.)

335-8 Types

a. Titles (and ranks) for this series are:

(1) Junior Cooperative Extension Advisor

(2) Assistant Cooperative Extension Advisor

(3) Associate Cooperative Extension Advisor

(4) Cooperative Extension Advisor

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 either of these series.

c. A *promotion* is an advancement from one rank to a higher rank within either of these series, usually the next rank as listed above. A change from a title in another series to a title in either of these 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 either of these series. A reappointment may or may not be accompanied by a promotion or merit increase.

335-10 **Criteria**

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

(1) Performance in extending knowledge and information in disciplines related to the programs of Cooperative Extension.

(2) Performance in applied research and creative activity.

(3) Professional competence and activity.

(4) University and public service.

b. In evaluating an individual's qualifications within the areas mentioned above, reasonable flexibility should be used to balance, where the case requires it, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another.

c. Use of the top step in the salary scale for this series shall be restricted to those for whom there is, in at least three of the criteria mentioned above, documented evidence of exceptional or outstanding achievement or unusual

qualifications in terms of education and experience. When it is feasible, such documentation by sources outside the University of California should include written testimony to and evaluation of an individual's achievements.

d. A merit increase or promotion based on individual qualifications and meritorious performance is not automatic after a stated number of years of service. The University is under no obligation to advance an appointee by merit increase or promotion solely on the basis of years of service.

335-17 **Terms of Service**

a. The appointment of one who holds a title in these series is not guaranteed for nor limited to a specific period of time.

b. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17. The effective date of merit increases and promotions will normally be July 1, although exceptions may be approved in accordance with the provisions of APM - 335-24-c.

335-18 **Salary**

a. An authorized salary scale established for this series is issued by the Office of the President.

b. Normal periods of service for the ranks in these series are shown in the published salary scale.

335-20 **Conditions of Employment**

The following conditions of employment apply to appointment to a title in these series:

a. Each appointee shall be informed that continued appointment must be justified by a high standard of achievement and performance.

b. An appointee accrues sick leave and vacation credit in accordance with the provisions of APM - 710 and 730, respectively.

c. See APM - 740 for eligibility for sabbatical leave privileges.

d. For eligibility for reimbursement for certain expenses, see APM - 550 (moving expenses for change of assignment or headquarters), 560 (removal expenses), and 570 (travel expenses).

e. An appointee may initiate a proposal for a training or training-related research contract or grant, provided approval is obtained from the Vice President—Agriculture and Natural Resources. (See the Policy and Procedure Manual for Contract and Grant Administration.)

f. When an appointment is to be terminated, written notice shall be given in advance of the termination date in accordance with the following schedule:

(1) In the event of unsatisfactory performance: not less than a one-month notice will be given.

(2) In the event of discontinuance of the program, function, or position in the organization: not less than a three-month notice will be given appointees with less than three years' service; and not less than a three- to six-month notice will be given appointees with three years' or more service.

(3) In the event funding is no longer available: not less than a one-month notice will be given whenever feasible.

(4) For good cause, termination may be made with no advance notice.

g. In the event of termination of an appointment to these series because of lack of work or lack of funds, the provisions of the University Academic Non-Senate Layoff Policy (APM - 145) shall apply.

h. The provisions of APM - 140 concerning the University's policy on Grievances—Non-Senate Academic Appointees shall be applicable to appointees to this series.

335-24 **Authority**

a. Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series rests with the Vice President—Agriculture and Natural Resources, except that an appointment or advancement to a salary beyond the Regental compensation threshold is subject to Regental approval upon recommendation by the President. (See Section 101.2(a)(2) of the Standing Orders of The Regents.)

b. Authority to approve an initial appointment or subsequent reappointment of a person following retirement rests with the Vice President—Agriculture and Natural Resources. See APM - 200-22.

c. The Vice President—Agriculture and Natural Resources may retroactively approve appointments, merit increases, and promotions, as well as merit increases and promotions having effective dates other than July 1, subject to the preceding provisions of APM - 335-24, and each such approval must be on an exceptional basis and with suitable justification.

335-80 **Procedures**

The Vice President—Agriculture and Natural Resources shall establish procedures which entail adequate stages of review of proposed appointments, reappointments, merit increases, and promotions to ensure proper evaluation of the individual candidates.

335-96 **Reports**

See APM - 200-96.

340-4 **Definition**

Continuing Educator titles are for University Extension (UNEX) appointees who, as professional educators of lifelong learners, represent the University in serving the public through planning, coordinating, and implementing continuing education programs, classes, conferences, short courses, discussion groups, and lectures. They may also produce fine arts events, films, television productions, and other media programs. In addition, they may extend the resources of the University through UC/industry/government collaboratives.

By exception, the Chancellor may authorize use of the Continuing Educator titles in departments or units outside University Extension.

340-8 **Levels**

Appointments may be made to levels I - III.

340-10 **Criteria for Appointment**

a. Criteria for Appointment to Titles at All Levels

The criteria for appointment to titles at all levels will include the appropriate academic and/or professional background and experience. Normally the appointee should have received the highest level terminal professional degree (e.g., MBA, MFA, MPH) or academic doctorate in the programmatic area. The Dean may also require demonstrated significant professional achievement in the particular programmatic field.

b. Criteria for Evaluating Performance at All Levels

(1) Academic planning and curriculum development
(2) Program administration/management/marketing
(3) Human resource management and development
(4) Professional competence
(5) University and public service

See Appendix A for description of criteria for appointment and merit increases.

c. Criteria for Appointment to a Specific Level

A determination of the appropriate level for an appointment or for a change in level shall take into consideration such factors as program size and complexity.

Criteria may include the following:

Program Scope – measured by the size of programs (numbers of courses/programs/events/community meetings, enrollments, revenue, etc.); number and level of support staff directly reporting to the Continuing Educator; and the programmatic infrastructure (e.g., computer or scientific laboratories; sound stages; television studio);

Program Complexity – for example, whether programs are unique to Extension, whether there is an established curriculum in the field or courses that are equivalent to regular University courses, whether programs are subject to external accreditation review;

Interface with UC faculty and/or with industry sectors - the kinds and diversity of professional and academic relationships that need to be managed in order to assure the success of the assigned activities.

Evaluators may consider the independent coordination of a broad network of affiliated programs as equal in complexity to the management of a large University organization with many professional support staff. Consistent with campus and University-wide norms and objective external data for comparable positions in both the private and public sectors, the criteria for differentiating appointment among levels and within each level may include, but are not limited to, the size and the scale of the program, the relative complexity of responsibilities, management of risk, how responsibilities correlate with priorities relative to Extension-specific, campus-wide, or multi-campus missions, and the degree of authorized autonomy.

(1) Continuing Educator I

This level is intended for individuals with responsibility for programs that are relatively simple in their organization and that may be administered with a small support staff, or where local University or community activities have a limited breadth or a narrow focus. The Continuing Educator I will typically receive general supervision.

(2) Continuing Educator II

This level is reserved for individuals with responsibility for programs of moderate complexity. Duties may include the independent planning and coordination of a program or programs with a moderately-sized support staff or, in a smaller unit, duties that encompass "cross program" or multi-program development/coordination.

(3) Continuing Educator III

This level is ordinarily reserved for individuals with extensive independent academic or administrative responsibility. Appointees at this level have primary responsibility for the administration, management, and coordination of large complex programs. Responsibilities may include the direction and supervision of a large professional staff and/or the administration of a program or programs with a broad interdisciplinary scope and/or innovative programs requiring a high level of professional knowledge and expertise. Appointment at this level requires demonstrated superior professional ability and attainment, evidence of professional achievement and outstanding accomplishment in job-relatedactivities, and greater responsibilities than are typically delegated to Continuing Educators at lower levels. Continuing Educators at Level III will normally report directly to the Dean of University Extension or to the Dean's designee (e.g., an associate dean).

340-17 **Terms of Service**

a. An appointment is made on a fiscal-year basis.

b. An appointment shall have a term of up to three years with a specified ending date. The Chancellor may grant exceptions to allow a term of up to five years. See APM - 137, Non-Senate Academic Appointees/Term Appointments.

c. A performance review shall precede any reappointment or merit increase. A performance review and associated salary recommendation shall take place at least every three years. If the position is to be continued, reappointment will be dependent upon positive evaluation of performance. Such review will take place during the final year of the current appointment.

340-18 **Salary**

a. Salary ranges established for these titles are issued by the Office of the President. The salary rates within a range are derived from the Academic Standard Table of Pay Rates.

b. There is no expectation of movement between levels without significant changes in the scope and complexity of the programs being administered.

c. The Chancellor may authorize a non-base building incentive award program in recognition of exceptionally meritorious performance.

340-20 **Conditions of Employment**

a. Appointees accrue sick leave in accordance with APM - 710, Leaves of Absence/Sick Leave.

b. Appointees accrue vacation leave in accordance with APM - 730, Leaves of Absence/Vacation.

c. Appointees are not eligible for sabbatical accrual or leave. Under APM - 758, appointees are eligible to apply for leave with pay when the leave is in the interest of the University, when the leave will support an appointee's duties and professional development, and when funding is available from the source which provides the appointee's salary.

d. Appointees may be laid off because of budgetary reasons, lack of work, or programmatic needs, as determined by the appropriate authority, and in compliance with APM - 145, Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time. Separation following a fixed ending date is not considered a layoff.

e. APM - 150, Non-Senate Academic Appointees/Corrective Action and Dismissal, applies to this series.

f. For grievances, see APM - 140, Non-Senate Academic Appointees/Grievances.

340-24 **Authority**

The Chancellor is responsible for administering campus continuing education programs and is authorized to approve appointments, reappointments, merit increases, and changes in level.

July 1 shall normally be the effective date for a merit increase except that the Chancellor is authorized to approve another effective date.

340-80 **Review Procedures**

In accord with the provisions of Appendix A, each Chancellor shall establish review procedures for appointment, merit review and salary increase, and change in level, as appropriate to the needs and functions of the respective campus.

Criteria for Appointment and Merit Increases

Specific responsibilities and priorities should be established in a written job description for each Continuing Educator and approved by the respective administrative officer. Other responsibilities and priorities may be added subsequently.

Evaluation of performance is based on the criteria listed below, although not all criteria may be applicable to each Continuing Educator.

1. Academic Planning and Curriculum Development

    a. Demonstrated mastery of the profession of continuing higher education including knowledge of educational methods and the ability to incorporate them appropriately in course development. For example, proficiency in using appropriate evaluative techniques for course instruction and content.

    b. Knowledge of a particular subject matter as it relates to the development of curriculum for both individual courses and comprehensive programs comprising a series of courses.

    c. Creativity and innovation in program development including originality in presenting subject matter in ways that promote effective learning.

    d. Ability to assess continuing education needs and expectations of various clientele groups using market research and analytical methods and tools. Demonstrated ability to provide continuing education programs to non-traditional audiences.

    e. Ability to develop an academic strategic plan and to implement the plan.

2. Program Administration/Management/Marketing

    a. Development of effective working relationships with several constituencies that may include: University faculty, industry leaders, key advisors and experts from the public and private sectors, adult students, and course instructors.

    b. Demonstration of skill in entrepreneurship and negotiation to achieve departmental goals with the most efficient use of resources. Development and management of comprehensive course and department budgets.

c. Demonstrated ability to work with peers and support staff cooperatively and constructively to meet mutual goals and objectives. For example, demonstrated collaboration with Extension colleagues on interdisciplinary program development.

d. Demonstrated ability to work effectively and in compliance with pre-established program planning and implementation deadlines (e.g., promotion and publicity planning, course approvals, instructor compensation, travel requests, and purchasing).

e. Competence in writing and oral skills necessary to present ideas and to promote University programs and goals within the community (business, University, general public, government, etc.).

f. Ability to develop contract and grant proposals for extramural funding.

g. Success in overseeing the fulfillment of accreditation/licensure/credential requirements and in collaborating with agencies or associations to secure external certification.

3. Human Resource Management and Development

a. Ability to supervise personnel successfully, to facilitate the resolution of personnel problems, and to support campus and department diversity goals.

b. Ability to support and foster the career development and training of University Extension staff.

c. Ability to identify, recruit, help prepare, and evaluate the most highly qualified instructors.

4. Professional Competence and Growth

a. Demonstrated professional growth based on scholarly activity, such as research, publication, and leadership in professional, community, or governmental associations. Demonstrated professional competence, such as teaching within Extension, or, with the permission of the supervisor, giving an occasional lecture within another academic unit of the University.

b. Participation in professional development activities that enhance effectiveness and administrative abilities.

5. University and Public Service

    a. Significant and substantive contributions as leader or participant on departmental and campus committees and projects.

    b. External recognition as a professional continuing educator through seminar and workshop leadership, consultant work, advisory group participation, publications, or service to professional groups.

355-4 **Definitions**

a. **Research Associate**

Research Associate is a non-salaried appointment for visiting scholars and scientists of distinguished standing who may be recommended by departments for such association with the University.

b. **Research Fellow**

Research Fellow is a non-salaried appointment for visiting fellows who come to the University, for example, as a National Research Council Fellow; a Social Science Research Council Fellow; a Commonwealth Fund Fellow; a Rockefeller Foundation Fellow; or as traveling fellows from other universities, etc.

355-10 **Criteria**

In judging a candidate for appointment, the following criteria are applied:

a. **Research Associate**

The candidate must hold the degree of Ph.D. or possess training substantially equivalent to that required for the Ph.D., and must have demonstrated exceptional fitness in independent research in addition to that required for the Ph.D. degree.

b. **Research Fellow**

The candidate must hold the degree of Ph.D. or possess training equivalent to that required for the Ph.D., but need not have had experience as an independent research worker aside from research for the doctoral degree.

355-24 **Authority**

The Chancellor is authorized to approve appointments to the positions of Research Associate and Research Fellow.

358-4 **Definition**

The Faculty Fellows Program for UC Ph.D.'s provides mentored training and experience in the design and conduct of instructional courses and research. The term "Faculty Fellow" encompasses a combined appointment as Lecturer and Faculty Fellow Researcher.

358-10 **Criteria**

An individual must begin the appointment within six months of completing the Ph.D. at any UC campus. The Chancellor or designee may grant exceptions to the six- month limitation.

All candidates must show promise for excellence in teaching and research.

358-17 **Terms of Service**

a. Appointments during the academic year are normally made at 100 percent time for a combined total of the Lecturer and Faculty Fellow Researcher titles. The Chancellor or designee may grant exceptions. During the summer or off-duty quarter, appointments may be made in the Faculty Fellow Researcher title alone.

b. The teaching load and other conditions of employment for the Lecturer title must follow the provisions of the MOU between the University of California and University Council, American Federation of Teachers. The provisions for Lecturers on merit increases also apply to the Faculty Fellow Researcher appointment.

c. The Faculty Fellow Researcher is an academic-year appointment which is paid on a salary range established by the Office of the President.

d. In comparison with an Assistant Professor, the apportionment of duties between teaching and research should recognize that a Faculty Fellow is not starting up a long-term research program and does not have the service obligations of an Assistant Professor.

e. An appointee will have at least one faculty mentor for teaching activities and at least one faculty mentor for research activities. An appointee may have the same faculty mentor for both teaching and research.

f. The total length of time in the program is limited to two years. The Chancellor or designee may grant exceptions.

360-4 **Definition**

The librarian series is used for academic appointees who provide professional services in the University libraries in support of the University's educational, research, and public service functions. These services include:

a. selection and development of resources;

b. bibliographic control of collections and their organization for use;

c. reference and advisory services;

d. development and application of specialized information systems;

e. library administration and management; and

f. research where necessary or desirable in relation to the foregoing.

360-6 **Responsibility**

a. It is the responsibility of each Chancellor and of each University Librarian or administrative officer with comparable responsibility for the supervision of appointees to this series to provide for review of the qualifications of candidates for appointment, merit increase, promotion and career status.

b. The Librarians Association of the University of California (LAUC) shall be responsible, through individual LAUC division procedures, for the selection of members of a personnel committee to advise the Chancellor or designee on the appointments, merit increases, promotions, and career status actions for members of the librarian series. Appointees holding titles in the series shall compose the majority of this committee.

c. When the Chancellor or designee determines the need for an *ad hoc* review committee, the Librarians Association of the University of California (LAUC) shall be responsible, through individual LAUC division procedures, for the nomination of members of *ad hoc* review committees to advise in the academic review of members of this series. The Chancellor or designee shall appoint members to *ad hoc* committees.

360-8 **Types**

a. There are three ranks in the librarian series with titles as follows:

(1) Assistant Librarian

(2) Associate Librarian

(3) Librarian

b. An *appointment* occurs when an individual is employed in one of the three ranks above and when 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 to a higher rank within this series, usually the next higher 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 as described above.

d. A *merit increase* is an advancement in salary within rank in this series.

e. Career status is achieved upon successful completion of a suitable trial period in potential career status. (See APM - 360-17-b.)

f. An *intercampus transfer* is treated as an appointment by the new campus, although it may involve a merit increase or a promotion. A librarian making an intercampus transfer retains career status, seniority for purposes of merits, promotions and layoff, accrued sick leave, vacation, and retirement credits. (For policy concerning intercampus transfers, see APM - 510.)

360-9 **Recruitment**

a. It is the policy of the University to recruit and appoint the most qualified individuals to fill librarian series positions.

b. Recruitment shall proceed in accordance with campus procedures developed in consultation with the Librarians Association of the University of California (LAUC).

c. All positions shall be open for outside recruitment unless the University determines that recruitment shall be limited to University employees at a campus. Members of the librarian series currently employed by the University who apply for positions shall be considered with all other applicants in accordance with campus recruitment procedures.

360-10 **Criteria**

a. A candidate for appointment shall have a professional background of competence, knowledge, and experience to assure suitability for appointment to this series. Such background will normally include a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

b. A candidate for merit increase or promotion in this series shall be judged on the basis of the first of the following criteria, and, to the extent they are relevant, on one or more of the last three:

(1) professional competence and quality of service within the library;

(2) professional activity outside the library;

(3) University and public service; and

(4) research and other creative activity.

In the consideration of individual candidates, reasonable flexibility shall be exercised in weighing the comparative relevance of these criteria.

c. Promotion shall be justified by demonstrated superior professional skills and achievement and, in addition, demonstrated professional growth and accomplishment and/or the assumption of increased responsibility. The assumption of administrative responsibility is not a necessary condition for promotion.

d. An explanation of these criteria is set forth in APM - 210-4.

360-16 **Restrictions**

a. Appointments to and retention in positions in this series which are supported by State or other permanent funds administered by The Regents are subject to budgetary limitations established for the respective campuses, both as to funds and numbers of positions.

b. Promotions and merit increases may be approved only within the limits of available funds.

360-17 **Terms of Service**

a. An appointment in this series may be an explicitly temporary appointment, a potential career appointment, or a career appointment, depending on the circumstances as described below. However, an initial appointment to a title at any rank in this series may only be a temporary appointment or a potential career appointment.

A potential career appointment is distinguished from an explicitly temporary appointment by the fact that no definite date of termination of the appointment is specified and by the fact that the appointee is regarded as one who may qualify, after a suitable trial period and careful review, for a continuing career appointment.

Potential career appointees in the librarian series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian. Temporary appointees are eligible for merit increases on the same bases as potential career and career status appointees.

The status of career appointment is achieved only after a trial period in potential career status. The process by which one achieves career status is described subsequently. (See APM - 360-17-b(1), (2), (3), (4).)

(1) A temporary appointment:

(a) shall have a specified date of termination;

(b) shall ordinarily be for a period of one year or less, but shall not be for a period of more than two years unless the appointment is supported by extramural funds in which case, if the funding permits, the appointment may be renewed for up to 2 more years;

(c) is automatically self-terminating, and notice of intention not to reappoint is not required; and

(d) is subject to the conditions relating to notice of termination in APM - 360-20-c and -d.

(2) A potential career appointment or career appointment:

(a) shall have no specified date of termination; and

(b) is subject to the conditions set forth in the appropriate part of APM - 360-17-b and to the conditions relating to notice of termination in APM - 360-20-b, -c, and -d.

b. The following principles and procedures shall be applied to appointments, promotions, and terminations of potential career or career appointees:

(1) An individual holding the rank of Assistant Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for the period of the appointment in this rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and promise. If, after such reviews, the appointee is promoted from the rank of Assistant Librarian to higher rank in this series, the individual is thereby moved to career status. On the other hand, an Assistant Librarian is subject to termination after due notice if, after thorough review and a reasonable trial period (not more than six years), he or she is not deemed worthy of further advancement.

(2) An individual whose initial appointment in this series is to the rank of Associate Librarian and whose appointment is not explicitly temporary is considered to be in potential career status for a trial period of not more than four years and not less than two years in the rank, unless promoted sooner to the rank of Librarian. During potential career status, the individual shall be subject to periodic review of performance, professional competence, achievement, and promise. The trial period will be brought to a close with one of three decisions made after appropriate review as specified in APM - 210-4: place the appointee in career status with the rank of Associate Librarian; promote to the rank of Librarian with career status; or terminate the appointment after due notice.

(3) An individual who is promoted from career status as an Associate Librarian to the rank of Librarian is thereby continued in career status.

However, there is no obligation on the part of the University to promote an Associate Librarian to the rank of Librarian solely on the basis of years of service.

(4) An individual whose initial appointment in this series is to the rank of Librarian and whose appointment is not explicitly temporary is considered to be a potential career appointee for a trial period of not more than three years and not less than two years in rank. During potential career status, the individual shall be subject to periodic reviews of performance, professional competence, achievement, and promise. The trial period will be brought to a close with one of two decisions made after appropriate review as specified in APM - 360-80 and 210-4: place the appointee in career status with the rank of Librarian; or terminate the appointment after due notice.

(5) An appointee in career status either as an Associate Librarian or as a Librarian, having successfully passed the trial period of service in either one of the ranks or having been promoted to one of these ranks from a lower rank, is expected to continue to perform the duties of the position at a satisfactorily high standard. Reviews of the appointee will be conducted at regular intervals to determine if a merit increase or promotion is indicated. If there is reason to doubt that the career appointee is performing satisfactorily, a review of the appointee to coincide with a regularly scheduled review will be conducted. If such a review does not coincide with a regularly scheduled review, a review not at a regular interval or an off-cycle review will be conducted in accordance with established campus review procedures (see APM - 360-80-a(1); and if this review results in an unfavorable evaluation, the appointee may be subject to termination after due notice. Otherwise, the appointment will be continued. The appeals procedures in APM - 140 are available as a protection against arbitrary, capricious, or unreasonable termination.

(6) In the event of an intercampus transfer, the following provisions shall apply to the status of potential career and career appointees: the normal period of potential career status shall not be lengthened as a result of an intercampus transfer; career status acquired on one campus shall be continued upon transfer to another campus; and promotion in rank at the time of an intercampus transfer shall confer career status.

c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17. The effective date of merit increases and promotions will normally be July 1, although exceptions may be approved as provided in APM - 360-24-b.

d. The following rules of computation will be observed for determining periods of service at ranks and steps in this series.

(1) A period of service is calculated from the beginning of the first complete calendar month of service.

(2) A fiscal-year appointee with an effective date of appointment in the period of July 1 through January 1 will receive one year of service credit for that year at rank and step as provided in APM - 200-19-c.

(3) A fiscal-year appointee with an effective date of appointment in the period January 2 through June 30 will not receive service credit for that year.

(4) Completed years of service will be counted regardless of the percentage of time of appointment.

(5) Any break in service because of leave without salary, layoff, or resignation does not invalidate service prior to the interruption.

(6) Service on any campus of the University of California is included, although for statistical purposes an intercampus transfer is considered an appointment at the new campus. (See APM - 360-8-f.)

(7) Any leave with salary is included as service, but leave without salary is not included for purposes of determining completed years of service.

(8) For purposes of review, an appointee must have worked at least six (6) months of the period under review. A period under review may be a calendar year or other 12-month period or multiple thereof, in accordance with the review cycles defined in APM - 360-80-a(1).

[e.g., an appointee with an effective date of appointment in the period January 2 - June 30 and a period of review based on the calendar year could be reviewed at the next review period, depending on the rank and step of appointment.]

(9) A temporary appointee whose appointment continues into a new fiscal year will be reviewed according to the review cycles defined in APM - 360-80-a and the guidelines established in APM - 360-17-d(8).

360-18 **Salary**

a. Members of the librarian series at a given rank and step shall be paid in accordance with the published salary scales for the librarian series, except for payment of administrative stipends pursuant to APM - 633, Stipends for Academic Appointees.

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

360-20 **Conditions of Employment**

a. The following conditions apply to individuals holding temporary appointments. Temporary appointees:

(1) shall have a specified date of termination, and notice of intention not to reappoint is not required (see also APM - 360-20-c, and 360-20-d);

(2) are expected to perform their duties with the same proficiency as Potential Career or Career appointees;

(3) shall be given the same opportunity as Potential Career or Career appointees to participate in activities which fulfill the second, third and fourth criteria listed in APM - 210-4-e or 360-10-b;

(4) when the length of appointment permits, shall be reviewed following the same procedures and review cycles set forth for reviews of Potential Career or Career Appointees. (see APM - 360-80-a);

(5) shall be subject to all provisions of the APM that apply to other members of the librarian series unless otherwise stated;

(6) may hold a given temporary appointment for no more than two (2) years unless the appointment is funded by extramural funds in which case the appointment may be renewed for an additional two years; and

(7) if appointed to a permanent position, will be given consideration for time spent in temporary status when determining assignment to rank and step.

b. When an appointment other than a temporary one with a title in this series is not to be continued, written notice shall be given to the individual in accordance with the following schedule:

(1) With less than one year of University service by intended date of termination: not less than a four-month notice.

(2) With one year or more of University service by intended date of termination: not less than a six-month notice.

c. **Layoff**

(1) When an appointment with a title in this series is to be terminated in the event of lack of work, lack of funds, or programmatic change, a written notice of not less than 60 days shall be given to the individual whenever feasible. Opportunity for appeal shall be provided in accordance with the terms of APM - 140.

(2) In the event of termination of an appointment in this series because of lack of work, lack of funds, or programmatic change, the provisions of the policy on Layoff: Non-Senate Academic Appointees, established by the University and as implemented by the campuses, shall apply. (See APM - 145.)

(3) When there is no substantial difference in the degree of special skills, knowledge, or ability essential to the department or unit, the order of layoff among members of the librarian series shall be in inverse order of seniority within the following types of appointments: temporary positions, (other than those on extramural funds), potential career, career status.

d. If a member of this series conducts him- or herself or performs, or fails to perform, his/her duties, in a manner which would justify immediate dismissal, the appointee shall be entitled to appropriate shorter notice as determined by the University; but nonetheless, in any such contingency, opportunity for appeal shall be provided in accordance with the terms of APM - 140.

e. **Reassignment**

(1) When there is a significant change in duties and responsibilities, which may result in a change in working title or department, the change is deemed a reassignment. Reassignment is a change which does not involve a move to a new campus. It does not constitute discipline and does not affect the rank, step and/or career status of the librarian in this series.

(2) A written description of the new assignment, including its duration, if not indefinite, shall be provided to the librarian in this series before the start of the new assignment.

(3) When such a change is anticipated, the University shall meet with the librarian in this series to discuss the proposed change.

f. An appointee to this series accrues sick leave credit and vacation credit in accordance with the provisions of APM - 710 and 730, respectively. When a librarian is not able to use accumulated vacation because of programmatic needs of the campus and the librarian's accumulation reaches the forty-eight (48) working day maximum, a one time exception will be granted to allow the librarian to accumulate six (6) additional vacation days.

g. For eligibility for reimbursement of certain removal expenses, see APM - 560.

h. A leave of absence with full or partial salary may be granted to an appointee with a title in this series (subject to the provision in APM - 750, 752, and 758) when the leave is relevant to the appointee's duties and professional development, when the project is of direct relevance to the functioning of the library as well as in the best interests of the University, and when funding is available from the fund source(s) from which the appointee's salary is paid.

i. The provisions of APM - 140, Grievances, shall be applicable to appointees in this series.

360-24 **Authority**

a. Each Chancellor is authorized to approve appointments, promotions, career status actions, and merit increases consistent with the published salary scales after appropriate review, subject to the provisions of APM - 360-24-c.

b. Each Chancellor may approve, as exceptions, promotions, career status actions, and merit increases having effective dates other than July 1.

c. Each Chancellor may approve, as exceptions, appointments, promotions, and merit increases retroactively (that is, with the beginning date of service prior to the actual date of approval).

360-35 **Records**

a. A member of the librarian series shall have access to his or her academic personnel records in accordance with policies found in APM - 160-20-b(1)(a), APM - 160-20-b(1)(c) and APM - 160-20-c.

b. The campus shall designate an office which will have overall responsibility for academic personnel records for members of the librarian series. See APM - 160-20 for policies concerning access to records.

c. The confidential academic review record is that portion of the academic personnel records pertaining to an individual maintained by the University for the purpose of consideration of personnel actions under the criteria set forth in APM - 360-10. An individual's confidential academic review record shall contain only material relevant to consideration of personnel actions under these criteria. In addition to the confidential academic review record, academic personnel records pertaining to an individual as an employee of the University may include materials such as miscellaneous correspondence, leave records, and documents related to employment history, benefits, payroll, etc. Such materials shall not be referred to or considered in connection with a recommendation or decision in a personnel action unless they are placed in the individual's review file by an appropriate administrative officer. (See APM - 160-20-b for definition of records and information maintained by the University about academic employees.)

d. Under normal circumstances, within ten working days of a written request, a member of the librarian series shall be given one complete copy of requested "personal" information and a list of the types of confidential academic review material in the record. Requests for additional copies may require payment based on local copying rates. If a written request for a redacted copy of confidential material is received by the University, the request shall be fulfilled within thirty working days, under normal circumstances.

e. A member of the librarian series may request corrections or deletions of material in his or her record in accordance with APM - 160-30.

f. Access to an academic personnel record, other than a confidential academic review record, by other than the individual member of the librarian series to which it pertains shall be governed by the provisions of APM - 160-20-d(1), (3), (4), and -e.

g. For further policies regarding records, see the following APM sections: APM - 158: Rights of Academic Appointees; APM - 160: Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request

Amendment of; APM - 160 Appendix A: Supplemental Information Regarding Academic Policy; APM - 160 Appendix B: Additional Academic Personnel Policies Pertaining to Academic Personnel Records; APM - 200-30: Academic Personnel Actions—Personnel Review Files; APM - 210-4: Review and Appraisal Committees.

360-80 **Procedures**

a. In order to assure fair and equitable treatment for appointees to this series, the following provisions shall apply:

(1) The performance of each appointee shall be reviewed periodically and the review shall include participation by an advisory review committee (see APM - 360-6-b and -c). The normal intervals for academic reviews of incumbents in the librarian series are as follows:

every year in the Assistant Librarian rank; every year in the first two steps of the Associate Librarian rank; every two years beginning with Step III of the Associate Librarian rank through Step II of the Librarian rank (following the initial two year review at Associate Librarian Step VII, the Associate Librarian Step VII shall be subject to subsequent reviews every three years.); every three years beginning with Step III of the Librarian rank through Step V of the Librarian rank. Service at Associate Librarian Step VII and Librarian Step IV may be of indefinite duration. However, reviews must be conducted at least every three years at these steps unless an individual or review initiator requests an earlier review.

(2) A deferred review is the omission of an academic review during a year when a review would normally take place. It is a neutral action which can only be initiated with the written agreement of the reviewee.

A review may be deferred if prolonged absence or other unusual circumstances have resulted in insufficient evidence to evaluate performance. Reasons for review deferral must be in writing and all proposed deferrals must be submitted for written recommendations to the following: reviewee, the review initiator, the appropriate administrative officer(s), and the divisional advisory review committee(s). All documentation and recommendations must be forwarded to the deciding officer for a decision. A review, if deferred, is deferred for a period of one year.

A deferral is defined as a deferred action for one 12 month period whether a person's review cycle is 1, 2, or 3 years. Hence deferral for an additional, consecutive year should be regarded as a new request and thus subject to the same procedure. After the completion of a review which has been deferred, the review cycle will resume anew at the 1, 2, or 3 year interval.

b. In order to assure adequate consideration of all proposals for personnel actions in this series, each Chancellor, in consultation with the University Librarian or comparable administrative officer and after opportunity for receiving recommendations from appropriate representatives of the campus division of LAUC, shall establish review procedures which (1) meet the requirements of APM - 360-6 and the provisions of APM - 360-17; (2) utilize appropriately the criteria mentioned in APM - 360-10 and described in APM - 210-4; (3) are consistent with the provisions of APM - 360-80-c through -l outlined below; (4) insure that all recommendations and decisions are based solely upon the material in the academic review record; and (5) are appropriate to the needs and functions of the campus.

c. The call for merit increases, promotions and career status actions and the calendar of due dates for the review process shall be issued and distributed each year to every member of the librarian series no later than thirty (30) days prior to the first action of the review process required on each campus. The calendar shall be adhered to by all parties and the appointee shall be notified of the decision within six (6) months of the first required action. Guidelines for reasonable extension of the calendar shall be developed by campuses in the event that an extension is requested.

d. All members of the librarian series will be informed in writing, on a yearly basis, of their eligibility for review. A member of the librarian series who is not normally eligible for a review during a particular review cycle may request an accelerated review during that cycle.

e. Formal consideration of appointments, merit increases, promotions, and career status actions are normally initiated by the department or unit head herein called the review initiator. Early in the course of an academic review, the review initiator 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, including the criteria mentioned in APM - 360-10 and described in APM - 210-4. The candidate shall be given the opportunity to ask questions and to supply pertinent information and evidence to be used in the review. In accordance with established campus policy applicable to the personnel action under consideration, the review initiator shall solicit letters evaluating the candidate from qualified persons, including a reasonable number of persons whose

names have been provided by the candidate. All such letters used in the review, even if unsolicited, shall be included in the file. In soliciting letters of evaluation or following the receipt of an unsolicited letter, the review initiator should include, attach or send a statement regarding confidentiality of such letters. The statements should follow the applicable guidelines issued by the Provost and Senior Vice President of Academic Affairs and Administration on letters of evaluation of academic candidates which are solicited or received by the University.

f. The candidate may provide in writing to the review initiator or other appropriate person, as provided in campus procedures, names of persons who in the view of the candidate, for reasons set forth, might not objectively evaluate in a letter or on a committee, the candidate's qualifications or performance. Any such statement provided by the candidate shall be included in the academic review record.

g. An academic review record shall be prepared for each candidate who is being considered for a merit increase, promotion, or career status action. The review initiator is responsible for preparing the candidate's review record, which consists of the review initiator's letter of recommendation together with necessary additional letters and documents, including those letters solicited from individuals selected from a list provided by the candidate. The review initiator's letter, without disclosing the identities of sources of confidential documents, shall discuss the proposed personnel action in light of the criteria cited in APM - 360-10 and described in APM - 210-4 and shall be substantiated by supporting evidence.

Before forwarding the academic review record to the University Librarian or other administrative officer with comparable responsibility, the review initiator shall provide the candidate the opportunity to inspect all documents to be included in the review record other than confidential academic review records. (Only those documents specified in APM - 160-20-b(1)(a) and (c) are defined as confidential academic review records for members of the librarian series.) The review initiator shall provide a copy of the letter of recommendation to the candidate. In addition, campus procedures may provide that any statements added to the review file by those acting in a supervisory capacity above this initiating level shall be made available to the candidate upon request.

The review initiator shall provide to the candidate, upon written request, a redacted copy of the confidential documents included in the record without disclosing the identities of persons who were the sources of these documents. The candidate may submit for inclusion in the record a written statement in response to or commenting upon material in the record.

h. Upon completion of the procedures described in APM - 360-80-d and -e, a statement shall be signed by the candidate certifying that the prescribed procedures have been followed. A documentation checklist listing the contents of the review record shall also be signed by the candidate. The certification statement and the documentation checklist shall be included in the review record.

i. The review record, in accordance with established campus procedures, will be referred to the personnel committee (see APM - 360-6-b). On the basis of all available evidence including the report from the *ad hoc* committee, if any, the personnel committee will submit a comprehensive report and recommendation for action to the Chancellor or designee.

j. If, during subsequent committee review or administrative review of a recommendation, the review record is found to be incomplete or inadequate, additional information shall be solicited through the Chancellor or designee who will inform the review initiator and the candidate that such new material is being added to the review record. The candidate shall have access to all non-confidential material added to the record and upon request, a redacted copy of the confidential documents shall be provided to the candidate. The candidate shall also be provided the opportunity to submit a written statement in response to the additions to the review record. The review shall then be based upon the personnel review record as augmented.

   No documentation other than the recommendation(s) of the review committee(s) may be added to the review record without annotation of the certification statement and the documentation checklist.

k. In cases of promotion, conferral of career status, or recommendation for termination of appointment, if the preliminary assessment of the Academic Vice Chancellor or designee is contrary to the recommendations of the personnel committee appointed under the provisions of APM - 360-6-b, the Academic Vice Chancellor or designee shall notify that committee, indicating reasons and asking for any further information which might support a different decision. The personnel committee shall be given the opportunity for further comment before the final decision is made. If the Academic Vice Chancellor's preliminary assessment is contrary to the recommendation of the University Librarian (with respect to cases in which the latter is not the deciding officer), the University Librarian shall likewise be notified and given opportunity for further comment.

   In a case of conferral of career status, if the Academic Vice Chancellor or designee's preliminary assessment is not to confer career status, the candidate shall be notified of the opportunity to request access to records in the

personnel review record. The candidate and review initiator shall then have the opportunity to respond in writing and to provide additional information and documentation.

l. The Chancellor shall inform the candidate in writing of the final administrative decision in a timely manner. In the event of an unfavorable decision, the written statement shall include the reasons for the decision, and upon request a redacted copy of the confidential documents in the academic review record shall be provided. Such a statement shall not disclose the identities of persons who were sources of confidential documents, and shall not identify separately the evaluations and recommendations of the review committees or administrative officers. Upon request, a candidate receiving a favorable review may receive, from the Chancellor a written statement of the reasons for his/her decision and, if requested, a redacted copy of the confidential documents in the academic review record.

Professional Academic Issues
Procedures and Principles

Librarian Series

A. Potential Career appointees in the Librarian Series are eligible for career status, merit increases, and promotion through the ranks from Assistant Librarian to Librarian.

B. A librarian need not assume administrative responsibilities in order to reach the highest rank.

C. Temporary appointees in the Librarian Series are expected to perform their duties with the same proficiency as the Career Status and Potential Career Status appointees in accordance with the terms of their appointment letters.

Academic Personnel Manual

Those sections of the current Academic Personnel Manual (APM) which apply to librarians will continue in full force and effect unless modified by these revisions of the APM.

Librarians Association of the University of California

A. The Librarians Association of the University of California (LAUC) shall continue to advise the University, the campus, and the library administration on the operations and policies of the libraries. One copy of each report filed by the LAUC President with the University will be forwarded by the University to the University Federation of Librarians (UFL).

B. LAUC will not advise the University, the campus, and the library administration with respect to matters which are covered by the memorandum of understanding between the University and UFL.

Program, Service, and Technological Changes

The Librarians Association of the University of California shall advise the University, the campus, and the library administration in the planning, evaluation, and implementation of any major program, services, or technological changes in the libraries of the University of California.

Recruitment

The University, in accordance with campus procedures developed in consultation with the Librarians Association of the University of California, shall continue to recruit the most qualified librarians to fill professional positions on its staff. Open recruitment, which is essential to the selection of qualified librarians, shall occur for Career Status and Potential Career Status positions whenever the University determines that such positions are open for outside recruitment. Librarians currently employed by the University who apply for a vacancy shall be considered with all other applicants in keeping with the recruitment process as developed by the campus where the vacancy exists. Review Committee(s) will continue to participate in the appointment process.

Peer Review

A. Criteria for Promotion and Merit shall be those found in the APM - 360-10-b, -c, -d, and 210-4-e.

B. Campus review procedures should ensure that all decisions and recommendations shall be based solely upon material within the review packet.

C. The University shall invite LAUC to study the peer review process at the campus and University level and make recommendations, where appropriate, for improvement and refinement.

Professional Activities and Development

A. The University of California recognizes professional development of librarians as beneficial to the individual, the libraries, and the University. Professional development opportunities contribute to the professional growth of the librarian, enabling greater effectiveness as academic appointees and thus enhancing her/his service to the University.

B. The Librarians Association of the University of California shall recommend procedures for the allocation of funds for research and creative activity, and procedures for the allocation of funds for attendance at professional meetings, conferences, seminars, and workshops.

Presidential Statement on the Status of the Librarians
Association of the University of California

The Librarians Association of the University of California shall serve for the purposes of and subject to the conditions herein described and set forth more fully in the Bylaws of the Association.

1. The Librarians Association of the University of California (LAUC) is recognized as an official unit of the University. LAUC is authorized to serve in an advisory capacity to the University on professional and governance matters of concern to all librarians.

2. Membership in the Librarians Association of the University of California (LAUC) shall consist of all persons holding appointment half-time or more in the librarian series, or in any one of the following titles: Assistant University Librarian, Associate University Librarian, University Librarian, Assistant Law Librarian, Associate Law Librarian, and Law Librarian.

3. The Librarians Association of the University of California (LAUC) shall advise the Office of the President, campus administration, and library administration on the operations and policies of the libraries; on professional standards, rights, privileges and obligations of members of the librarian series of the University of California; and on the planning, evaluation, and implementation of programs, services or technological changes in the libraries of the University.

4. The Librarians Association of the University of California (LAUC) shall not advise the Office of the President, the campus administration, and the library administration with respect to matters which are covered by a Memorandum of Understanding or are otherwise subject to negotiation with an exclusive bargaining unit.

Supersedes Presidential Statement on the Status of the Librarians Association of the University of California, January 27, 1975, issued on February 20, 1975 by then President Hitch.

365-4 **Definitions**

The titles Associate University Librarian and Assistant University Librarian are used for academic appointees who provide top-level professional and administrative services to the University libraries as officers assisting the University Librarians. There may be more than one appointee with each title on a given campus.

a. **Associate University Librarian**

Position of high responsibility in the planning and management of the operation of the library or libraries of a campus. Functions as a top-level administrative officer under the University Librarian, and is expected to be capable of functioning as deputy for the University Librarian when necessary. May be assigned authority for management of a sector of the library or of a major functional area of library administration.

b. **Assistant University Librarian**

Position of major responsibility for assisting with planning and managing library operations. May be assigned authority for management of a sector of the library or of a major functional area of library administration, under the general supervision of the University Librarian or an Associate University Librarian.

365-6 **Responsibility**

It is the responsibility of each Chancellor, in consultation with the University Librarian, to provide for review of candidates for appointment to either of these titles, for merit increases for Associate and Assistant University Librarians, and for promotion of Assistant University Librarians. (See APM - 365-80 concerning Procedures.)

365-8 **Types**

a. An *appointment* occurs when an individual is employed with one of these titles and when 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 either of these two titles.

b. A *promotion* is an advancement to the higher rank of Associate University Librarian from the lower rank of Assistant University Librarian. A change in title from another series (e.g., Librarian) to either Associate University Librarian or Assistant University Librarian is not defined as a promotion but as an appointment as described above.

c. A *merit increase* is an advancement in salary within rank.

d. An *intercampus transfer* is treated as an appointment by the new campus, although it may involve a merit increase or a promotion. (For policy concerning intercampus transfers, see APM - 510.)

365-10 **Criteria**

a. A candidate for appointment as Associate University Librarian or Assistant University Librarian shall have a professional background of competence, knowledge, and experience which clearly assures adequate preparation and suitability for appointment with the proposed title. Normally, a candidate will be expected to have a professional degree from a library school with an accredited program and considerable subsequent experience as a professional librarian. Demonstrated superior professional ability and attainment are indispensable qualifications for appointment to either of these titles. Promotion from Assistant University Librarian to Associate University Librarian must be justified not only by excellence of service and attainment, but also by demonstrated professional growth and accomplishment and/or the assumption of greater responsibility.

Each Chancellor, after receiving advice from the University Librarian, who shall consult with representatives of the campus Division of the Librarians Association, shall adopt and issue for campus use a full statement of general policy on the duties, responsibilities, and criteria for appointment and advancement of Associate University Librarians and Assistant University Librarians. Any such statements shall include and be consistent with the provisions of APM - 365-4 and 365-10-a, and the substance of APM - 360-10-b. A copy of each such statement and of any subsequent modifications of it shall be made available to the library staff.

365-16 **Restrictions**

a. Appointments to and retention in positions which are supported by State or other permanent funds administered by The Regents are subject to budgetary limitations established for the respective campuses, both as to funds and number of positions.

b. Promotions and merit increases may be approved only within the limits of available funds.

365-17 **Terms of Service**

a. An appointment to either of these titles is for an indefinite term.

b. The titles Acting Associate University Librarian and Acting Assistant University Librarian may be accorded only to persons on temporary appointment. The prefix "Acting" will signify the interim status of such appointment.

c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17. The effective date of merit increases and promotions will normally be July 1, although exceptions may be approved as provided in APM - 365-24-b.

365-18 **Salary**

a. An authorized salary scale established for these titles is issued by the Office of the President.

b. Initial salaries and subsequent advancements in salary for appointees to these titles shall be subject to determination on a case-by-case basis, based upon qualifications and position requirements.

c. There are no normal periods of service at either title. As a general practice, appointees shall be considered for merit increases at two-year intervals. Merit increases are not automatic and must be justified by the quality of professional and administrative service rendered by the appointee.

365-20 **Conditions of Employment**

a. When an appointment as Associate or Assistant University Librarian is not to be continued, under circumstances other than those indicated in subsections b. and c. below, written notice shall be given to the individual in accordance with the following schedule:

(1) With less than one year of University service by the intended date of termination: not less than a four-month notice.

(2) With one year or more of University service by the intended date of termination: not less than a six-month notice.

b. When an appointment is to be terminated in the event of lack of work or lack of funds, a written notice of not less than one month shall be given to the individual whenever possible. Opportunity for appeal shall be provided in accordance with the provisions of APM - 140. (See also APM - 365-20-h.)

c. If an appointee's conduct or performance of duty is such as to justify immediate dismissal, the appointee shall not be entitled to any notice.

d. An appointee accrues sick leave credit and vacation credit in accordance with the provisions of APM - 710 and 730, respectively.

e. For information concerning eligibility for reimbursement of certain removal expenses see APM - 560.

f. A leave of absence with full or partial salary may be granted to an appointee with one of these titles (subject to the provisions of APM - 750, 752, and 758) when the leave is in the interest of the appointee's duties and professional development, when the project is of direct relevance to the functioning of the library as well as in the best interests of the University, and to the extent that provision therefore is available in the fund source(s) from which the appointee's salary is paid.

g. In the event of termination of an appointment because of lack of work or lack of funds, the provisions of APM - 145, Layoff Policy for Non-Senate Academic Appointees established by the University and as implemented by the campus shall apply.

h. The provisions of APM - 140, Grievance Policy—Non-Senate Academic appointees, shall be applicable to appointees holding either of these two titles.

365-24 **Authority**

a. Each Chancellor is authorized to approve appointments, reappointments, merit increases, and promotions within authorized salary ranges, after appropriate review, subject to the provisions of APM - 365-24-c and -d.

b. Each Chancellor may approve within authorized salary ranges, as exceptions, promotions and merit increases having effective dates other than July 1.

c. Each Chancellor may approve, as exceptions, appointments, merit increases, and promotions retroactively (that is, with the beginning date of service prior to the actual date of approval).

d. Each Chancellor may approve an initial appointment or subsequent reappointment of any retired individual.

365-35 **Records**

The provisions of APM - 360-35 apply to this series.

365-80 **Procedures**

a. Procedures for review and approval of appointments and merit increases of Associate University Librarians and Assistant University Librarians, and of promotions of Assistant University Librarians, shall be established by the Chancellor after receiving advice from the University Librarian, who shall consult with representatives of the campus Division of the Librarians Association.

b. Procedures established to apply to the titles Associate University Librarian and Assistant University Librarian may be simplified, abbreviated, or waived for actions pertaining to these positions with Acting titles.

c. 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)(2) 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.

d. The provisions of APM - 360-80-b, -c, -d, -e, and -f, modified as appropriate, apply to this series.

370-4 **Definition**

a. The Academic Administrator series is used principally in organized activities other than organized research units for appointees who administer programs which:

(1) provide service to academic departments, but not as totally or exclusively research or teaching activities; or

(2) are intended to serve the general public and may be either research or educational in nature.

b. Appointment to the Academic Administrator series may be at any one of seven titles, i.e., Academic Administrator I through VII, each of which will be identified by a separate title code.

c. The duties of the positions in this series are more in administration than in teaching and/or research, although the administration may include participation in as well as the overseeing of programs involving teaching, research, or academically-based public service.

d. When it is desirable in order to meet campus needs and with the approval of the Chancellor, a working title may be assigned in addition to the payroll title, provided the working title is not the same as an official University payroll title used for a different position.

370-10 **Criteria**

a. A person appointed to a position in this series must have professional and academic qualifications similar to those of academic appointees in the organized activity with which the appointee is to be concerned.

b. As a normal requirement, the appointees should have the terminal or top degree in his/her field, e.g., Ph.D., M.D., D.D.S., D.V.M., or the highest degree which is commonly expected for appointment in the activity. In the field of Nursing and related activities, for example, the M.P.H., M.N., or M.S. may usually be accepted as a top degree.

c. Merit increases and promotions are based on administrative experience, professional competence and activity, and University and public service.

d. Although the function of an Academic Administrator may include the overseeing of a program involving research, responsibility for engaging in research, while desirable, is not implied by appointment to this series.

370-12 **Exceptions**

a. July 1 shall normally be the effective date for a merit increase except that, within the authority granted in APM - 370-24, a Chancellor is authorized to approve a merit increase to be effective at any date during the year.

b. Exceptions to any other of the requirements contained in APM - 370 shall be made by the Chancellor.

370-18 **Salary**

a. Salary steps within each title in this series will coincide with rates on the Academic Standard Table of Pay Rates. The specified ranges for each title will be published at the beginning of each academic year by the Office of the President.

b. Range adjustments will be applied with the same augmentation as that applied to the Academic Standard Table of Pay Rates.

c. In the event of a split appointment between an Academic Administrator title and another academic title, salary for the Academic Administrator service shall be at the appropriate rate with no administrative stipend, and salary for the service under the other academic title shall be at the appropriate rate for that title.

d. In the case of full-time appointment to an Academic Administrator title, a unit salary shall be paid without administrative stipend.

370-19 **Normal Periods of Service at Salary Steps**

a. Positions with an Academic Administrator title may be established for relatively short periods of time.

b. Merit increases normally shall be on a biennial basis.

c. If promotion of an appointee from one title to another within the series is justified, such promotion shall not normally occur until the individual has served at least six years with the lower title, including at least two years at the top step for that title.

d. A performance review, in the absence of a merit or promotion review, shall take place at least every four years.

370-20 **Conditions of Employment**

a. Appointees to this series accrue sick leave credit at the rate of one day per month of full-time service.

b. Appointees to this series accrue vacation credit at the rate of two days per month of full-time service, with a maximum accumulation of forty-eight days of such credit.

c. Appointees to this series shall be eligible for removal expenses subject to the limitations stipulated in APM - 560 and to the extent that provision therefor is available in the fund source(s) from which their salaries are paid.

d. Membership in the Academic Senate is not acquired by appointment to this series.

e. Neither tenure nor security of employment is acquired by appointment to this series.

f. Appointees to this series shall not be eligible for sabbatical leave by virtue of such appointment; neither shall they accrue sabbatical leave credit through such appointment. However, leave with pay may be recommended when the leave is in the interest of an appointee's duties and professional development and to the extent that provision therefor is available in the fund source(s) from which the appointee's salary is paid.

370-22 **Funds**

Positions in this category may be supported by State funds and/or non-State funds.

370-24 **Authority**

The Chancellor is authorized to approve appointments, reappointments, merit increases, promotions and terminations in this series, except that an appointment or advancement to a salary beyond the Regental compensation threshold is subject to Regental approval upon recommendation by the President. See Section 101.2(a)(2) of the Standing Orders of The Regents and APM - 370-80.

370-80 **Procedures**

a. The administrative officer under whose jurisdiction an Academic Administrator functions officially initiates the request for appointment, merit increase, or promotion.

b. Campus review of such proposals is by:

(1) a Dean of a school or college when appropriate;

(2) a standing committee appointed by and advisory to the Chancellor, with representative Academic Senate and non-Senate membership; and

(3) the Chancellor.

c. After review of all supporting material concerning a new appointment, a promotion from one title to another, or a merit increase proposal, the Chancellor makes the final decision provided the salary is not beyond the Regental compensation threshold.

d. Each recommendation for a salary above the Regental compensation threshold shall be submitted by the Chancellor with the recommendation to the President and shall be accompanied by all supporting material. If the President endorses the proposal, a recommendation goes to The Regents that the salary be approved.

e. Upon The Regents' approval of the recommended salary, the President notifies the Chancellor, who notifies the appointee of The Regents' action.

370-96 **Reports**

See APM - 200-96.

375-4 **Definition**

a. Academic Coordinator titles are for appointees who administer academic programs that provide service closely related to the teaching or research mission of the University. This service may be provided to academic departments, to students, or to the general public.

b. The Academic Coordinator titles may also be used for appointees who administer academic programs which:

(1) provide service to the campus's Education Department related to credentialing programs, for example, serving as liaison between the Department and its Professional Development schools or districts; or

(2) are academically-based public service programs with outreach responsibilities in the areas of K-12 teacher or curriculum development in such areas as science and health education, language and writing projects, and the arts.

c. Appointment to an Academic Coordinator title may be in one of three levels, Academic Coordinator I, II, or III, each of which is identified by a separate title code.

d. The duties of an Academic Coordinator are primarily administrative. Individuals in an Academic Coordinator title who are assigned research or instructional duties are required to hold a dual title. However, Academic Coordinators may conduct occasional non-credit seminars or workshops without holding a faculty title. Academic Coordinators who also supervise candidates for a teaching credential shall hold an appropriate faculty title as a dual title.

e. While the program overseen by an Academic Coordinator need not be departmentally-based, the program must be fundamentally academic in nature, involving University research activities or activities requiring judgments relating to University instruction. Academic Coordinators who administer departmentally-based programs will normally report to the department chair. In other cases, an appropriate administrative officer, usually a unit head, will be designated as the immediate supervisor.

f. Positions may be supported by State funds and/or non-State funds.

375-8 **Levels**

Appointments may be made to the following levels:

a. Academic Coordinator I
b. Academic Coordinator II
c. Academic Coordinator III

375-10 **Criteria for Appointment**

a. General Criteria for Appointment to Titles at All Levels

An appointee must have a professional background of academic training and/or experience. Professional accomplishment and scholarly contributions may also be required. A Master's or equivalent or other appropriate degree(s) may be required. Certain positions may require a doctorate or equivalent experience.

b. Criteria for Appointment to a Specific Level

Determination of the appropriate level for an appointment or a change in level shall take into consideration such factors as program scope and complexity, according to the guidelines set out below and summarized in APM - 375, Appendix A.

Programs administered by Academic Coordinators will vary with regard to the size of the organization (for example, the number and level of staff directly reporting to the Academic Coordinator) and the scope of its mission (for example, the number and organizational diversity of the clientele with whom the Academic Coordinator interacts). For the purpose of assignment to the appropriate level, the size of the program in parallel with its scope may be considered to determine its complexity. Thus, the independent coordination of a broad, horizontally-integrated network of affiliated programs may be considered equal in complexity to the management of a large, vertically-integrated University organization with many staff. Materials submitted in support of an appointment shall provide a comprehensive assessment of the candidate's qualifications. A job description and designation of a supervisor shall be supplied, as well as an explanation of the candidate's role in the program and within a larger unit, if appropriate.

(1) **Academic Coordinator I**

This level is intended for individuals with responsibility for programs of minimal to moderate complexity. Such programs can be administered with a small staff, or they may consist primarily of local University-related activities with limited breadth or narrow focus. The administration of the program at this level will normally involve outside agencies or industries only when necessitated by the targeted needs or interests of a University-based clientele. The Academic Coordinator will typically receive general supervision by a department chair, a faculty member, or other academic or professional staff member. The duties of an appointee may include limited involvement in the generation and/or coordination of funds.

(2) **Academic Coordinator II**

This level is reserved for individuals with responsibility for programs of moderate complexity. The duties of an appointee may include the independent coordination of a program with a moderately-sized staff or, in a small organization, a scope that encompasses several departments, schools, or colleges of the campus, or a series of affiliated academic, governmental, or private institutions. The Academic Coordinator is expected to manage the program with a great amount of independence and may receive general guidance from a faculty member, a department chair, an assistant/associate dean, or equivalent positions. Duties may include moderate involvement in the generation and/or coordination of funds from different sources.

(3) **Academic Coordinator III**

This level is reserved for appointees who have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity and who fulfill their responsibilities independently. These appointees might be unit heads who report directly to deans or vice chancellors. Their responsibilities may include the direction and supervision of a large staff and/or administration of a program with a broad, interdisciplinary scope that encompasses several colleges or schools within the campus, other UC campuses, or public and private agencies outside of the University. The duties of an appointee at this level may include extensive involvement in the generation and/or coordination of funds. Appointment to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than

typically delegated to Academic Coordinators at other levels. Appointment to this level may require demonstrated scholarly ability and attainment, depending on the duties of the position.

375-11 **Criteria for Evaluating Performance**

Merit increases are based on administrative performance, professional competence and activity, and University and public service. Professional accomplishment and scholarly achievement should also be considered, if required by the position.

Materials submitted in support of an appointment, merit increase, or a change in level shall provide a comprehensive assessment of the candidate's qualifications and performance in the areas specified below. A job description must be provided, along with an explanation of the candidate's role in the program and within a larger unit, if appropriate.

a. Coordination of Academic Programs

In most instances, Academic Coordinators will have primary responsibility for the administration and coordination of one or more programs and may have responsibility for directing the activities of other academic appointees or staff.

Types of activities:

(1) Academic program planning and development.

(2) Assessment of program and constituency needs.

(3) Evaluation of academic program activities and functions.

(4) Development of proposals for extramural funding of campus programs and identification of support resources.

(5) Liaison representation with other agencies and institutions in the public and private sectors.

(6) Supervision and leadership of other academic appointees or staff.

b. Professional Competence

Academic Coordinators will provide intellectual leadership and scholarship to their programs.

c. University and Public Service

Academic Coordinators participate in the administration of their units and the University through appropriate roles in governance and policy formulation. In addition, they may represent the University in their special capacity as scholars during the discharge of their responsibilities.

375-12 **Exceptions**

July 1 shall normally be the effective date for a merit increase except that, within the authority granted in APM - 375-24, the Chancellor is authorized to approve a merit increase to be effective at any date during the year.

375-18 **Salary**

a. Authorized salary scales established for these titles are issued by the Office of the President. New appointees are normally paid at the minimum salary rate for the level to which an appointment is made.

b. Advancement from one step to the next is based upon merit.

c. The normal period of service prescribed for each salary step does not preclude more rapid advancement (acceleration) in cases of exceptional merit, nor does it preclude less rapid advancement.

d. For individuals with dual appointments, percent time and salary rates may be set at levels appropriate to each appointment. In the case of a full-time appointment to an Academic Coordinator title, a unit salary from the approved salary scale shall be paid without administrative stipend.

375-19 **Normal Periods of Service at Salary Steps**

a. Appointments to an Academic Coordinator title may be for one year or less, for longer periods, and/or for an indefinite period, according to campus

practice or guidelines. Appointments may be renewed, at campus discretion, with or without a limit on the number of renewals.

b. Recommendations for merit increases normally shall be reviewed every second year for Academic Coordinator I and II, and every third year for Academic Coordinator III.

c. There is no expectation of movement between the levels without significant changes in the scope and complexity of the program being administered.

d. In the absence of a reappointment, a merit, or a change in level review, a performance review shall take place at least every two years for an Academic Coordinator I and II and at least every three years for an Academic Coordinator III. A performance review shall precede any reappointment.

375-20 **Conditions of Employment**

a. Appointments may be made on an academic-year or fiscal-year basis.

b. Fiscal-year appointees accrue sick leave in accordance with APM - 710.

c. Fiscal-year appointees accrue vacation leave in accordance with APM - 730.

d. Membership in the Academic Senate is not acquired by appointment to these titles.

e. Neither tenure nor security of employment is acquired by appointment to these titles.

f. Each appointment with a fixed ending date shall automatically end on that date unless the appointment is formally renewed.

g. Appointees may be laid off because of a lack of work or funds, as determined by the appropriate authority. APM - 145 applies to layoffs of individuals in these titles. (Separation following a fixed ending date is not considered a layoff.)

h. For grievances, the provisions of APM - 140 are applicable.

i. Appointees are not eligible for sabbatical leave. Appointees are eligible for leave with or without pay under APM - 758 and APM - 759, when the leave is in the interest of the University.

375-24 **Authority**

The Chancellor is authorized to approve appointments, merit increases, and changes in level.

375-80 **Review Procedures**

Each Chancellor shall establish review procedures for an appointment, merit increase, and a change in level which will be appropriate to the needs and functions of the respective campus.

Criteria for Appointment to Academic Coordinator Titles

Criteria/Level	I	II	III
1. Program complexity: size and/or scope of the program in the Academic Coordinator's charge	Minimal complexity: Specialized program with small staff OR single program serving single constituency	Moderate complexity: Multidisciplinary program with a moderately-sized staff OR single program serving multiple constituencies	Substantial complexity: Single, highly specialized academic unit with a large staff OR collection of programs serving multiple constituencies
2. Degree of independence and reporting relationships	General supervision by a department chair, faculty member, or other academic or professional staff member	Independent coordination, generally reporting to a department chair, assistant/associate dean, or equivalent positions	Independent directorship, generally reporting to a dean or vice chancellor
3. Budgetary activities (degree of involvement in either generating or coordinating funds, or both)	Limited involvement	Moderate involvement	Extensive involvement
4. Degree of professional accomplishment and/or scholarly contributions needed to discharge responsibilities	Primarily program administration AND professional accomplishment AND scholarly contributions if a stated requirement of the position	Program administration AND professional accomplishment AND scholarly contributions if a stated requirement of the position	Program administration AND professional accomplishment AND scholarly contributions if a stated requirement of the position
5. Impact on campus mission	Campus	Regional	State and national

380-4 **Definition**

The title Faculty Consultant is applied only to a faculty member who, as provided in APM - 664, acts occasionally as a professional consultant in connection with a research project under the auspices of the University, and in which such a member is not otherwise regularly engaged.

380-18 **Rate of Pay**

See APM - 664-18.

380-24 **Authority**

The Chancellor is authorized to appoint faculty consultants.

385-4 **Definition**

An independent contractor relationship exists when the University has the right to control only the result of the service, not the manner of performance.

An employer-employee relationship exists when the University has the right (whether or not it exercises the right) to supervise and control the manner of performance, as well as the result of the service.

385-10 **Qualifications**

The attached Presidential letter dated December 9, 1966 addresses the use by University Extension of independent contractors and University employees.

The use of independent consultants, individuals or organizations outside of the University who provide primarily professional or technical advice to the University in an independent contractor relationship, is treated in detail in Business and Finance Bulletin, BUS-34.

Office of the President

December 9, 1966

DEAN OF UNIVERSITY EXTENSION:

Re: **Use of Independent Contractors by University Extension**

University Extension frequently retains individuals for temporary personal service in connection with Extension courses and programs. The question often arises whether persons performing such temporary services are to be hired as University employees, or whether they are to be retained as independent contractors. The distinction is of significance because State law requires all University employees to sign the State Loyalty Oath before beginning work, and University policy requires the signing of the University Patent Agreement by all new employees. These requirements do not apply to independent contractors. Also, there may be distinctions for income tax withholding purposes.

General Counsel advises that the basic legal distinction between an employee and an independent contractor is that an employee is subject to the employer's right to supervise and control the employee's performance, irrespective of whether such right is actually exercised, whereas an independent contractor is retained to render a specified service subject to the control of the principal only as to the result of the work, rather than as to the means by which the result is accomplished.

To aid University administrators in determining whether persons retained for temporary service in University Extension are to be hired as employee or retained as independent contractors, the following guidelines are issued:

1. An instructor or other person having charge of a University Extension course or program is to be hired as a University employee. This classification applies irrespective of whether credit is given and irrespective of the length of the course or program.

2. A person who is to participate as a guest lecturer on one or more occasions in a University Extension course or program may be retained as an independent contractor if the course or program is conducted under the immediate supervision of a University employee.

Dean of University Extension
December 9, 1966
Page 2

3. A person who is to participate on one or more occasions as a panelist or workshop participant in a University Extension course or program may be retained as an independent contractor if the course or program is conducted under the immediate supervision of a University employee.

4. If a University Extension course or program consists exclusively of one or more panel discussions, the several panelists may be retained as independent contractors if the course or program is under the immediate supervision of a University employee.

If there are other types of temporary personal services to be secured by University Extension which might be performed by independent contractors consistent with the legal distinction between employees and independent contractors as set forth above, the Dean of University Extension should seek advice from the General Counsel on whether a person can be retained as an independent contractor to perform the services in question. In the absence of an authorizing opinion from the General Counsel, and except as otherwise provided in this policy, individuals shall be retained by University Extension to perform personal services only as employees.

Clark Kerr

cc: Chancellors
University-wide Administrative Officers

Preamble

At the University of California, the postdoctoral experience emphasizes scholarship and continued research training for individuals who have recently completed a doctoral degree. The Postdoctoral Scholar conducts research under the general oversight of a faculty mentor in preparation for a career position in academe, industry, government, or the nonprofit sector. Postdoctoral work provides essential training in many disciplines for individuals pursuing academic careers and may include opportunities to enhance teaching and other professional skills.

Postdoctoral Scholars contribute to the academic community by enhancing the research and education programs of the University. They bring expertise and creativity that enrich the research environment for all members of the University community, including graduate and undergraduate students. The University strives to provide a stimulating, positive, and constructive experience for the Postdoctoral Scholar, by emphasizing the mutual commitment and responsibility of the institution, the faculty, and the Postdoctoral Scholar.

390-0 **Policy**

This policy defines and sets forth terms and conditions relating to the appointment of Postdoctoral Scholars. It applies to both (1) Postdoctoral Scholars who are employees of the University and (2) Postdoctoral Scholars who are appointed as fellows and are paid stipends by extramural agencies either directly or through the University.

390-4 **Definition**

Postdoctoral Scholar appointments are temporary positions with fixed end dates intended to provide a full-time program of advanced academic preparation and research training. Individuals pursuing clinical fellowships and residencies in the health sciences are excluded from appointment to these titles.

Postdoctoral Scholars train under the direction and supervision of faculty mentors in preparation for academic or research careers. In addition to pursuing advanced preparation in research, Postdoctoral Scholars may be approved to engage in other activities to enhance teaching and other professional skills. If formal teaching duties are assigned, a Postdoctoral Scholar must hold both a Postdoctoral Scholar title and an appropriate teaching title. Under this circumstance, the full-time Postdoctoral Scholar appointment percentage will be reduced accordingly.

Ordinarily, Postdoctoral Scholars are not permitted to serve as principal investigators on extramurally-sponsored contracts or grants. Because the University recognizes that proposal preparation is an important aspect of most postdoctoral training, campuses may permit Postdoctoral Scholars to serve as principal investigators on awards that are restricted to Postdoctoral Scholars, on

small awards for research expenses or travel, or in other circumstances approved by the Chancellor.

390-6 **Responsibility**

a. Faculty mentors are responsible for guiding and monitoring the advanced training of Postdoctoral Scholars. In that role, faculty mentors should make clear the goals, objectives, and expectations of the training program and the responsibilities of Postdoctoral Scholars. They should regularly and frequently communicate with Postdoctoral Scholars, provide regular and timely assessments of the Postdoctoral Scholar's performance, and provide career advice and job placement assistance.

b. The Chancellor has the authority to approve appointments and reappointments of Postdoctoral Scholars and to establish campus policies that supplement APM - 390. As provided in APM - 100-6-d, the Chancellor may redelegate this authority.

390-8 **Titles**

The title of a Postdoctoral Scholar appointment is determined by the requirements of the funding agencies.

a. **Postdoctoral Scholar – Employee**

An appointment is made in the title "Postdoctoral Scholar – Employee" when (1) the agency funding the salary requires or permits the appointee to be an employee of the University, or (2) whenever General Funds, Opportunity Funds or other University discretionary funds are used to support the position.

b. **Postdoctoral Scholar – Fellow**

An appointment is made in the title "Postdoctoral Scholar – Fellow" when the Postdoctoral Scholar has been awarded a fellowship or traineeship for postdoctoral study by an extramural agency and the fellowship or traineeship is paid through a University account.

c. **Postdoctoral Scholar – Paid Direct**

An appointment is made in the title "Postdoctoral Scholar – Paid Direct" when the Postdoctoral Scholar has been awarded a fellowship or traineeship for postdoctoral study by an extramural agency and the agency pays the fellowship or traineeship directly to the Postdoctoral

Scholar, rather than through the University. Such appointments shall have a "without-salary" status.

d. Postdoctoral Scholars may be assigned to more than one Postdoctoral Scholar title concurrently depending on University and extramural funding agency requirements.

390-10 **Appointment Criteria**

Appointment as a Postdoctoral Scholar requires a doctoral degree (e.g., Ph.D., M.D.) or the foreign equivalent.

390-17 **Terms of Service**

a. Postdoctoral Scholar appointments are temporary and have fixed end dates. Appointments are typically made for one year but may be made for up to three years. Campuses may require a minimum duration of appointment (e.g., one year).

b. The total duration of an individual's postdoctoral service may not exceed five years, including postdoctoral service at other institutions. By exception, the Chancellor may grant an extension not to exceed a sixth year.

c. Pursuant to APM - 137-30-b, it is within the University's sole discretion not to reappoint a Postdoctoral Scholar.

390-18 **Salary and Stipend**

a. **Scale**

An authorized salary and stipend scale establishing minimum and maximum pay rates for Postdoctoral Scholar titles is issued by the Office of the President. This scale is adjusted annually by the general range adjustment, if any, approved by the President for non-exclusively represented, non-Senate academic appointees. For "Postdoctoral Scholars – Employee," campuses may establish steps within the scale.

b. **Individual Range Adjustments**

When providing range adjustments for other non-exclusively represented, non-Senate academic employees, campuses may provide range adjustments for "Postdoctoral Scholars – Employee" for salaries that fall between the minimum and maximum scale established by the Office of the President (see APM - 390-18-a).

c. **Criteria**

Campuses are responsible for establishing the criteria for determining the salaries of individual "Postdoctoral Scholars – Employee" within the salary and stipend scale. Such criteria may include, but are not limited to, the individual's qualifications, number of years of experience, performance as a Postdoctoral Scholar, funding availability in the discipline, and competitive salaries and stipends paid by other universities.

When a stipend or salary is established for a Postdoctoral Scholar, equity among all appointees in the three Postdoctoral Scholar titles within the academic unit shall be taken into consideration.

d. **Provision of Minimum Pay Level**

When extramural agencies establish stipends at a rate less than the University-established salary and stipend scale minimum, and the University elects to proceed with such an appointment, the campus is required to provide additional funding to bring the pay level of the Postdoctoral Scholar up to the established minimum. The mentor is required to arrange the additional funding prior to the begin date of an appointment.

e. **Exceeding the Scale Maximum**

The Chancellor may approve salaries above the top of the authorized scale in exceptional instances.

f. **Supplementation of Fellowship Stipends**

A Postdoctoral Scholar in the "Postdoctoral Scholar – Fellow" or "Postdoctoral Scholar – Paid Direct" title may have his or her stipend supplemented with additional funding beyond the scale minimum. Supplementation must be in conformance with the terms of the fellowship or traineeship and, if paid with University funds, be paid in the "Postdoctoral Scholar – Employee" title. Except as provided in APM - 390-18-e for salaries paid above scale, the sum of stipend and salary may not exceed the maximum of the scale and must be consistent with campus criteria for determining the appropriate pay level of an individual Postdoctoral Scholar.

g. **Annual Salary Increases**

Salary increases may be given annually to "Postdoctoral Scholars – Employee" on the basis of merit in accordance with established campus procedures. The effective date of merit increases shall be established by the campus. Increases to "Postdoctoral Scholars – Fellow" and "Postdoctoral

Scholars – Paid Direct" should be provided in accordance with the provisions of the extramural funding agency.

Salary and stipend increases are to be recommended and approved in accordance with campus procedures.

390-19 **Appointment Percentage**

a. Appointments to the Postdoctoral Scholar title are full time, based on the expectation that the Postdoctoral Scholar will be fully involved in scholarly pursuits. In special cases, upon written request of the appointee and concurrence of the mentor, an exception may be granted by the Chancellor when the appointee is unable to make a full-time commitment for reasons of health, family responsibilities, or employment external to the University. Such a request must take into account extramural funding agency requirements, if any.

   When a reduced-time appointment has been approved, the mentor and Postdoctoral Scholar shall sign a written agreement specifying the reduction in hours of work and concomitant responsibilities.

b. When a Postdoctoral Scholar additionally holds a University teaching appointment or other University position, the percent time of the Postdoctoral Scholar appointment normally will be reduced so that the sum of the percent times of the two appointments equals 100 percent.

390-21 **Notice of Appointment**

a. A Postdoctoral Scholar shall be provided a written notice of appointment, which shall include the mentor's name, begin and end dates of the appointment, salary/stipend amount, source of funding, and work eligibility requirements for U.S. citizens and non-citizens. A copy of APM - 390 and a summary of benefits, or corresponding website information, shall accompany the appointment notice. The Postdoctoral Scholar is required to accept the appointment in writing.

b. Campuses may require additional information in appointment letters, such as whether the appointment is renewable and the conditions for renewal.

390-25 **Annual Reviews**

a. In furtherance of fostering a Postdoctoral Scholar's career, the mentor shall conduct an annual review with the Postdoctoral Scholar. A written evaluation will be provided to the Postdoctoral Scholar upon request.

b. Campuses may require the following for such reviews:

(1) An assessment of the Postdoctoral Scholar's progress to date, strengths, areas needing improvement, potential for a research career in the discipline, and a summary of expectations and activities for the following year;

(2) That a written summary of the review shall be provided to and signed by the Postdoctoral Scholar;

(3) That a review will be conducted whenever a salary increase is proposed;

(4) That any written evaluation will be maintained by the Graduate Division or other central office.

390-27 **Equal Opportunity, Nondiscrimination, and Diversity**

a. The University of California is committed to a university environment that provides equal opportunity and promotes a diversity of backgrounds, perspectives, and experiences among faculty, staff, Postdoctoral Scholars, and the student body.

b. Campuses should strive to have an inclusive, supportive environment that provides postdoctoral training opportunities and maximizes and values the potential of all Postdoctoral Scholars.

c. Campuses are encouraged to post postdoctoral positions in order to promote equal opportunity for all candidates.

390-40 **Grievances**

a. A Postdoctoral Scholar may present a grievance according to the following procedures.

b. Each Chancellor may establish and issue additional procedures to implement this section of the policy. Prior to planned issuance, such procedures should be submitted to the Provost and Senior Vice President – Academic Affairs for approval.

c. Each Chancellor shall designate an administrator or office as the grievance liaison for Postdoctoral Scholars (hereinafter referred to as grievance liaison).

d. A grievance is a complaint filed by a Postdoctoral Scholar that alleges one or both of the following:

(1) A specific act by the University was arbitrary or capricious and adversely affected the Postdoctoral Scholar's then-existing appointment or training program. For the purposes of this policy, an act is not arbitrary or capricious if the decision-maker exercised reasoned judgment.

(2) A violation of applicable University rules, regulations, or policies occurred which adversely affected the Postdoctoral Scholar's then-existing appointment or training program.

A grievance alleging a violation of the Postdoctoral Scholar layoff policy (see APM - 390-45) or the Postdoctoral Scholar corrective action and dismissal policy (see APM - 390-50) shall be filed under APM - 390-40-d(2) only.

e. **Mediation**

The intent of this policy is to encourage voluntary resolution including mediation when it is desired by both parties. Each campus is encouraged to implement a mediation process to facilitate voluntary resolution of grievances.

f. **Step I – Informal Grievance Resolution**

(1) Step I of the grievance process is the attempt at informal resolution. Postdoctoral Scholars are encouraged to discuss concerns and/or complaints with their mentors, other senior faculty members, department heads, or the ombudsperson, and to attempt informal resolution at an early stage. Attempts at informal resolution do not extend the time limits for filing a formal grievance unless a written extension is granted by the grievance liaison.

(2) If informal resolution is attempted but unsuccessful, a grievant may request that the grievance liaison assist in resolving the grievance. Where appropriate, the grievance liaison may work with the parties to reach an informal resolution.

(3) When a grievance alleges sexual harassment, the grievant may elect to substitute the campus Sexual Harassment Complaint Resolution Procedure as Step I. If a grievant selects this mechanism and the complaint is not resolved to the grievant's satisfaction, he or she may file a Step II formal grievance in writing with the grievance liaison within fifteen (15) calendar days from the date the grievant is notified of the result of the pre-grievance complaint resolution process of the sexual harassment procedure or within forty-five (45) calendar days from the date the grievant filed the sexual harassment complaint, whichever is earlier.

g. **Step II – Formal Grievance Review**

(1) If a grievance that is not resolved informally to the satisfaction of the grievant, the Postdoctoral Scholar may file a Step II formal grievance. A Step II grievance must be filed in writing with the grievance liaison within thirty (30) calendar days from the date on which the Postdoctoral Scholar knew, or could reasonably be expected to know, of the event or act which gave rise to the grievance, or within thirty (30) calendar days after the date of separation, whichever is earlier. Except by written mutual agreement of the parties, no additional issues shall be introduced after the Step II grievance has been filed. A written extension may be granted by the grievance liaison.

(2) The formal written grievance must:

(a) identify the specific act and/or violation that is being grieved;

(b) state either (i) the specific acts to be reviewed, the name of the person(s) alleged to have carried out the act(s), the date(s) the alleged act(s) occurred, and a description of how the act(s) were arbitrary or capricious; or (ii) the University rules, regulations or policies that the grievant believes have been violated, the name of the person(s) alleged to have done the violation(s), the date(s) the alleged violation(s) occurred, and a description of how the rules, regulations, or policies have been violated;

(c) specify how the Postdoctoral Scholar's then-existing appointment or training program was adversely affected;

(d) specify the remedy requested.

(3) Upon receipt of a formal written grievance, the grievance liaison shall complete an initial review of the grievance and determine whether the grievance is complete, timely, within the jurisdiction of APM - 390-40, and contains sufficient facts that support the allegations made in the grievance. Within ten (10) calendar days of receipt of the grievance, the grievance liaison shall notify the grievant in writing of the acceptance of the grievance. If the grievance is not accepted, the reasons shall be specified as follows:

(a) If the grievance liaison determines that the grievance is incomplete or factually insufficient, the grievant will have ten (10) calendar days from the date of the written notice to provide information to make the grievance complete, including additional facts. If the grievant fails to make the grievance complete or provide sufficient facts, the grievance will be dismissed.

(b) If the grievance liaison determines that the grievance is untimely or outside the jurisdiction of APM - 390-40, the grievance will be dismissed.

(c) If the grievance raises multiple issues, the grievance liaison will make a determination described above with regard to each issue. The grievance liaison may accept some issues and dismiss others pursuant to this review process.

(d) If all or part of a grievance is dismissed at this stage, the grievance liaison will provide the grievant with a written explanation of the basis for the dismissal.

(4) When a formal written grievance is accepted, the grievance liaison shall forward the grievance and any supportive materials to the Step II reviewer for review and written decision, and notify the Step II reviewer and the grievant of the date the Step II response is due. Generally, the Step II reviewer will be the department or unit head. However, if the department or unit head took the action which is being grieved, the grievance liaison may exercise discretion and designate another administrator as the Step II reviewer, and so notify the department or unit head and the grievant.

(5) If a Step II grievance raises allegations of discrimination, harassment, or retaliation in violation of APM - 035, the grievance liaison shall forward a copy of the grievance to the appropriate campus compliance office for review. The results of any related grievances or investigations shall be provided to the grievance liaison. At the discretion of the grievance liaison, information regarding related grievances or investigations may be forwarded to the Step II reviewer for consideration in making a Step II decision.

(6) The Step II reviewer shall review the grievance and, if appropriate, shall investigate and/or meet with the parties. Within thirty (30) calendar days from the date of receipt of the grievance, the Step II reviewer shall send a written response to the grievant and the grievance liaison. The response will state whether the grievance is denied or upheld in whole or in part. If the grievance is denied in whole or in part, the response will state that the Postdoctoral Scholar has the right to appeal the decision to Step III of the grievance procedure; if the grievance is upheld, the response will describe the remedy, if any, being awarded.

h. **Step III – Formal Grievance Appeal**

(1) A formal grievance not resolved to the satisfaction of the Postdoctoral Scholar at Step II may be appealed in writing to Step III with the grievance liaison within fifteen (15) calendar days from the date on which

the Step II response is issued. The Step III formal grievance appeal must set forth the unresolved issue(s) and the remedy requested. Except by written mutual agreement of the parties, no issues shall be introduced in the appeal that were not included in the original grievance.

(2) All formal grievance appeals will be subject to Step III administrative consideration. Within seven (7) calendar days from receipt of a formal grievance appeal, the grievance liaison shall forward the appeal, the Step II formal grievance, and the Step II response to the Chancellor for review and written decision.

(3) In reviewing the grievance appeal, the Chancellor may consult with the Graduate Council, other appropriate Academic Senate or administrative committees, or appropriate individuals.

(4) Based on the record, the Chancellor shall determine whether the Step II formal grievance was properly reviewed and whether the decision made at Step II shall be upheld, rejected, or modified.

(5) The Chancellor shall provide a final written decision to the Postdoctoral Scholar within thirty (30) calendar days following receipt of the formal grievance appeal. The written decision shall include a statement of the reasons if the decision of the Step II review is rejected or modified in whole or in part, including any remedy in whole or in part, and a statement that the decision is final.

i. A Postdoctoral Scholar may represent himself or herself or may be represented by another person at any stage of the grievance process. The University shall be represented as the Chancellor deems appropriate.

j. Prior to expiration of a time limit, extensions may be granted by the grievance liaison upon written request by either party. If the Postdoctoral Scholar fails to meet a deadline, the grievance will be considered resolved on the basis of the last University response. If a University official fails to meet a deadline, the Postdoctoral Scholar may move the grievance to the next step in the process. Time limits which expire on days which are not business days at the location where the grievance is filed shall be automatically extended to the next University business day.

k. The Postdoctoral Scholar and the Postdoctoral Scholar's representative, if employed by the University, shall be granted time off with pay to attend meetings convened by the University to consider grievances under APM - 390-40. Time spent by the Postdoctoral Scholar and the Postdoctoral Scholar's representative in investigation and preparation of a grievance shall not be on pay status.

l. If the grievance is sustained in whole or in part, the remedy shall not exceed restoring to the Postdoctoral Scholar the pay, benefits, or rights lost either as a result of the violation of University rules, regulations, or policies, or as a result of an arbitrary or capricious action, less any income earned from any other employment. Payment of attorney's fees shall not be part of the remedy. Unless specifically authorized by the grievance liaison, compensation shall not be paid for any period that is the result of extension(s) of time requested by or on behalf of the Postdoctoral Scholar.

m. The following may be consolidated in one review: grievances of two or more Postdoctoral Scholars, where the grievances are related and consolidation is appropriate under the circumstances; two or more grievances filed by the same grievant which are based on the same incident, issues, or act; or two or more grievances filed by the same grievant which are based on the same pattern of conduct. The grievance liaison shall decide whether a consolidation is appropriate.

n. APM - 140 (Non-Senate Academic Appointees/Grievances) does not apply to individuals appointed in a Postdoctoral Scholar title.

390-45 **Layoff**

a. Layoff is defined as the termination by the University of a Postdoctoral Scholar appointment prior to the end date as a result of appropriate funding becoming unavailable.

b. In the event of layoff, the department, unit head, or other University official shall provide notification in writing to the Postdoctoral Scholar not less than thirty (30) calendar days in advance of the effective date of the early termination. Appropriate pay in lieu of notice may be given.

c. A Postdoctoral Scholar who is subject to layoff may request that the Chancellor or other University officer supply a written summary concerning the unavailability of appropriate funding that is the reason for the layoff.

d. Layoff decisions may be appealed in accordance with APM - 390-40, the Postdoctoral Scholar grievance policy.

e. APM - 145 (Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time) does not apply to individuals appointed in a Postdoctoral Scholar title.

390-50 **Corrective Action and Dismissal**

a. The University may impose corrective action or dismissal when, in its reasoned judgment, the Postdoctoral Scholar's performance or conduct merits the action.

b. Each Chancellor may establish and issue additional procedures for instituting corrective action and dismissal of Postdoctoral Scholars in accord with the standards and procedures set forth in APM - 390-50.

c. Corrective action is the institution of one of the following:

(1) Written warning, which is a communication that informs the Postdoctoral Scholar of the nature of the inadequate performance or misconduct; requirements for continuation in the training program; and the probable consequence of continued inadequate performance or misconduct.

(2) Suspension, which is debarment from the training program without pay for a stated period of time. Unless otherwise noted, the terms of a suspension will include loss of normal Postdoctoral Scholar privileges, such as access to University property and parking and library privileges.

(3) Reduction in salary or stipend for a stated period of time. The amount and duration of the reduced salary or stipend shall be specified.

(4) Other action consistent with requirements of extramural fellowship agencies.

d. Dismissal is the termination of a Postdoctoral Scholar's appointment initiated by the University, prior to the appointment end date, when, in the reasoned judgment of the University, the Postdoctoral Scholar's conduct or performance does not justify continuation.

e. Prior to the institution of formal corrective action or dismissal, informal efforts to resolve the problem should be made, where appropriate.

f. A Postdoctoral Scholar may be placed on immediate investigatory leave with pay, without prior written notice, for the purpose of reviewing or investigating conduct which in the judgment of the Chancellor requires removing the Postdoctoral Scholar from University premises. While on such leave, the Postdoctoral Scholar's return to University premises without written permission may create independent grounds for dismissal. Such investigatory leave shall be confirmed in writing after it is instituted.

g. Before initiating the actions of suspension without pay, reduction in salary or stipend, dismissal, or other actions consistent with the requirements of

extramural fellowship agencies, the University shall provide a written Notice of Intent to the Postdoctoral Scholar. The Notice shall state:

(1) the intended action and the proposed effective date;

(2) the reason(s) for the action, including a description of the inadequate performance or misconduct and any warnings that have been given;

(3) the Postdoctoral Scholar's right to respond either orally or in writing within fourteen (14) calendar days of the date of issuance of the written Notice of Intent;

(4) the name of the person to whom the appointee should respond.

No Notice of Intent is required for a written warning.

h. A Postdoctoral Scholar who receives a written Notice of Intent shall be entitled to respond, either orally or in writing, within fourteen (14) calendar days of the date of issuance of the Notice of Intent. The response, if any, shall be reviewed by the administration.

i. If the University determines to institute the corrective action or dismissal following the review of a timely response, if any, from the Postdoctoral Scholar, the University shall issue, within thirty (30) calendar days of the issuance of the written Notice of Intent, a written Notice of Action to the Postdoctoral Scholar of the corrective action or dismissal and its effective date.

The Notice of Action also shall notify the Postdoctoral Scholar of the right to grieve the action under APM - 390-40, the Postdoctoral Scholar grievance policy.

The Notice of Action may not include an action more severe than that described in the Notice of Intent.

A copy of the Notice of Action shall also be placed in the Postdoctoral Scholar's personnel file.

j. A Postdoctoral Scholar may represent himself or herself or may be represented by another person at any stage of the corrective action or dismissal process.

k. Upon written request and prior to expiration of any time limits stated in APM - 390-50, the Chancellor may grant extensions, as appropriate.

l. APM - 150 (Non-Senate Academic Appointees/Corrective Action and Dismissal) does not apply to individuals appointed in a Postdoctoral Scholar title.

390-60 **Sick Leave** (Effective January 1, 2004)

a. "Postdoctoral Scholars – Employee" are eligible for paid sick leave of up to twelve days per twelve-month appointment period.

   Unless the extramural funding agency has different sick-leave requirements, "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" are also eligible for paid sick leave of up to twelve days per twelve-month appointment period.

   Postdoctoral Scholars with appointments of less than twelve months are eligible for sick leave in proportion to the appointment period; for example, a Postdoctoral Scholar with a six-month appointment is eligible for up to six days of sick leave.

b. For "Postdoctoral Scholars – Employee," unused sick leave shall be carried forward to subsequent Postdoctoral Scholar appointments. Unless the extramural funding agency has different requirements, the unused sick leave of "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" shall be carried forward to subsequent Postdoctoral Scholar appointments.

c. Sick leave shall be used in keeping with normally approved purposes, including personal illness; medical appointments; childbearing (see APM - 715 and 760); disability; and medical appointments of, illness of, or bereavement for a Postdoctoral Scholar's child, parent, spouse, domestic partner, sibling, grandparent or grandchild.

d. Sick leave shall be recorded in one-day increments when it is used.

e. APM - 710 (Leaves of Absence/Sick Leave) does not apply to individuals appointed in a Postdoctoral Scholar title.

390-61 **Time Off** (Effective January 1, 2004)

Postdoctoral Scholars do not accrue vacation. "Postdoctoral Scholars – Employee" are expected to take time off each academic year in the intersession and recess periods (which constitutes about four weeks, excluding University holidays) between the beginning of Fall Term and the end of Spring Term. If, however, the Postdoctoral Scholar's training and research program involves work during these periods, it is expected that the mentor will approve equivalent time off at another mutually agreeable time. Unless the extramural funding agency contains provisions to the contrary, "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" are eligible to take time off under these same conditions. Postdoctoral Scholars will remain on pay status during intersession and recess periods or their alternatives.

390-62 **Childbearing, Parental, and Family and Medical Leave**

a. Postdoctoral Scholars are eligible for childbearing leave, parental leave, and active service-modified duties as provided in APM - 760 and for family and medical leave as provided in APM - 715.

b. Campuses may provide additional benefits that supplement or enhance the benefits specified in APM - 760 or APM - 715.

c. Childbearing, parental, and family and medical leave policies for "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" are subject to the requirements of the Postdoctoral Scholar's extramural funding agency.

390-63 **Holidays**

Official holidays for Postdoctoral Scholars are those administrative holidays published in the University Calendar.

390-64 **Military Leave**

Military leave for Postdoctoral Scholars is governed by APM - 751 (Leaves of Absence/Military Leave).

390-65 **Jury Leave**

A Postdoctoral Scholar shall be eligible for a jury duty leave. Verification of service on jury duty shall be provided by the Postdoctoral Scholar to the University upon request. Pay for jury duty will not continue beyond the end date of the Postdoctoral Scholar's appointment.

390-75 **University of California Retirement Plan Membership**

"Postdoctoral Scholars – Employee" contribute to the University of California Defined Contribution Plan as Safe Harbor participants and are not eligible for the University of California Retirement Plan. "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" are not eligible for either plan.

390-76 **Benefit Plans**

All Postdoctoral Scholars are eligible for designated health-care and other benefit plans.

390-80 **Procedures**

Campuses shall establish local procedures to implement APM - 390.

APM - 390 (Postdoctoral Scholars)
Transition Guidelines

1. **Effective Dates:** The new Postdoctoral Scholar policy will be implemented in two stages:

   The new APM - 390, with the exception of the time off and sick leave provisions (and others noted in Sections 3 and 4 below), is effective July 1, 2003, and will apply to all current and new Postdoctoral Scholars.

   The new APM - 390 time off and sick leave provisions and the new Postdoctoral Scholar benefit plans will be effective January 1, 2005, except for Postdoctoral Scholars at the UCSF campus. UCSF plans to implement the time off, sick leave, and benefit plans on July 1, 2005.

2. **Salary/Stipend:**

   a. For new appointments and reappointments made on or after July 1, 2003, the minimum of the Postdoctoral Scholar salary/stipend range is as follows:

      - 2003-04: $29,000
      - 2004-05: $30,000
      - 2005-06: Step I of the non-student PGR scale, currently $31,044;

      Campuses may establish higher minimums.

   b. Commitments made prior to July 1, 2003, for appointments at less than these amounts may be honored; however, it is recommended that, where appropriate funding is available, the salary/stipend of current Postdoctoral Scholars be raised to the above amounts.

   c. The maximum of the Postdoctoral Scholars salary/stipend range is $75,324, which will be range-adjusted in subsequent years to the same extent as for other non-exclusively represented, non-Senate academic appointees.

   d. Campuses have the option to establish steps within the range for "Postdoctoral Scholar – Employee" appointments.

3. **New Title Codes:** The following three new postdoctoral title codes have been established:

3252 Postdoctoral Scholar – Employee	effective January 1, 2005 (planned for July 1, 2005, at UCSF)
3253 Postdoctoral Scholar – Fellow	effective July 1, 2003
3254 Postdoctoral Scholar – Paid Direct	effective July 1, 2003

Postdoctoral Scholar Employee Appointments – New Postdoctoral Scholar employee appointments beginning on or after January 1, 2005, are to be made in title code 3252 ("Postdoctoral Scholar – Employee"). In addition, Postdoctoral Scholar employees in Title Code 3370 with appointment begin dates prior to January 1, 2005, who in Fall 2004 choose to enroll in the new Postdoctoral Scholar benefit plans and to be subject to the new APM - 390 sick leave and time off provisions, are to be moved to title code 3252 ("Postdoctoral Scholar – Employee") with a begin date of January 1, 2005 (see Section 8 below).

No appointments to Title Code 3252 may be recorded in the Payroll/Personnel System (PPS) if the begin date is prior to January 1, 2005. Postdoctoral Scholar employees with appointments between July 1, 2003 and December 31, 2004, should continue to be appointed in either title code 3240 or 3370 (see Section 6 below).

Postdoctoral Scholar Fellow and Paid Direct Appointments – Campuses may implement the "Postdoctoral Scholar – Fellow" (3253) and the "Postdoctoral Scholar – Paid Direct" (3254) titles and title codes at any time between July 1, 2003, and January 1, 2005. "Postdoctoral Scholar – Paid Direct" (3254) appointments are to be shown in non-salaried status. At campuses not paying postdoctoral fellowship stipends through PPS, "Postdoctoral Scholar – Fellow" appointments should also be shown in non-salaried status.

For purposes of on-line PPS actions, all title codes are available as of June 1, 2003.

4. **Grandfathering of Current Postdoctoral Scholars:** All Postdoctoral Scholars with appointments beginning before July 1, 2003, are subject to the new policy with the exception of the sick leave provision (APM - 390-60), the time off provision (APM -390-61), the minimum salary/stipend provision as described in Section 2 above, and the requirement of 100 percent time appointments (APM - 390-19). It is recommended that, where appropriate funding is available, the percent time of postdoctoral employees with current appointments at less than 100 percent time be raised to 100 percent time and the salaries/stipends of current Postdoctoral Scholars with salaries/stipends less than the minimum ($29,000 in 2003-04) be raised to the minimum.

5. **Phase-Out of Postgraduate Research and Visiting Postdoctoral Scholar Titles:** Starting January 1, 2004, the University will begin phasing out the use of title codes 3240 and 3370 (see section 9). Only those Postdoctoral Scholars who were appointed in these title codes prior to January 1, 2005, may continue, and be reappointed, in these title codes. New Postdoctoral Scholar employees must be appointed in title code 3252 ("Postdoctoral Scholar – Employee") starting January 1, 2005.

   Title codes 3240 (Postgraduate Research _____ Non-Student - Fiscal Year) and 3370 (Visiting _____ - Postdoc), as well as APM - 350 (Postgraduate Research), will be retired January 1, 2010.

6. **Appointments During the Period July 1, 2003, Through December 31, 2004**:

   The following will apply to Postdoctoral Scholar employees:

   - New appointments and reappointments will continue to be made in title code 3240 (Postgraduate Research _____ Non-Student - Fiscal Year) or title code 3370 (Visiting _____ - Postdoc).
   - Vacation leave will accrue at 16 hours per month as set forth in APM - 730.
   - Sick leave will accrue at 8 hours per month as set forth in APM - 710.
   - Benefit eligibility in the UC employee plans will continue.
   - All other provisions of APM - 390 will apply except as stated in Section 4 above.

   The following will apply to Postdoctoral Scholar non-employees (i.e., "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct"):

   - Appointments will be entered into the Payroll/Personnel System in title codes 3253 or 3254 beginning July 1, 2003.
   - Eligibility for vacation and sick leave will continue in accordance with the provisions of the extramural funding agency.
   - Benefits eligibility will continue in campus postdoctoral health-care plans if offered by the campus.
   - All other provisions of APM - 390 will apply.

7. **New Postdoctoral Scholar Benefit Plans:** Transition guidelines for the new Postdoctoral Scholar benefit plans effective January 1, 2005, will be issued in Fall 2004.

8. **Postdoctoral Employee Choice:** At campuses participating in the new Postdoctoral Scholar benefit plans as of January 1, 2005, Postdoctoral Scholar employees in title code 3370 will be asked in Fall 2004 to select one of the following two options:

   - To move to the new title code 3252 as of January 1, 2005, which means being subject to the sick leave and time off provisions of APM - 390 and eligible to enroll in the new Universitywide Postdoctoral Scholar benefit plans; or

   - To continue in title code 3370, thereby retaining enrollment in their current employee benefit plans, current vacation accrual rates, and current sick leave accrual rates until the end of their postdoctoral appointment at the University.

   All Postdoctoral Scholars now assigned to title code 3240 will remain in that title code until the end of their appointment. A change from title code 3240 to title code 3252 must be preceded by an appropriate break in service from the University.

   Postdoctoral Scholar employees who continue in title codes 3240 or 3370 will be subject to all provisions of APM - 390 except for Sections 390-60 (Sick Leave), 390-61 (Time Off), and Section 390-76 (Benefit Plans). Regarding the exceptions, other appropriate provisions of the Academic Personnel Manual will apply.

   "Postdoctoral Scholars – Fellow" and "Postdoctoral Scholars – Paid Direct" will not have a choice to move to another title code; as of January 1, 2005 (planned for July 1, 2005, at UCSF), they will be eligible only for the new Postdoctoral Scholar benefit plans.

9. **Postgraduate Research Appointees Who Are Not Postdoctoral Scholars:** No new appointments or reappointments of individuals who are not Postdoctoral Scholars may be made in titles codes 3240 (Postgraduate Research _____ Non-Student - Fiscal Year) or 3370 (Visiting _____ - Postdoc) after January 1, 2004. Current appointees in either of these title codes who are not Postdoctoral Scholars need to be moved to a different title code no later than July 1, 2006. Individuals who are not Postdoctoral Scholars are to be appointed in titles that are appropriate to their job responsibilities – including, but not limited to, academic titles such as Junior Specialist, Assistant Specialist, or Assistant Project Scientist; or staff titles such as Staff Research Associate.

410-4 **Definitions**

a. **Teaching Assistant**

A Teaching Assistant is a registered graduate student in full-time residence, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the active tutelage and supervision of a regular faculty member.

b. **Teaching Fellow**

A Teaching Fellow is a registered graduate student in full-time residence who has advanced to candidacy for the doctorate, or otherwise has achieved appropriate professional maturity, and who has been chosen because of competence to conduct the entire instruction of a group of students in a lower division course under the general supervision of a regular faculty member.

410-10 **Criteria**

Basic criteria to be considered in the appointment of teaching assistants and teaching fellows are embodied in the definitions of these titles in APM - 410-4 above. A national, or even world-wide search should be made to obtain the best candidates; and full regard should be given to the potential abilities of the candidates to move forward into careers of scholarship at a high level of performance.

In addition to the requirement that an appointee to the title of Teaching Assistant or Teaching Fellow be a registered graduate student in full-time residence, each proposed appointment or reappointment is subject to certification by the Dean of the Graduate Division that the following conditions have been met:

a. **Teaching Assistant**

(1) Maintenance of a qualifying grade-point average (as established by the Chancellor) in previous academic work. After a year or more of graduate work, the graduate record will be substituted for the candidate's undergraduate record in appraising scholarly performance.

(2) Current enrollment in an adequate program of graduate study.

b. **Teaching Fellow**

(1) Advancement to candidacy for the doctorate, and

(2) At least two years of teaching experience (including that of a teaching assistantship) in or outside the University.

(3) If the appointment is to a teaching fellowship in a professional school, the following conditions may be substituted for those stated in (1) and (2) above:

(a) A Master's degree in the field offered by the professional school, and

(b) At least two years of teaching or appropriate professional experience, and

(c) Maintenance of a grade-point average as established by the Chancellors.

410-12 **Exceptions**

Appointment to the title of Teaching Assistant or Teaching Fellow in exception to the conditions in APM - 410-10-a and -b above may be made only by special approval of the individual case by the Chancellor, upon recommendation of the department chair and the dean of the school or college.

410-17 **Term of Appointments**

a. A student teacher appointment is for one academic year or less, and is self-terminating unless the appointee is otherwise notified. Notice to this effect is to be given on the employment form.

b. Appointment to the title of Teaching Assistant or Teaching Fellow may not exceed half-time, nor may such appointment in combination with other employment within the University exceed half-time. (Those employed half-time should be expected to devote, during instructional and examination periods, sixteen to twenty hours per week to such work including time spent in preparation, classroom and laboratory teaching, office consultation, and reading student papers.) Exception to this rule may be made only by special

approval of the individual case by the Chancellor, upon recommendation of the department chair and the dean of the school or college.

c. The total length of service rendered in any one or any combination of the following titles may not exceed four years: Reader on annual stipend, Teaching Assistant, Teaching Fellow, and/or Associate. Under special circumstances, the Chancellor, upon recommendation of the department chair and the dean of the school or college, may authorize a longer period, but in no case for more than six years.

410-18 **Salary**

Authorized salary scales established for these titles are issued by the Office of the President.

410-20 **Conditions of Employment**

a. **Teaching Assistant**

A Teaching Assistant is not responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students. Neither is the Teaching Assistant to be assigned responsibility for instructing the entire enrollment of a course or for providing the entire instruction of a group of students enrolled in a course. The Teaching Assistant is responsible only for the conduct of recitation, laboratory, or quiz sections under the active direction and supervision of a regular member of the faculty to whom responsibility for the course's entire instruction, including the performance of Teaching Assistants, has been assigned.

b. **Teaching Fellow**

Subject to the general supervision of a faculty member designated in catalogues and published schedules as "in charge" of the course, a Teaching Fellow should be competent to provide the entire instruction of a lower division course to a group of students, and normally should be given such assignments. Assignment to conduct instruction in an upper division or graduate course or course section may not be made except with the approval of the Committee on Courses of Instruction (Regulations of the Academic Senate, 750).

c. **Teaching Assistant or Teaching Fellow**

Upon individual application, the non-resident tuition fee may be waived by the Dean of the Graduate Division for graduate students appointed to Teaching Assistantships, Teaching Fellowships and University Fellowships under the jurisdiction of the Graduate Council that are paid from intramural funds.

d. For provisions governing removal expense allowances of student teachers, see APM - 561.

e. For provisions governing sabbatical leave credit for student teachers, see APM - 740-11-e, -h, and -i.

410-24 **Authority**

a. Upon certification of satisfaction of the conditions stated in APM - 410-10 above by the Dean of the Graduate Division, the department chair, acting upon nominations made by department members, is authorized to appoint teaching assistants and teaching fellows.

b. The Chancellor, acting upon the recommendations of the department chair and endorsement of the dean of the school or college, is authorized to approve appointments of Teaching Assistants and Teaching Fellows involving those exceptions stated in APM - 410-12 and 410-17 above.

410-25 **Supervision and Review**

a. The selection, supervision and training of all student teachers is an important responsibility of the teaching department, and in particular of the department chair. All candidates for appointment and reappointment should be subjected to careful review and recommendation, either by the department as a whole or by a responsible committee.

b. In order to ascertain the quality of the student teacher's work and to make improvements when necessary, the faculty member who is responsible for the instruction of each course in which sections are assigned to student teachers should periodically visit the recitation and laboratory sections of the course.

Office of the President
April 13, 1966

CHANCELLORS:

Re: **Employment of Teaching Assistants and Research Assistants**

The Administrative Manual (Section 68-17)* states:

> "Appointment to the title of teaching assistant or teaching fellow may not exceed half-time, nor may such appointment in combination with other employment within the University exceed half-time . . . Exception to this rule may be made only by special approval of the individual case by the Chief Campus Officer, upon recommendation of the department chairman and the dean of the school or college."

"Other employment within the University" as used in the above phrase includes employment in any academic or non-academic capacity by University Extension, by the Lawrence Radiation Laboratory, and on extramurally financed projects administered by the University.

The same rule and the same procedure for granting exceptions apply to research assistants as to teaching assistants during a period in which they are counted as full-time students.

You are also reminded of Vice President Hitch's memorandum of September 27, 1965:

> "Students employed at the University for more than 50% time cannot be counted as full-time students."

Clark Kerr

cc: Vice President Hitch
Dean Sheats
Dean Hoos
Director McMillan

*Now APM - 410-17

Office of the Vice President
June 30, 1966

CHANCELLORS:

Re: **Employment of Teaching Assistants and Research Assistants**

The following questions have been raised by the Chancellor of one campus, and we believe that you may be interested in our reply to them:

1. "May students be employed as Teaching Assistants and/or Research Assistants (or in any combination of these and other academic or nonacademic titles) for more than 50% for periods when they are not actually registered as students?"

   They may not be employed as Teaching Assistants when they are not registered students; they may be employed more than 50% time as Research Assistants or as nonacademic employees during the summer.

2. "May students be employed for more than 50% of full time for inter-quarter periods?"

   Students may be employed as Research Assistants (or in a nonacademic position) during an inter-quarter period for more than 50%.

3. "May students be similarly employed during other periods of 'academic recess'?"

   It is our understanding that under the Quarter calendar there will be no periods of academic recess. (The Christmas and Master recesses will fall between Quarters.) In this regard, however, students should not be permitted to work in excess of 50% time in any month which includes an academic and administrative holiday (Thanksgiving, Memorial Day, etc.).

4. "What combination of academic and nonacademic employment during a regular quarter in excess of 50 percent time will serve to discount a full quarter's enrollment as a student?"

Employment of a student above 50% time in any one month that falls entirely within a regular quarter will result in a loss of the 100% student status. For example, a 50% Teaching Assistant who accepts employment as a Laboratory Helper for a few hours in October will lose the 100% student status. The 50% Teaching Assistant who is employed full time as a Laboratory Helper from December 18, 1966 to January 2, 1967 may retain the 100% student status.

These questions have been discussed with members of Vice President Hitch's staff, and they concur with the above interpretations.

H. R. Wellman

cc: Vice President Taylor
University Dean Hoos
Mr. Keller
Mr. Johnson

bcc: Academic Personnel

Copies sent to all Chancellors except Los Angeles.

415-10 **Qualifications**

The qualifications and description of duties of the Language Assistant title appear in the attached memorandum of September 25, 1967.

Office of the Vice President—Academic Affairs
September 25, 1967

Establishment of "Language Assistant" Title

CHANCELLORS:

We have recently approved the establishment of the academic title "Language Assistant" (Title Code 2340). The following description and conditions of employment apply to this title:

> Minimum qualifications are: Native or quasi-native speaking ability in the language for which employed, and sufficient formal education in that language to ensure that the Language Assistant speaks a variety of that language acceptable as a good model for student imitation. This degree of language proficiency is equivalent to at least that expected of students in this country with a master's degree in the language; European graduates of gymnasia and Latin American graduates of high schools generally have the requisite proficiency in the language.
>
> Nature of duties and conditions of employment are: The Language Assistant prepares teaching materials and conducts special conversational classes entirely in the language for which employed, under the active direction and supervision of a regular member of the faculty to whom final responsibility for the course's entire instruction has been assigned. The Language Assistant works during the academic quarter (including registration and examination weeks) at no more than half time.

The terms of appointment, salary schedules and authority to appoint Language Assistants are the same as those for Teaching Assistants.

As you know, there currently is a non-academic class of Language Assistant (Title Code 6650) which may include people on your campus who should be transferred to the new academic category. The University-wide Office of Personnel and Retirement Systems has advised us that they will change this title to accommodate those who do not belong in the new academic classification.

You may transfer individuals on your campus to this new category, provided they meet the qualifications of the Language Assistant as described above, and are paid from academic funds. Please consult with your Personnel Manager regarding the appropriate title for those individuals who should remain in a non-academic classification and who do not meet the above qualifications.

The above policy concerning the Language Assistant title will be issued as an addition to the Administration Manual in the near future.

Angus E. Taylor

cc: Mr. Allmand

420-4 **Definition**

The title Reader is given to a student employed for the ability to render diverse services as a "course assistant," which will normally include the grading of student papers and examinations. A Reader will not be given the responsibilities customarily accorded a Teaching Assistant.

420-10 **Criteria for Appointment**

a. Readers will usually be graduate students; but qualified undergraduate students may be so employed, especially when graduate students are not available. Professional readers, not enrolled as students, may be employed to meet special needs, but only on an hourly basis.

b. Readers should have maintained at least a 3.0 grade-point average in their previous academic work, and should have taken and received at least a "B" grade in the course or equivalent in which they are serving.

For students who have completed at least one full year of graduate work, the record of the year just past will be substituted for the undergraduate record. The appointing department will have the responsibility of ascertaining that these standards are maintained.

420-17 **Term of Appointment**

a. In those cases in which a Reader is appointed for one academic year or less and paid on the basis of an annual stipend, the appointment is self-terminating unless the appointee is otherwise notified. Notice to this effect should be given on the employment form.

b. The total length of service rendered in any one or any combination of the following titles may not exceed four years: Reader on annual stipend, Teaching Assistant, Teaching Fellow, and/or Associate. Under special circumstances, the Chancellor, upon recommendation of the department chairperson and the dean of the school or college, may authorize a longer period, but in no case for more than six years.

c. The appointment of a Reader who is a registered student may not exceed half-time, nor may such appointment in combination with other employment in the University exceed half-time. Exception to this rule may be made by special approval of the individual case by the Chancellor, upon recommendation of the department chairperson and the Dean of the school or college.

420-18 **Salary**

Readers will be paid on the basis of either an hourly rate or an annual stipend. The annual stipend will be an academic-year half-time rate, and will be paid in ten equal monthly installments. Two levels will be established for both rates; the first level will be used for undergraduate students appointed as Readers, the second level for graduate students.

420-20 **Conditions of Employment**

a. Service as a Reader is not credited toward sabbatical leave. Prior service in a rank which carries credit toward sabbatical leave is considered to have been interrupted by appointment as a Reader, and any accumulated credit of time thereby nullified.

b. Readers, whether on hourly or annual appointment, will not be eligible for reimbursement of travel or removal expenses.

c. Readers enrolled as students are excluded from the Retirement System. Others are included in the University of California Retirement System if they average half-time service or more in any continuous twelve-month period.

420-21 **Class Size**

While there is no specific limit to the size of classes for which Readers may be appointed, it is expected that the staff member giving the instruction will normally perform the reading without appointed Readers in a class of 30 students or less.

420-24 **Authority to Appoint**

Subject to the provisions of this policy statement, the department chair has authority to appoint and reappoint Readers.