

**COMMITTEE ON RESEARCH (COR)****Monday, October 28, 2013****11:00 am – 12:30 pm****KL 324**

Documents found at [UCMCROPS/COR1314/Resources](#) and  
[UCMCROPS/LibraryW.Group1314/Resources](#)

**AGENDA**

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- I. Chair's Report – *Ruth Mostern***  
A. Update from UCORP meeting on October 14
- II. Consent Calendar**  
A. Approval of the agenda  
B. Approval of the October 9 meeting minutes **Pg. 3**
- III. Senate-Administration Library Working Group **Pg. 8****  
The LWG met on October 8. Co-Chairs sent a memo to members requesting that they obtain feedback from their various constituencies regarding the Library's external review report and the list of five questions listed in the LWG's charge.
- IV. ORU Policy – *Roummel Marcia* **Pg. 29****  
Vice Chair Roummel Marcia will lead the ORU policy discussion and provide detailed edits to UCM's current draft policy. COR's goal is to provide a revised policy to present to Senate committees, Division Council, and VCR Traina by the end of fall semester 2013.
- V. Systemwide Review Items **Pg. 36****  
A. CITRIS Final Review  
CITRIS was reviewed by the campuses and UCOP in 2010. Former UCM Chancellor Steve Kang submitted comments on behalf of UCM in March 2011. However, Academic Council has recently discovered it did not opine on this item. It is now re-opening the review period for the ten campuses. Deadline for comments is Friday, November 8. *All relevant documents are posted on UCMCROPS/COR1314/Resources/Review Items – Systemwide*

- B. APM 600 **Pg. 46**  
 This is the final review of this APM section (was originally reviewed in spring). CAP is the primary reviewer, but all Senate committees are invited to comment. *All relevant documents are posted on UCMCROPS/COR1314 Resources/Review Items – Systemwide.*  
**Action requested:** COR members to review and send any comments to committee analyst who will transmit them to the Senate Chair by the deadline of November 12.
- C. Senate Bylaw 55 **Pg. 127**  
 CAP, FWDAF, and CRE are the lead reviewers, but all Senate committees are invited to comment. *Relevant information is posted on UCMCROPS/COR1314 Resources/Review Items – Systemwide.*  
**Action requested:** COR members to review and send any comments to committee analyst who will transmit them to the Senate Chair by the deadline of January 6, 2014.
- VI. Conflict of Interest Statement** **Pg. 138**  
 In spring 2013, CRE chair Rick Dale recommended that Senate standing committees establish brief conflict of interest policies based on those at UC Riverside.  
**Action requested:** COR members to review the UC Riverside COR conflict of interest statement and draft a similar statement. All conflict of interest statements will be posted on the UC Merced Senate website.
- VII. Other Business**

**Next meeting is on Wednesday, November 6.** Committee member Noelle will present comments on the current criteria for the faculty research/travel/shared equipment grants. Research Development Services Director Susan Carter will provide an overview of her function and services.

**Ongoing Business**

Lab Safety – *Jason Hein*

ORU Policy – *Roummel Marcia*

Faculty Research/Travel/Shared Equipment Grants – *David Noelle*

Indirect Cost Return – *YangQuan Chen*

**Committee on Research (COR)**  
**Minutes of Meeting**  
**October 9, 2013**

Pursuant to call, the Committee on Research met at 10:00 am on October 9, 2013, in Room 232 of the Kolligian Library, Chair Ruth Mostern presiding.

I. Chair's Report

Chair Mostern updated COR members on the following topics:

--New UC President Janet Napolitano visited UC Merced on Thursday, October 3 and held a working lunch with a group of faculty representing all three Schools. VCR Traina mentioned that during the President's visit with the campus Vice Chancellors, she announced her backing of Project 2020 and expressed her willingness to sign the new campus MOU between UC Merced and UCOP.

--On October 8, the Division Council discussed the new MOU. Division Council members provided input and will address the MOU at the next meeting. Division Council also discussed the various graduate group proposals that were submitted to CCGA. There is concern over CCGA's delay in approving the proposals which impedes our graduate groups' ability to recruit students.

--At the first meeting of the Senate-Administration Library Working Group on October 8, which COR Chair Mostern co-chairs with Interim Head Librarian Donald Barclay, the group discussed its function: as campus stakeholders in the Library, the working group will review the Library's internal strategic materials and external review report and provide a report to the Senate and Administration by the end of the AY 13-14. The report will include recommendations on how a long term consultative structure should be implemented. Chair Mostern will provide COR with updates throughout the year. As the working group is UC Merced's first library consultation committee, the group's recommendations are important to the campus's future development in this area.

## II. Consent Calendar

Today's agenda and the September 25 meeting minutes were approved as presented.

## III. Limited Submission Grant Proposal

The Office of Research emailed the Deans information about a limited submission opportunity. Faculty were asked to send their applications to their Deans by October 23; the Deans will then nominate certain proposals to go forward to Research Development Services by October 30. The NSF Major Research Instrumentation Program is a limited submission program whereby only three proposals per institution can move forward with submitting an application. If three proposals are submitted, at least one of the proposals must be for instrument development (i.e., no more than two proposals may be for instrument acquisition.) Please note that cost sharing at the level of 30% of the total project cost is required. The source of the cost-share will need to be identified at the pre-proposal stage. More information about the program and the solicitation for proposals can be found at: [http://www.nsf.gov/funding/pgm\\_summ.jsp?pims\\_id=5260](http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=5260) Full Proposals are due Thursday, January 23, 2014.

Prior to this meeting, a faculty member asked COR to address this issue as it was unclear how faculty members are supposed to identify the source of cost sharing prior to submitting their proposals. VCR Traina mentioned that there is a process in place which was established two years ago and faculty and Deans were notified. The campus has funds for institutional cost sharing, but it was over committed. That pot of money is refilled each year. Essentially, these funds are a commitment that is to be fulfilled if a proposal is successful. If a proposal is successful, the campus will find the money to fund it.

**ACTION:** VCR Traina will ask Research Development Services Director Susan Carter to send an email reminder to faculty about this process.

#### IV. Request from UCOP – Research Impact Stories

Prior to this meeting, all campus faculty members were sent an email from the Senate asking them to provide stories of how the sequester and current government shutdown are affecting their research programs. The email included the original request from UCOP's Office of Research and Graduate Studies. Faculty members were asked to submit their stories to the dedicated email address provided by UCOP in addition to sending to [senatechair@ucmerced.edu](mailto:senatechair@ucmerced.edu). The COR analyst held a meeting with the Office of Governmental Relations and Research Development Services. The latter two units are interested in using the faculty sequester and shutdown stories in their efforts to support the campus research enterprise. In addition, Chancellor Leland is interested in having some UC Merced-specific research stories for her future advocacy efforts for the campus.

**ACTION:** COR members will submit their stories to the Senate office.

#### V. ORU Policy

Vice Chair Marcia, who was previously identified as the committee's lead on this topic, led a discussion on a potential campus Organized Research Unit (ORU) policy. Marcia reviewed the UCOP ORU policy as well as those on other campuses as posted on CROPS by the committee analyst. It is important that the Senate plays a role in commenting on the academic value of ORU proposals as well as their feasibility with the current availability of resources. The AY 2008-2009 Graduate and Research Council (GRC) formulated a draft ORU policy, but the policy did not have broader input across the campus and therefore was not implemented. COR reviewed this policy in today's discussion. In addition to formulating a policy about the establishment of ORUs, the policy should also include processes for periodic review. VCR Traina mentioned UC Davis's practice of establishing Organized Research Projects (ORP) as a temporary measure to fund a group as it is going through formal campus approval.

The committee held a discussion on the definitions and implications of ORU versus Campus Research Unit (CRU). In AY 2010-2011, the GRC formulated a one-page procedure on the review process for a CRU. This, too, was not formally implemented. COR reviewed this procedure in today's discussion.

To assist the committee in formulating a new ORU policy, Chair Mostern suggested reviewing the SpARC proposal that was submitted to GRC approximately two years ago. COR must decide what exactly to require from groups to be formally considered an ORU and develop a flowchart to illustrate what occurs in COR when it reviews the proposals (criteria for evaluation).)

COR members discussed the possibility of requiring the Deans to submit letters for support rather than playing a role in drafting the ORU proposal. Members also suggested the inclusion of wording on a funding sunset clause whereby if a group runs out of funds, it can still function as a “ghost” group. This might be more flexible than language on disestablishment.

A COR member posed the question of whether the Senate should have approval authority over groups that only intend to operate within a School. Other members pointed out that requiring Senate input on all proposals might eliminate the incentive for faculty members to attempt to establish “mini departments” that circumvent wider campus approval.

COR members agreed that the three overarching items to address in the ORU policy are: funding existing units, approving new units, and the periodic review of all units.

**ACTION:** VCR Traina will send the committee the ORP policy from UC Davis. COR analyst will distribute the SpARC proposal to the committee to assist in the formulation of an ORU policy. The October 23 COR meeting will be rescheduled. At the rescheduled meeting, the committee, led by Vice Chair Marcia, will review the draft ORU policy in detail and decide how to edit (the goal is to have a draft policy to send to VCR Traina and other Senate committees for review before finalizing a formal policy before the end of fall semester).

At the rescheduled meeting later this month, Chair Mostern will also debrief the committee on the Senate-Administration Library Working Group activities. At the November 6 meeting, COR member David Noelle will lead the discussion on the review of the faculty research/travel/shared equipment grants. Lastly, Research Development Services Director Susan Carter will be invited to the November 6 meeting to provide an overview of her office's function as it relates to the campus research mission.

There being no further business, the meeting adjourned at 11:30 am.

Attest: Ruth Mostern, Chair

Minutes prepared by: Simrin Takhar, Senate Senior Analyst

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**October 11, 2013**

**To:** Senate-Administration Library Working Group Members

**From:** Ruth Mostern, Co-Chair

A handwritten signature in blue ink, appearing to read "Ruth Mostern".

Donald Barclay, Co-Chair

A handwritten signature in blue ink, appearing to read "Donald Barclay".

**Re:** Request for Feedback from Constituents

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In our October 8 meeting of the Senate-Administration Library Working Group we discussed the need for Library stakeholders across campus to contribute ideas on how we can ensure the success of the Library as it fulfills its academic mission for students, faculty, and staff.

This memo is a formal request that you circulate the attached Library external review report and the five working group questions to your constituents and use these documents to prompt and seek feedback about the Library (ideally formal written feedback) prior to the next meeting. We urge the Working Group members who are representing school faculties to work through their respective school Executive Committees in order to elicit a breadth of responses.

We look forward to a productive conversation at the November meeting of the Senate-Administration Library Working Group.

cc: Senate Office





## Report on the External Periodic Review of the UC Merced Library University of California Merced, Merced, CA Executive Summary

### Overview

This Report on the External Periodic Review of the UC Merced Library is a result of off-site study of multiple documents, a review of the Library's electronic resources, and a one and one-half day site visit by the External Review Committee made up of two librarians, two faculty members, one graduate student, and one undergraduate student.

During the site visit, the External Review Committee interviewed many different individuals and groups on campus to gain a better understanding of the effectiveness and success of the Library. There is much to commend the Library for as a result of those conversations and the direct observations of the Committee.

The framework for this Report stems from the Association of College & Research Libraries (ACRL) *Standards for Libraries in Higher Education*.<sup>1</sup> We have used the Standards to help organize the areas of review into meaningful contexts. One of these Standards relates to Management and Budget and another relates to Personnel. This Report recommends additional staff and budget among other recommendations. We point this out here to be clear that these recommendations are not lightly made. Under other circumstances in a different institution, we would likely not be advocating for more staff and a larger budget. We do so in this Report based on what we believe is critical to the success of the University itself. The Library is crucial to UC Merced's Vision for 2025 and to many of the nearer term strategic goals of the University. To serve its key role it needs to continue to be supported.

### Strengths

The Library is, indeed, an impressive and agile organization with a profound commitment to the University itself and a sense of partnership and collaboration that is unusual in degree. During our site-visit and interviews with individuals and groups from across campus, we observed the following overarching strengths of the Library:

- An outward focused organizational culture
- An inventive, highly flexible, knowledgeable, and committed staff
- Effective stewardship and leadership
- Extraordinary collaborative spirit

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<sup>1</sup> Standards for Libraries in Higher Education. Chicago: Association of College & Research Libraries, 2011.  
<http://www.ala.org/acrl/standards/standardslibraries>

- A welcoming space and attitude

### Areas of Potential and Growth

The Library has done a magnificent job of “starting up” from scratch. In seven years, this Library has accomplished what many established university libraries have yet to accomplish – a tribute to the leadership interim University Librarian Donald Barclay (and his predecessor) provides. As with any organization, there remain areas of potential and possible growth. Among these are:

*Growing with the campus* – as the student body grows and as more programs are added, the Library must also grow to keep pace with the University and to support learning, teaching, and research. Over the next two-three years, meeting this growth will require:

- Several more positions at the professional level
- Several more positions at the library assistant level
- An increase in the Library’s operating budget to support growth of programs
- Attending to specific issues posed by the nature of the Kolligian Library Building

*Data assets* – the University appears to be serious about preserving and sharing its research data – a commendable goal. To fully embrace and accomplish this goal, however, the data curation program of the Library needs a better infrastructure than currently exists. Principal among the immediate needs are:

- An increase in network capacity with planned growth over the next three years
- An increase in storage capacity with planned growth over the next five-ten years

*Leadership and stewardship* – the Library has been led for three years by an interim Library Director. We recommend that the University move forward with appointing a permanent Library Director.

*Proven campus leadership and collaboration* – the Library’s stellar track record in working with others on campus in a highly collaborative manner is a major strength. We recommend that the Library’s leadership be included at the highest level of decision-making at the University. The Library is central to many of the institution’s strategic goals and plans and Library leaders would be useful in discussions related to those goals and plans.

We submit the following report in accordance with the University’s Periodic Review Process.

Respectfully submitted on April 25, 2013 by the External Periodic Review Committee:

Ms. Elizabeth Cowell, UC, Santa Cruz Library

Mr. Gregory Dachner, UC Merced Undergraduate Senior Student

Ms. Kathryn J. Deiss, chair, ACRL

Mr. Paul Gibbons, UC Merced Faculty

Dr. Anne Kelley, UC Merced Faculty

Ms. gayle k. yamada, UC Merced Graduate Student



## Report on the External Periodic Review of the UC Merced Library University of California Merced, Merced, CA

### *Introduction*

The University of California, Merced (UC Merced) requires all units to undertake a periodic self-review process to assess progress toward goals, adherence to mission, general unit effectiveness, alignment with University mission and goals, and impact on student learning and faculty research. An integral and required aspect of the periodic review process is the external review. The UC Merced Library is the subject of this external review report.

UC Merced appointed a team of six individuals external to the Library to conduct the external review: two UC Merced faculty members, a graduate student, an undergraduate student, an administrator from a different UC campus library, and a library consultant versed in external review processes and in the Association of College & Research Libraries (ACRL) *Standards for Libraries in Higher Education*.<sup>2</sup>

The present report provides the External Review Committee's observations on various aspects of the Library's strengths and potential and provides recommendations for further growth, development, and effectiveness. (see Appendix A for a summary of recommendations)

### *Methodology*

Members of the External Review Committee used a combination of methods to understand and review the Library in the most complete way possible. Prior to our day and a half on-site visit, interim University Librarian Donald Barclay provided a wide variety of documents relevant to the state of the Library. We studied Annual Reports, strategic plans, comparative statistics relative to other peer institutions, budget data, staffing data, reviewed the Library website and the electronic collections and resources served up to constituents from that site, and looked at the benefits resulting from participation in consortial partnerships. During the February 26-27, 2013 on-site visit, External Review Committee members interviewed administrators, Senate and non-Senate faculty, undergraduate and graduate students, librarians and staff at all levels, UC Merced IT personnel, the UC Merced Institutional Planning and Analysis representatives,

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<sup>22</sup> Standards for Libraries in Higher Education. Chicago: Association of College & Research Libraries, 2011.  
<http://www.ala.org/acrl/standards/standardslibraries>

and Center for Research on Teaching Excellence representatives. In addition, we reviewed the physical facility. This report will address the following areas based on the *ACRL Standards for Libraries in Higher Education*: Institutional Effectiveness, Educational Role, Discovery, Collections, Space, Management/Administration, Personnel, and External Relations. This report addresses each of these areas in turn beginning with the Principle of each of the Standards for context. In addition to considering effective library practices and standards, we kept in mind the unique young history, culture, and mission of the University of California, Merced.

### ***Institutional Effectiveness***

*Principle: Libraries define, develop, and measure outcomes that contribute to institutional effectiveness and apply findings for purposes of continuous improvement.*

The UC Merced Library established itself as a willing partner and collaborator with other units on campus from the very birth of the University.

The Library leadership and staff embrace the work of assessment and have been effectively establishing performance outcomes and measurements to show progress and impact. This Library's performance outcomes and transparency of process would be the envy of many a university library struggling to learn about assessment, organizational impact, and outcomes-oriented work.

The interim University Librarian and librarians have taken a pro-active, student-centered approach to setting their own strategic goals but are keenly aware of the institutional context and the opportunities to make a difference through working with other units outside the Library. Examples were brought forth by numerous groups interviewed during the external review process. These included, among many other examples, being applauded for stepping up to work with the Center for Research on Teaching Excellence (CRTE) on numerous occasions such as working on an experimental incubator classroom, collaborating with the Merritt Writing Program in teaching students and assessing student success and learning, implementing the e-Scholarship site for the Office of the Chancellor via a CDL service, playing a leadership role in helping faculty in the sciences comply with federal regulations regarding open research, and archiving the assessment work of other units on campus.

Such is the confidence in the Library's understanding of assessment that the director of Institutional Planning and Analysis expects librarians to assist in the future WASC accreditation preparation; specifically, librarians are expected to play a significant role in helping describe and design the assessment of information literacy competencies which figure largely in the revised WASC criteria.<sup>3</sup>

Aside from the work the Library does in partnership with other units on campus, the University Librarian and librarians work to understand the impact of their own teaching and research

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<sup>3</sup> Note: The *ACRL Standards for Libraries in Higher Education* used to frame this report were authored primarily by Patricia Iannuzzi, Dean of Libraries, University of Nevada Las Vegas (UNLV) on behalf of ACRL. Dean Iannuzzi is also a trainer of external reviewers for WASC on the topic of information literacy and on outcomes-based assessment.

assistance and support on those they provide these services to – students, faculty, and lecturers.

**Recommendations:** 

1. We support the Library's intention to add a staff member focused on programmatic assessment (a position that could be combined with other administrative needs of the Library as described in the Library's Strategic Agenda). Academic libraries nationwide are devoting positions and significant efforts to the work of assessment. (See also *Personnel* section below).
2. The Library should be considered when any new campus-wide initiative is being started. As a core service and demonstrated partner, the Library can help the University best if it has a seat at a high level decision-making table, such as the Chancellor's cabinet.
3. The Library should be part of discussions regarding any enterprise level technology systems that will affect services to students and faculty.

**Professional Values** 

*Principle: Libraries advance professional values of intellectual freedom, intellectual property rights and values, user privacy and confidentiality, collaboration, and user-centered service.*


Without reservation, the External Review Committee notes the strength of the Library's staff and particularly its professional staff of librarians. These individuals understand the intricacies of copyright, intellectual freedom, and user privacy. As noted above, this Library staff is extraordinarily user-focused whether serving students, Senate and non-Senate faculty, or administrators. Faculty mentioned the beneficial nature of the librarians' help when working on federal compliance regulations related to federally-funded research having to be made publicly available. The critical role of serving as the University's intellectual commons entails a deep understanding of the changing nature of scholarly communication. The External Review Committee was impressed with how much the small professional staff of the Library is accomplishing with limited resources.

**Educational Role**

*Principle: Libraries partner in the educational mission of the institution to develop and support information-literate learners who can discover, access, and use information effectively for academic success, research, and lifelong learning.*

Without professional librarians, the rich collections and resources of an academic library can be under-utilized and wasted. Over the past decade there has been a renewed realization that professional mediation between the world's burgeoning information resources and student and faculty needs is critical for academic and research success.

The interim University Librarian and the front-line librarians as well as other professional staff are actively engaged in providing information literacy services to students by collaborating with Senate and non-Senate faculty. And as described above under *Institutional Effectiveness*, the librarians are contributing to the success of learning programs in centers such as the CRTE

through teaching faculty and lecturers about open access, digital collections, trends in scholarly communication, and much more. 

Librarians have actively sought to understand the student demographics and to design services to meet the needs of this diverse student body. An innovative approach we were very impressed with is the roving peer-to-peer assistance program. This service shows a remarkable awareness of and respect for the undergraduate students as well as an awareness of the current research on student academic success and retention. It is one example among many related to innovative service design; and one that can serve as a model for other academic libraries and institutional units.

Indeed, education is at the core of the Library's mission. Because of this, the External Review Committee was surprised to find so much of this work done by so very few people. While impressive, this will not be scalable or sustainable into the future. In fact, the staffing of the Library is a concern across the board. This issue is covered in greater detail below under *Personnel*.

#### *Recommendations:*

1. Where appropriate, repurpose in-person workshops as podcasts or videos delivered through the Library's excellent website.
2. While we do not support what we understand will be proposed by several humanities/social sciences faculty members to create a bibliographer/reference librarian position, we understand that this proposal is motivated by some unmet need. In part this is related to print collection strength and in part to a perception that the librarians do not do reference work. Reference and research assistance has changed in the past decade and it is not the norm nor is it desirable to have librarians sitting at a desk waiting for someone to approach them. We support the concept of roving peer to peer assistance and librarians conducting research consultation as is currently the case. Additionally, we recommend moving the roving peer to peer service into classrooms or training graduate students to provide research assistance.
3. Continue to market instructional services to all departments; some faculty were not as aware of others about these services.
4. Design services for transfer students. We heard from faculty, staff, and students that transfer students do not have the benefit of the Library's instruction as first-year students do.

#### **Discovery**

*Principle: Libraries enable users to discover information in all formats through effective use of technology and organization of knowledge.*

No matter how rich or adequate a library's collections are, if students and faculty cannot easily access these resources (and the university's substantial investment in them) they are of marginal value. How accessible are the collections to UC Merced students and faculty?

The single most important portal for access to a library's information resources is its website. In

the digital era the website is the “face” of the library. Included in the website is the Library’s catalog of its holdings and the gateway to its services. How effective are the Library’s web pages? We discovered that faculty and students largely understand and can use the Library’s website. It is clear as well as rich in resources for students and faculty alike. Proprietary vendor names such as EBSCO still befuddle undergraduate students; however, they reported feeling comfortable approaching Library staff when unsure of a resource.

Faculty, lecturers, and graduate students spoke highly of the Library’s Interlibrary Loan services which are critical to a young and growing campus such as UC Merced’s with a purposefully smaller print collection.

The Library has been creative in helping “explain” services to users. The innovative iPod Touch Tour is an example of this creativity and user-orientation.

The Library has been effective in leading open access and digitization activities on campus. Initiatives such as the digitization grant received from the Institute of Museum and Library Services early on and the creation of open access theses and dissertations are a service to the University and to scholars beyond the University community.

There are clearly many strengths to which to point. We would like to place a special focus in this section, however, on the data assets and data curation issues we learned about during the site visit. The UC Merced Library’s current Strategic Agenda mentions the Library having a data curation clearinghouse within the next two to three years. While there is a knowledgeable librarian designated to do data curation, there is not infrastructure capacity for this individual to actually accomplish this work. We believe that data curation will be impossible without the University making a significant investment in network strength and robustness. With a 1 gigabit pipeline – as is currently the case – the Library cannot begin to do anything serious in the important area of data curation. In addition to the minimal network capacity, there is no significant data storage capacity on campus. This must also be addressed on campus as a campus-wide issue. Given its stature as the “first university of the 21<sup>st</sup> Century,” we see the clear potential for doing the work of data curation in the most professional way if only the University can provide the infrastructure. We note that even the smallest of the other UC campuses has membership in Internet 2 which allows for access to more robust network capacity. Internet 2 may not be a community that UC Merced is ready for now, but there should be conversations about this in relation to strategic directions of the University. The Library would be a central user of Internet 2 when and if UC Merced joins.

*Recommendations:*

1. The University needs to find resources to increase the network strength into and out of the Library and the University. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. However, without the network capacity this expertise is not utilized nor will data curation needs be met. A possible plan for staging this is to increase the network capacity over the course of three years: 3 gigabits in one year, 5 gigabits in the second year, and 10 gigabits in the third year. Alternatively, this growth could be planned over a greater span of years. We

recommend that planning for network enhancement be discussed with the new CIO as promptly as possible and that the interim University Librarian and Digital Curation Librarian be part of these conversations.

2. All other UC system campuses are members of the Internet 2 community. While UC Merced is young in its research program and output, membership in Internet 2 may be something for which the University will want the new CIO to begin planning. Internet 2 network capacity would greatly enhance the institution's ability to manage research data and for the Library to engage in true data curation in the future. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. We mention this with the understanding that there are significant costs, administrative issues, and complexities in planning to bring the Internet 2 network to the campus and also that this may not be an immediate need but one for which the University will need a plan.
3. Ensure robust data storage on campus. This becomes a bit less critical if the network can carry big data to off-site storage. However, the University is young and should be agile enough to create storage and network capacity to manage at least some part of its own data assets.
4. Once the new CIO is in place, there should be a rigorous discussion about where technology support and Library systems support overlap and where there needs to be consolidation and service commitment made. For instance, if the thinking is that there should be more support from campus IT – more centralization of IT support – then there need to be explicit service commitments on the part of the CIO related to this support. This has not been the case until now. Service has been weak and thus, the Library has actually built somewhat of a redundant system support of its own – often serving campus IT rather than the other way around.
5. Partner with the California Digital Library and leverage system-wide services where possible to provide more robust digital management services to the campus.

### ***Collections***

*Principle: Libraries provide access to collections sufficient in quality, depth, diversity, format, and currency to support the research and teaching missions of the institution.*

Most university libraries are increasing their investments in electronic resources and continuing to negotiate hard for reasonable license terms on those resources. Print resources continue to be necessary for a variety of disciplines. This is the case at UC Merced as well. The Library has invested intelligently and extensively in digital resources while maintaining a smaller print collection.

UC Merced's Library has made good decisions regarding the electronic collections, including purchasing all periodicals in electronic format from the beginning of the institution's founding. Though it must be pointed out that while some of these resources are purchased through the University of California or other joint purchasing entity, UC Merced pays for its share. The misconception that we often find on campuses is that electronic means free and that could not



be further from the truth. The Library will continue to need funds allocated to electronic collection building.

While electronic resources appear to be serving the sciences, there were definite concerns about the collection in the area of the humanities and social sciences. While the Library cannot reasonably support every discipline in complete depth, there appears to be a need for a stronger print collection for the humanities and social sciences. A proactive stance on this is critical to avoid having the Library respond to outmoded ways of thinking about what libraries are and what librarians do.

We heard from different constituents that the print collections are not adequate for the current curriculum needs. The allocation for print materials should be increased to accommodate the growing student body. Assignments have required that students use print materials and these must be adequate in number, subject, and level to serve student needs appropriately.

The topic of text books and the possibility of putting costly text books on print reserve came up when we spoke with undergraduate students and faculty. While not a standard operating procedure for many libraries including UC Merced's, this appears to be a deep need in the UC Merced student population, so it may be worth considering.

#### *Recommendations*

1. Develop a "library impact statement" that details the core disciplinary needs in terms of the literature/resources needed for every new academic program and ladder-rank faculty hire. This should be completed by the division or department beginning the new program and should be vetted by the chief academic officer with the University Librarian and the Head of Collection Services.
2. Related to the first recommendation, we recommend that, for each new academic program, there be "start-up" funds for library materials/resources.
3. Use the *Resources for College Libraries*<sup>4</sup> tool to assess print collection strength in humanities and social sciences.
4. Consider a small print reserves service. The purpose and need is two-fold: faculty indicated that, on occasion, having a print format of a particular resource is important (as opposed to a digital source) and that it would be very useful to their teaching if they could offer students print Supplemental Course Resources in addition to the digital SCR in the CROPS system. The second reason for this recommendation is that both faculty and students agreed that a small textbook collection in the Supplemental Course Materials would be optimal. The textbook cost issue is a significant one for the student demographic served by UC Merced. While we understand the forward thinking nature of the Library's original decision to have a digital reserves system only, we feel this recommendation deserves some consideration. We are also aware of the current policy

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<sup>4</sup> *Resources for College Libraries* is a collection development tool created by ACRL Choice and R.R Bowker. This resource provides bibliographic information for core print and electronic collections in all disciplines. See: <http://www.bowker.com/en-US/products/rcl/>

regarding not purchasing textbooks but think this is very important to revisit and consider.

5. Have the faculty scan their Supplemental Course Resources content directly into the UCMCROPS system thereby releasing valuable staff time which could be reallocated to a more pressing area of library services.

### **Space**

*Principle: Libraries are the intellectual commons where users interact with ideas in both physical and virtual environments to expand learning and facilitate the creation of new knowledge.*

The academic library's physical space remains important in spite of the intensive use of electronic resources. In fact, most premier academic libraries in the United States and Canada are spending more time and energy studying and redesigning their physical spaces to reflect modern-day study and research practices and behaviors.

Over the past decade, many academic libraries have experienced a decline in the number of students and faculty using the physical library. In many others, however, the number of users has gone up. Often the difference is the design and appeal of the physical space. The UC Merced Library building sees a significant amount of daily and evening traffic.

The Kolligian Library Building is a new and very attractive building with much natural light and what would appear to be a good deal of user and collection space – though there is more need than capacity for users. The strengths of this library space are that it is open and generous in spirit, user technology needs are well forecasted (although there is room for growth in that area), and there is adequate space for the present print collections.

The need for a quiet study area was expressed by all constituencies with which the External Review Committee spoke. The architecture of the library that is responsible for a modern, open feeling is also the reason for a very high noise level. Building materials such as concrete and glass bounce noise up the open stairwell. While there are some quiet spaces, students felt there simply are not enough places to get away from noise.

Crucially, the Library is also reaching capacity limits as the student enrollment trajectory rises dramatically. The Library building is at 85-90% capacity during finals, and this is only going to become more difficult as the student population grows towards the 2020 goal of 10,000 enrolled students. There is a concomitant problem in sustaining this growth on the wireless network. A strong look at the building and student behaviors and use of the space is necessary. These are problems that cannot entirely be resolved by asking the Library staff to be creative. More people in a space simply equals more people needing more space. The problems of seating space, quiet space, and a robust enough wireless network are the main issues that need to be addressed.

### *Recommendations*

1. Reclaim Library space currently being used by other offices and functions or begin planning for expansion of the Library to accommodate the growth of student and faculty

populations. While we realize that there are other building priorities currently, planning for a new wing or expansion of the Library will take time. We see this planning as taking place over the next five to ten years.

2. Establish a quiet study space or spaces elsewhere on campus. This quiet study space should be accessible during the non-operational hours of the Library. We envision this study space to be operated by the UC Merced Library, and with minimal-level resources there, including computers with all library electronic resources and potentially with some part-time reference and research assistance.
3. Conduct a seating analysis and planning assessment to begin to creatively address the seating limitation problem. While an additional quiet study space may be useful in this regard, even that may not sustain needs in the coming decade given campus growth.
4. Add textile sound-deadening art to walls; such hangings may help stop sound bouncing to some degree. One relatively simple and inexpensive aid could be the stapling or gluing of carpet remnants to the bottoms of chairs and tables and stairs. These carpet samples or remnants are relatively economical. While this does meddle with the integrity of the original furniture, it has been shown to help in other buildings with high traffic and noise levels.
5. Establish a stronger network and wireless network in the building. (see also *Discovery* above)
6. There appears to be an intermittent issue related to the remotely controlled door locks and lights in the Library building. Due to radically different needs and hours from other parts of the campus, the Library should be given control of its door locks and lighting.

### ***Management/Administration***

*Principle: Libraries engage in continuous planning and assessment to inform resource allocation and to meet their mission effectively and efficiently.*

The Library currently does not have a permanent University Librarian. Donald Barclay has been serving as interim University Librarian for two years. While we and those whom we interviewed believe his leadership to be excellent and admirable, it is difficult for an interim University Librarian to fully advocate for the Library with less than complete authority and commitment from the institution. The interim position also interferes with establishing a very strong advocate role external to the Library (both on campus and within the UC system and beyond). Not having a permanent University Librarian may also interfere with the successful application for grants. Many granting institutions want to see commitment from the institution and a permanent University Librarian would show this.

In spite of this, the interim University Librarian and staff are laudably conducting outcomes based assessment insofar as is possible to do given the small and thinly spread staff (see Personnel below).

### ***Budget***

We highlight the Library budget under *Management/Administration* because of what we perceive to be a very serious – we would even say the most significant – problem facing the Library today: a drastically inadequate budget for current operations, demands, and growth.

This problem is going to become even more severe and could well hamper the institutional aspirations to grow its research and graduate programs at the same time as it grows, exponentially, its undergraduate population. The Library budget is, in 2013, almost precisely as it was at the beginning of its existence seven years ago. While it is understood that the University of California system at large as well as California itself have suffered extreme fiscal distress, it is thoroughly unrealistic to demand increased services, programmatic innovation, support for research, growth of information resources, development of a robust data curation program, and higher graduation levels for undergraduates with a flat Library budget. The growth of the student body in the past six years alone is daunting when one considers that each of those undergraduate and graduate students require assistance, instruction, and resources from the Library. In addition, there is the problem of the afore-mentioned collection support for new academic programs and faculty.

The Library funding issue is a University issue, not simply a Library issue. To reach the institutional goal of 10,000 enrolled students by 2020 and to successfully pursue a research intensive ranking, the Library budget must be enhanced significantly. Recurring funding for several badly needed positions and for collections and user space is crucial.

#### *Recommendations:*

1. Move forward to appoint a permanent University Librarian.
2. Increase the Library budget relative to student growth and strategic goals of UC Merced.
3. Establish a Library Advisory Committee, composed of administrators, faculty, staff, and students, that can advocate for the Library; this Committee could even be charged with creating external fund development strategies.

#### ***Personnel***

*Principle: Libraries provide sufficient number and quality of personnel to ensure excellence and to function successfully in an environment of continuous change.*

As noted throughout this report, the Library is accomplishing remarkable things with a very small staff. The number of instruction sessions, the variety of innovative programs, the strong outreach and collaborative efforts with other units on campus, all take personnel resources. Staff members described themselves as empowered to create and innovate, and to be nimble in the face of change. This empowered staff is a significant strength of the Library and of the University, and every effort should be made to ensure that they are recognized and given opportunities for growth

The current staff is working hard – perhaps over-working to the point of burn-out – because individually and collectively they are committed to the ideals of the UC Merced campus. Admirable though this may be, continuing demands with little influx of resources will affect the Library's ability to continue to innovate and create at the level desired by all Library staff members as well as by the University administration.

One of the laudable hallmarks of the Library is its very lean and nimble structure and staffing. The External Review Committee wishes to emphasize that, in its opinion, there are limits that

even the most innovative staff members reach when faced with a campus growing by leaps and bounds.

*Recommendations:*

1. Add a minimum of two professional positions to the staff: one of these positions needs to be allocated to outreach and student engagement and another should be devoted to programmatic assessment (as described in the *Institutional Effectiveness* section above).
2. Add a minimum of two library career staff positions: one night/weekend supervisor which is critical to safety and supervision of student staff and another devoted to electronic resources management.
3. Encourage and fund professional development at the national level as well as at the state level.

***External Relations***

*Principle: Libraries engage the campus and broader community through multiple strategies in order to advocate, educate, and promote their value.*

During our site visit interviews, the Library was repeatedly commended for its very effective outreach to the campus community and beyond. The lack of territoriality and organizational “ego” shown by the Library is remarkable, indeed. This behavior and leadership should be recognized and rewarded by including the Library interim director and staff in campus-wide decision-making.

The Library is seen as conducting outreach services that ultimately support not only students and faculty but also administrative units on campus. The uniformly positive perception of the Library by administrators demonstrated the integral way in which the Library performs as a part of the University. The Library is seen as non-territorial and open in its dealings with others on campus.

The centrality of this particular Library to the success of the academic enterprise at UC Merced cannot be overstated. Perhaps more than in most institutions, the Library is critical to the recruitment, retention, and graduation of students as well as to the growing research initiatives on campus.

## **Conclusion**

The UC Merced Library has innovation and flexibility in its DNA. As part of a very young institution, the Library embraces a “start up” mindset. This means that assumptions that are givens in other institutions’ libraries are pushed against, that outmoded concepts are simply side-stepped, and that figuring out new ways of doing things is the norm. This has been an enormous boon to the UC Merced institution as a whole as librarians, new faculty, lecturers, undergraduate and graduate students collectively created the “new.”

The nature of organizational culture is that as an organization matures, flexibility and free-wheeling innovation often become more difficult. Policy and procedure can overtake the “start up” mindset and maintaining can become more important than creating. While this is a drastic statement to make, we make it to point up that the Library has the spirit and mindset, and, critically, the key people to continue to foster innovation and to support the growth trajectory of UC Merced. However, this spirit and these mental models will suffer if there is not some substantial fresh commitment and recognition, on the part of the University, of the Library’s centrality to the success of the unique enterprise that is UC Merced.

Respectfully submitted by the External Periodic Review Committee:

Ms. Elizabeth Cowell  
Mr. Gregory Dachner  
Ms. Kathryn J. Deiss, chair  
Mr. Paul Gibbons  
Dr. Anne Kelley  
Ms. gayle k. yamada

April 25, 2013

# Report on the External Periodic Review of the UC Merced Library

## University of California Merced, Merced, CA

### Appendix A – Recommendations

#### *Institutional Effectiveness*

1. We support the Library's intention to add a staff member focused on programmatic assessment (a position that could be combined with other administrative needs of the Library as described in the Library's Strategic Agenda). Academic libraries nationwide are devoting positions and significant efforts to the work of assessment. (See also *Personnel* section below).
2. The Library should be considered when any new campus-wide initiative is being started. As a core service and demonstrated partner, the Library can help the University best if it has a seat at a high level decision-making table, such as the Chancellor's cabinet.
3. The Library should be part of discussions regarding any enterprise level technology systems that will affect services to students and faculty.

#### *Educational Role*

1. Where appropriate, repurpose in-person workshops as podcasts or videos delivered through the Library's website.
2. While we do not support what we understand will be proposed by several humanities/social sciences faculty members to create a bibliographer/reference librarian position, we understand that this proposal is motivated by some unmet need. In part this is related to print collection strength and in part to a perception that the librarians do not do reference work. Reference and research assistance has changed in the past decade and it is not the norm nor is it desirable to have librarians sitting at a desk waiting for someone to approach them. We support the concept of roving peer to peer assistance and librarians conducting research consultation as is currently the case. Additionally, we recommend moving the roving peer to peer service into classrooms or training graduate students to provide research assistance.
3. Continue to market instructional services to all departments; some faculty were not as aware of others about these services.
4. Design services for transfer students. We heard from faculty, staff, and students that transfer students do not have the benefit of the Library's instruction as first-year students do.

#### *Discovery*

1. The University needs to find resources to increase the network strength into and out of the Library and the University. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. However, without the network capacity this expertise is not utilized nor will data curation needs be met. A possible plan

for staging this is to increase the network capacity over the course of three years: 3 gigabits in one year, 5 gigabits in the second year, and 10 gigabits in the third year. Alternatively, this growth could be planned over a greater span of years. We recommend that planning for network enhancement be discussed with the new CIO as promptly as possible and that the interim University Librarian and Digital Curation Librarian be part of these conversations.

2. All other UC system campuses are members of the Internet 2 community. While UC Merced is young in its research program and output, membership in Internet 2 may be something for which the University will want the new CIO to begin planning. Internet 2 network capacity would greatly enhance the institution's ability to manage research data and for the Library to engage in true data curation in the future. In our interviews with administrators and faculty, the Library was seen as the expert on issues of data curation. We mention this with the understanding that there are significant costs, administrative issues, and complexities in planning to bring the Internet 2 network to the campus and also that this may not be an immediate need but one for which the University will need a plan.
3. Ensure robust data storage on campus. This becomes a bit less critical if the network can carry big data to off-site storage. However, the University is young and should be agile enough to create storage and network capacity to manage at least some part of its own data assets.
4. Once the new CIO is in place, there should be a rigorous discussion about where technology support and Library systems support overlap and where there needs to be consolidation and service commitment made. For instance, if the thinking is that there should be more support from campus IT – more centralization of IT support – then there need to be explicit service commitments on the part of the CIO related to this support. This has not been the case until now. Service has been weak and thus, the Library has actually built somewhat of a redundant system support of its own – often serving campus IT rather than the other way around.
5. Partner with the California Digital Library and leverage system-wide services where possible to provide more robust digital management services to the campus.

### ***Collections***

1. Develop a “library impact statement” that details the core disciplinary needs in terms of the literature/resources needed for every new academic program and ladder-rank faculty hire. This should be completed by the division or department beginning the new program and should be vetted by the chief academic officer with the University Librarian and the Head of Collection Services.
2. Related to the first recommendation, we recommend that, for each new academic program, there be “start-up” funds for library materials/resources.



3. Use the *Resources for College Libraries*<sup>5</sup> tool to assess print collection strength in humanities and social sciences.
4. Consider a small print reserves service. The purpose and need is two-fold: faculty indicated that, on occasion, having a print format of a particular resource is important (as opposed to a digital source) and that it would be very useful to their teaching if they could offer students print Supplemental Course Resources in addition to the digital SCR in the CROPS system. The second reason for this recommendation is that both faculty and students agreed that a small textbook collection in the Supplemental Course Materials would be optimal. The textbook cost issue is a significant one for the student demographic served by UC Merced. While we understand the forward thinking nature of the Library's original decision to have a digital reserves system only, we feel this recommendation deserves some consideration. We are also aware of the current policy regarding not purchasing textbooks but think this is very important to revisit and consider.
5. Have the faculty scan their Supplemental Course Resources content directly into the UCMCROPS system thereby releasing valuable staff time which could be reallocated to a more pressing area of library services.

### *Space*

1. Reclaim Library space currently being used by other offices and functions or begin planning for expansion of the Library to accommodate the growth of student and faculty populations. While we realize that there are other building priorities currently, planning for a new wing or expansion of the Library will take time. We see this planning as taking place over the next five to ten years.
2. Establish a quiet study space or spaces elsewhere on campus. This quiet study space should be accessible during the non-operational hours of the Library. We envision this study space to be operated by the UC Merced Library, and with minimal-level resources there, including computers with all library electronic resources and potentially with some part-time reference and research assistance.
3. Conduct a seating analysis and planning assessment to begin to creatively address the seating limitation problem. While an additional quiet study space may be useful in this regard, even that may not sustain needs in the coming decade given campus growth.
4. Add textile sound-deadening art to walls, such as, hangings, may help stop sound bouncing to some degree. One relatively simple and inexpensive aid could be the stapling or gluing of carpet remnants to the bottoms of chairs and tables and stairs. These carpet samples or remnants are relatively economical. While this does meddle with the integrity of the original furniture, it has been shown to help in other buildings with high traffic and noise levels.
5. Establish a stronger network and wireless network in the building. (see also *Discovery* above)

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<sup>5</sup> Resources for College Libraries is a collection development tool created by ACRL Choice and R.R Bowker. This resource provides bibliographic information for core print and electronic collections in all disciplines. See: <http://www.bowker.com/en-US/products/rcl/>

6. There appears to be an intermittent issue related to the remotely controlled door locks and lights in the Library building. Due to radically different needs and hours from other parts of the campus, perhaps the Library should be given control of its door locks and lighting.

### ***Management/Administration & Budget***

1. Move forward to appoint a permanent University Librarian.
2. Increase the Library budget relative to student growth and strategic goals of UC Merced.
3. Establish a Library Advisory Committee, composed of administrators, faculty, staff, and students, that can advocate for the Library; this Committee could even be charged with creating external fund development strategies.

### ***Personnel***

1. Add a minimum of two professional positions to the staff: one of these positions needs to be allocated to outreach and student engagement and another should be devoted to programmatic assessment (as described in the *Institutional Effectiveness* section above).
2. Add a minimum of two library career staff positions: one night/weekend supervisor which is critical to safety and supervision of student staff and another devoted to electronic resources management.
3. Encourage and fund professional development at the national level as well as at the state level.

## **Proposed Senate-Administration Library Working Group (AY 12-13)**

### **Purpose:**

The University Library is a central campus resource that plays a unique role in supporting the research and teaching mission of the university. The library serves a broad constituency and supports multiple functions for different groups. In order for the Library to carry out its mission, integration with faculty research priorities and teaching needs, and multiple avenues of dialog between faculty, staff, and students, are essential. Well-defined processes for communication, consultation, and decision-making will ensure that the Library's activities remain well aligned with campus academic priorities.

We propose to establish an ad hoc Senate-Administration working group to convene during AY 12-13 to address key issues surrounding the Library as a core campus facility. The purpose of the working group is to serve in an advisory capacity and to make a set of recommendations to Academic Senate and Administration regarding critical issues, future operations, and best practices that maximize Library resources in support of the academic mission of the campus.

### **Working Group Charge:**

- 1.) Gather data, consult with faculty, student, and staff groups, and examine library policies at other campuses to identify user needs for services and collections.
- 2.) Analyze and recommend appropriate roles for the Library as a research and educational support facility for faculty and students, considering research and teaching priorities across all three schools, and the needs of graduate and undergraduate students.
- 3.) Develop processes for consultation regarding Library policies, services, and resource prioritization with appropriate faculty and student stakeholders, and procedures for reporting to Administration and Academic Senate.
- 4.) Identify priorities and recommend options for balancing limited budget, staff, and space with needs for acquisition and maintenance of physical collections, virtual resources, databases, and data management.
- 5.) Review and recommend options for using library physical space to serve the range of needs of faculty, students, and staff for a variety of functions.

### **Proposed Membership:**

#### **Academic Senate**

Graduate & Research Council Representative  
SOE Faculty Representative\*  
SNS Faculty Representative\*  
SSHA Faculty Representative\*  
Graduate Student Assoc. Representative

#### **Administration**

University Librarian  
Library Staff Member  
Vice Chancellor for Research  
Dean of Graduate Studies  
Vice Provost for Undergraduate Education

ASUCM Representative  
Senate Analyst (non-member)

IT Representative

\*One of the School representatives will also represent Undergraduate Council

The committee will be co-chaired by the Graduate & Research Council Representative and the University Librarian.

**Quorum:**

A vote requires a balanced representation of the Senate and the Administration. A majority of members present at the meeting constitutes a quorum. In the absence of a quorum the working group may discuss business and vote on action items electronically.

**Reporting:**

As a joint Senate-Administration body, the working group shall report its recommendations to the Administration (through the Provost's Office) and to the Academic Senate (through the Division Council) for dissemination to appropriate groups. The working group will consult with GRC and other Senate committees during the year as needed. The Senate Office will provide staff support to the committee.

**Timetable and Reporting:**

<b>November 15, 2012</b>	Finalize Charge and Membership
<b>March 1, 2013</b>	Draft Report to Senate and Administration
<b>April 1, 2013</b>	Response to Working Group on Draft Report
<b>May 1, 2013</b>	Final Report to Senate and Administration

## **ORU Proposal Review Process at UC Merced**

The minimum timeline for completion of the review process is one to two years from inception, and includes a year for Senate reviews at the campus level.

- (1) The review involves the appropriate Deans, Directors and others who are asked to comment on issues of academic quality and significance, organizational design and support, budget and space.
- (2) The Vice Chancellor for Research submits the completed ORU proposal package with a synopsis of the Deans' comments to the Academic Senate Office for distribution to the Graduate and Research Council (GRC).
- (3) The GRC, following its own procedures for review, may request additional information from the proposers and requests that external letters be solicited by the Office of Research.
- (4) External reviewers are drawn from the ORU's list of proposed names and by contacting other appropriate reviewers. All reviews are treated as confidential, subject to the policies of the University of California.
- (5) Once the GRC has assembled a complete review dossier, the proposal and accompanying review materials are forwarded to other appropriate campus Senate councils/committees, typically Academic Planning and Resource Allocation (CAPRA), the Divisional Council, and the Undergraduate Council (UGC). Commentary and recommendations from these Senate bodies are returned to the GRC.
- (6) At the completion of the campus Senate review, the recommendation of the Graduate and Research Council (GRC) concerning the establishment of the proposed ORU is provided to the Vice Chancellor for Research.
- (7) The Vice Chancellor for Research provides a recommendation to the Chancellor regarding final approval and designation as an ORU.
- (8) If the Chancellor approves the ORU's establishment, the Chancellor or Vice Chancellor then notifies the Office of the President.

## POLICIES AND PROCEDURES FOR CENTRALIZED RESEARCH UNITS (CRU)

University of California, Merced

### SECTION I: DEFINITION AND PURPOSE

1. The University of California has established formal guidelines for designating Organized Research Units (ORU's) and Multi-campus Research Units (MRU's)– campus entities that are recognized system-wide as formal units for promoting and supporting research and research-related activities (see, “Administrative Policies and Procedures Concerning Organized Research Units” (APPCORU)). This document describes the criteria and procedures for establishing and maintaining local centralized facilities and research units that receive financial support from the Vice-Chancellor for Research at the Merced Division of the University of California (i.e., a “non-ORU center” as described in the APPCORU). These campus entities are distinct from ORU's and are recognized as centralized, organized units for administrative purposes at the Merced campus only. Designation of a Merced centralized research unit (CRU) does not preclude the establishment of ORU's as separate entities subject to the provisions of UC administrative policies (as described in the APPCORU). Likewise, designation of a Merced CRU does not preclude the establishment of a school or departmental research unit or facility that operates under the administrative authority of an individual school or department. The procedures and policies described below pertain only to Merced campus CRU's. The authority for a UC division to establish a non-ORU center is provided in Section 3 of the APPCORU.

### DESIGNATION OF MERCED CENTRALIZED RESEARCH UNIT (CRU)

2. Units recognized as CRUs normally carry one of the following designations:

Institute, Laboratory, and Center are used most often, but other titles may be employed in particular situations. A CRU that covers a broad research area may in turn contain other more specialized units; for instance, an Institute may comprise several Centers, or a Station several Facilities.

Institute: a major unit that coordinates and promotes faculty and student research on a continuing basis over an area so wide that it extends across department, school or college, and even campus boundaries. The unit may also engage in public service activities stemming from its research program, within the limits of its stated objectives.

Laboratory: a non-departmental organization that establishes and maintains facilities for research in several units, schools or graduate groups, sometimes with the help of a full-time research staff appointed in accordance with the guidelines of Section 5 below.

Center: a small unit, sometimes one of several forming an Institute, that furthers research in a designated field; or, a unit engaged primarily in providing research facilities for other units and departments.

Station: a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other units and serving several campuses. The terms Facility or Observatory may be used to define units similar in function but with more narrow interests.

#### LINES OF RESPONSIBILITY

3. For purposes of administration and review, all Merced CRU's are responsible to the Vice-Chancellor for Research for administration, budget, space, personnel, and scholarship.

#### SECTION II. ADMINISTRATION, BUDGETARY SUPPORT, AND PERSONNEL

4. Each CRU is headed by a Director who is a member of the faculty. The Director is aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which meets regularly and participates actively in setting the unit's goals and in critically evaluating its effectiveness on a continuing basis. Specifically, the Advisory Committee provides counsel to the Director on all matters pertaining to the unit, including budgetary matters and personnel. The Chair of the Advisory Committee, and as many other members as practical, should meet with five-year review committees (see below under Section 9) and otherwise be available for consultation by the five-year review committee during the course of its review. The Advisory Committee is made up predominantly of faculty members, but may include some members from the professional research series and may have some members from outside the University. The Advisory Committee is appointed by the Vice-Chancellor for Research. The charge to the committee and its functions, membership, and reporting requirements are determined by the Vice-Chancellor for Research but should include active participation in the planning and evaluation of the CRU's programs and activities.
5. In recognition of the role played by CRU's in research and education beyond individual school or departmental boundaries, partial funding of CRU's by the Office of Research should be considered based on merit review, in addition to funds that may be generated through recharge, external grants, or other sources of support. This may include funds for administrative support, staff salaries, supplies and expenses, equipment and facilities, and general assistance, as determined by the Vice-Chancellor for Research and with consultation from the Academic Senate (primarily through the Committee on Research and CAPRA). All permanent positions--professional, technical, administrative, or clerical--may be established and filled, regardless of the availability of funds, only after specific review and authorization of the proposed positions and of the candidates for them in accordance with University policies and procedures.

#### PROCEDURE FOR ESTABLISHMENT

6. To establish a CRU, the faculty members concerned submit a proposal stating the proposed unit's goals and objectives. The proposal should describe what value and capabilities will be added by the new unit, and explain how the mission of the unit extends beyond the interests or needs of a single group, department, or school. It should make clear how the CRU will, for example, foster new intellectual collaborations, stimulate new sources of funding, further innovative and original

Approved by GRC on 5/20/09

research, supply research techniques or services to faculty groups, or perform service and outreach to the public. The proposal should also contain the following information:

Experience of the core faculty in interdisciplinary and multidisciplinary research collaborations.

Plan for the first year of operation and projections for the five years following.

Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding, both internal and external.

Names of faculty members who have agreed in writing to participate in the unit's activities.

Projections of numbers of faculty members and students, professional research appointees, and other personnel for the specified periods.

Statement about immediate space needs and how they will be met for the first year and realistic projections of future space needs.

Statement of other resource needs, such as capital equipment and library resources, and how they will be met for the first year, and realistic projections of future resource needs.

Statement about anticipated benefits of the proposed unit to the teaching programs of the participating faculty members' units.

Any commitments from the faculty members' units or other administrative units regarding space, equipment, personnel, funding (including instructional funding), or administrative support.

The proposal should also list similar units that exist at Merced and describe the contributions that the proposed unit may be anticipated to make that are not made by existing units.

Review Criteria include the extent to which the CRU:

- fosters new intellectual collaborations
- stimulates new sources of funding
- furthers innovative and original research
- supports existing funded research
- supplies research techniques or services to faculty groups
- contributes to the instructional mission of the university
- performs service and outreach to the public
- supports a broad array of researchers, graduate groups, schools, and the campus
- has sufficient faculty and technical expertise to ensure the successful operation of the facility
- has a management and financial plan that will ensure sustainability of the facility
- has procured extramural funds for its establishment and operation



Actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing a CRU. However, successful procurement of extramural funding (as appropriate to the nature of the CRU being proposed) may serve as an indication of positive peer review at regional or national levels, and may indicate ability of the facility to obtain funding in the future that will contribute to its sustainability.

7. The proposal is submitted for review to the Vice-Chancellor for Research during the month of September, of each academic year. The proposal is distributed for comment to the appropriate Academic Senate committees (i.e., Graduate and Research Council, CAPRA, Undergraduate Council if the proposal contains significant impacts on undergraduate instructional activities) and to any Dean directly affected by the proposal's impacts on personnel, space, and equipment. Based on comments from these committees and Deans, the Vice-Chancellor for Research recommends to the Executive Vice Chancellor the establishment of the CRU by the end of the calendar year. In cases of disagreement about whether to establish a CRU, the Executive Vice Chancellor consults with the Chair of the Academic Senate, but the Executive Vice-Chancellor retains final authority for the decision to approve establishment of a new CRU. Establishment of a CRU must carry with it a commitment of space and funding adequate to the mission of the unit; thus any budget request associated with a CRU proposal will be evaluated by the UC Merced Budget Committee. Upon a favorable review of the proposal and approval by the Executive Vice Chancellor, a CRU will formally start on the first business day of the next fiscal year.

#### PROCEDURE FOR APPOINTING A DIRECTOR

8. The Director of a CRU is appointed by the Vice-Chancellor for Research after a nomination procedure on which the Vice-Chancellor for Research and the Graduate and Research Council have agreed. The Director of a CRU may be specified in the proposal to establish the CRU. When the appointment of a new Director is for an existing unit, the Advisory Committee should be solicited for nominations.

#### PROCEDURE FOR FIVE-YEAR REVIEW

9. Periodic reviews of CRU's are necessary to ensure that the activities being conducted under the units' auspices are of the highest possible quality and that campus resources are being allocated wisely and in line with campus priorities. Each CRU should be reviewed at intervals of five years or less by an ad hoc review committee. Reviews should address the CRU's original purpose, present functioning, accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit), future plans, and continuing development. The review should assess the adequacy of space and other resources made available to the unit. The review should look to the unit's success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives. The review committee should review the effectiveness and leadership of the Director and the participation of the Advisory Committee. The review committee should be provided explicit budget information, including amounts and sources of all funds and expenditures, and the committee should assess whether the budget is adequate and appropriate to support the unit's mission. Each ad hoc review

committee should consider and make specific recommendations, if appropriate, for improvements in the mission, budget, administration, focus, space and other resource requirements, and programs and activities of the unit. It should also consider whether the unit should merge with another similar unit, or be disestablished.

It is the responsibility of the Vice-Chancellor for Research to initiate five-year reviews for CRU. The Vice-Chancellor for Research, in consultation with the Graduate and Research Council, should assure that five-year reviews are conducted at the proper intervals for each unit. The Vice-Chancellor for Research appoints the review committee for a CRU from a slate nominated by the Committee on Research. Review committees may have one or more members from another campus or from outside the University. The review committee's report should be provided to the Director for comment. Justification for continuation of a CRU must be documented carefully by the review committee. The report is reviewed by the appropriate Academic Senate committee(s). A decision concerning continuation of the unit and any needed changes, including the Directorship or members of the Advisory Committee, is made by the Vice-Chancellor for Research upon consideration of the ad hoc and Senate committees' recommendations. The disestablishment of a CRU requires approval of the Provost. To maintain an accurate portfolio campus CRU's, the Vice-Chancellor for Research should transmit an annual report to the Chancellor, the Executive Vice Chancellor and the Academic Senate the establishments and disestablishments and a summary of five-year reviews of CRU's.

#### PROCEDURE FOR DISESTABLISHMENT

10. The recommendation for disestablishing a CRU may follow a five-year review of the unit or other process of review established by the Vice-Chancellor for Research. After such campus review the Executive Vice Chancellor approves the request for disestablishment and informs the Chancellor, Vice-Chancellor for Research, and the Academic Senate of the action.

#### PHASE-OUT PERIOD

11. The phase-out period for a CRU which is to be disestablished should be sufficient to permit an orderly termination or transfer of contractual obligations. Normally, the phase-out period should be at most one full year after the end of the academic year in which the decision is made to disestablish the unit.

#### PROCEDURE FOR NAME CHANGE

12. The director of the CRU prepares a proposal to the Vice-Chancellor for Research describing the rationale for requesting a new name for the unit. The request for a new name usually reflects new directions in the activities sponsored by the unit, the expansion or addition of new knowledge or techniques in the field, or the institutionalization of new methodologies of study. After review by the Graduate and Research Council, CAPRA, and appropriate campus administrators, the Provost approves the name change of the CRU and informs the Chancellor, Vice-Chancellor for Research, and the Academic Senate of the action.

## ANNUAL REPORT

13. At the end of each academic year, the director of each CRU should submit a report to the Vice-Chancellor for Research and the Graduate and Research Council. The report should contain the following:

Names of graduate students, undergraduate students, and postdoctoral researchers directly contributing to the unit who (a) are on the unit's payroll, (b) participate through assistantships, fellowships, or traineeships, or are otherwise involved in the unit's work.

Names of faculty members actively engaged in the unit's activities or its supervision.

List of student and faculty participants from other campuses or universities.

List of participants from private industry or public sector organizations.

Numbers and FTE of professional, technical, administrative, and clerical personnel employed.

List of publications from personnel associated with the unit, including books, journal articles, reports, and abstracts.

Sources and amounts (on an annual basis) of all support funds, including grants and contracts, and income from services, goods, or the sale of publications associated with the unit.

Expenditures from all sources of support funds, distinguishing use of funds for administrative support, direct research, and other specified uses.

Summary of type and amount of space currently occupied.

Any other information deemed relevant to the evaluation of a unit's effectiveness, including updated five-year projections of plans and resource requirements where feasible.

## EXCEPTIONS

14. All exceptions to the above policies and procedures must be approved by the Executive Vice Chancellor.

## Simrin Takhar

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**From:** Dejeune Shelton <dshelton2@ucmerced.edu>  
**Sent:** Wednesday, October 16, 2013 7:56 AM  
**To:** divco1314@ucmcrops.ucmerced.edu  
**Subject:** CITRIS Review

### Standing Committee Chairs

On behalf of Senate Chair López-Calvo, attached please find a request for comments on the CITRIS review. The original review occurred December 2010, previous UCM Chancellor Kang responded in March of 2011, and UCORP in May of 2012. Academic Council did not respond and would like to give Senate campuses involved the opportunity to review comments before the item is placed on their October 23, 2013 agenda . Attachments include the original review, as well as individual campus responses, and Chancellor Birgeneau's summary of the four campus responses (UCD, UCSC, UCB, and UCM).

In order to meet the deadline set by systemwide you are asked to please reply if you plan to comment by **Friday, October 18, 2013** and I will ask for additional time to review.

I apologize for the quick turnaround.

Please note the attachments will be sent in separate emails due to size.

Thank you,

Dejeuné M. Shelton  
Executive Director, Merced Academic Senate  
5200 North Lake Road, Suite 346  
Merced, CA 95343  
209-228-7954

[see attachment: "UCORP2AC re CITRIS review May 2012.pdf", size: 90413 bytes]

[see attachment: "UCM\_CITRIS Review Response.pdf", size: 150994 bytes]

Attachments:

[UCORP2AC re CITRIS review May 2012.pdf](#)

[UCM CITRIS Review Response.pdf](#)

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This automatic notification message was sent by UCMCROPS (<https://ucmcrops.ucmerced.edu/portal>) from the DivCo1314 site.

You can modify how you receive notifications at My Workspace > Preferences.

University of California  
Governor Gray Davis Institutes for Science and Innovation

2010 Academic Review of the  
Center for Information Technology Research in the Interest of Society (CITRIS)

**Report to the Provost**  
December 15, 2010

**Introduction and Purpose**

The Center for Information Technology in the Interest of Society (CITRIS) is one of four *Governor Gray Davis Institutes for Science and Innovation (GGDISI)* formed by the State of California and former UC President Richard Atkinson's office in 2000-2001.

CITRIS spans the four UC campuses of Berkeley, Davis, Merced, and Santa Cruz and has grown from a core of engineering into a vibrant multi-disciplinary center. CITRIS has many inter- and intra-campus research programs, including collaborations with the UC Davis School of Medicine; the UC Berkeley School of Public Health; the UC Merced water research program; and the Berkeley Center for New Media in conjunction with UC Santa Cruz. In addition, CITRIS addresses the State's societal issues through funded research programs and active collaboration with the California Energy Commission (CEC) and with a wide range of Federal, State, and industrial partners in the California Telehealth network (CTN).

CITRIS is the third of the four GGDISI to be reviewed. The purpose of this review was to provide a comprehensive evaluation of the Institute so as to ensure that it will play a valuable part in the education, research, and outreach missions of the University by supplying needed infrastructure, both human and physical, thereby enabling new research and education directions, increasing opportunities for faculty and students, and fostering multi-campus collaboration and new relations with industry and government entities.

**Process**

The Review Panel met by teleconference to discuss the background materials with Vice President Steven Beckwith. The Review Panel then met for two full days in late October and visited the CITRIS sites at UC Berkeley and the medical campus of UC Davis. Faculty, students, administrators, and staff from all four campuses (Berkeley, Merced, Santa Cruz and Davis) participated in presentations, discussions and tours during the site visit.

**General Observations and Findings**

CITRIS has developed a spirit of creativity and excitement and a deep conviction among the administrators, faculty, students and staff that they are truly developing ideas and applying them in the pursuit of our society's most challenging problems. That is the purpose for which CITRIS was formed a decade ago and it was invigorating to spend two days observing how this vision

has unfolded and continues to unfold. CITRIS was called a facilitator, accelerator and enabler during the review. We saw multiple examples to support these claims and CITRIS is providing a critically important function as an orchestrator of research and also of partnerships to deploy technology in the best interests of our society. The culture that has been formed and is evolving at CITRIS must be nurtured and maintained.

The founding faculty of CITRIS deserve tremendous credit for recognizing very early on that Information Technology (IT) can be used to solve some of the most challenging societal problems more efficiently and at lower cost. Only in the last few years have companies like IBM, Google, and HP pursued their smarter planet and smart grid type of messaging recognizing that there is pent-up demand in the world to use IT in ways it has never been used before. Thus CITRIS was an early visionary of an idea whose time has only come now. More specifically,

- CITRIS has been instrumental in attracting outstanding faculty to the participating campuses, and in retaining faculty being recruited by other prestigious institutions. The faculty clearly value the interactive, multidisciplinary intellectual environment created by the Center, along with the facilities that promote collaboration. This stimulus has been particularly beneficial for U.C. Merced (see below), which started during the lifetime of CITRIS. At a broader level, however, CITRIS is clearly serving as a catalyst to build and strengthen teaching and research across the University of California.
- The review committee notes that at many universities resources for faculty merit increases are allocated at the departmental, school or college level, with a resulting disincentive for faculty to engage in research or teaching activities that extend to other academic units. The committee was reassured to learn that the University of California has academic personnel policies and review processes that allow faculty to be rewarded rather than punished for collaborating across different units on their own campus or across different campuses. Without such a forward-thinking approach, it would be difficult for a center such as CITRIS to be as effective as it is in serving the common good. It would be difficult to engage such high quality researchers and teachers in the CITRIS mission. And it would be inconceivable for faculty members to give up offices in their home departments to move into a shared facility, as is the policy at Berkeley for faculty residing in Sutardja Dai Hall.
- The collaborative, multidisciplinary nature of the research projects within CITRIS has drawn exceptional graduate students to the Center; in many cases, the opportunity to work on a CITRIS project was instrumental in convincing the student to attend the University of California rather than another highly-ranked peer institution. The intellectual openness and engagement modeled by the faculty set an appropriate tone for preparing graduate students for professional careers in the 21<sup>st</sup> century. It will be crucial for scholars and professionals to engage across traditional academic and professional boundaries.
- Merced as a credible 'UC'. Merced has been significantly enabled by the timing of CITRIS – education, research and mentoring. Had CITRIS not made Merced a priority, it would clearly not be at the level of increasing capability it is today. It is in the interest of the UC system to have Merced be successful, and this would seem a strong driver to ensuring the CITRIS backbone to UC Merced stays strong.

- CITRIS is an Ecosystem. A whole industry of sensor networks has formed from the ecosystem of CITRIS; some would have happened even without CITRIS, but CITRIS has been an enabler and an accelerator of many of these opportunities. In our charge, we were asked to look at what would not have happened if not for CITRIS. It is also important to ask what would have been much more difficult or much slower to advance if not for CITRIS.

## **Comments on Specific Areas**

### **Energy and Environment**

Overall, energy and the environment have been major and very successful focus areas for CITRIS. Early work in sensor networks was world class as it changed the paradigm for what was perceived possible through distributed measurement. CITRIS helped launch several impressive industrial start-ups to take the application of these technologies to the next level. Current programs in this area at CITRIS are in general quite impressive; though perhaps not yet so well-developed as to be as game-changing. CITRIS is exemplary in its ability to connect with key government stakeholders in Energy and Environment, in direct support for its societal mission. It has a multi-year history with both the California Energy Commission and the California Department of Transportation, agencies that are often a challenge to engage at a meaningful level.

I4Energy (Innovation, Intelligence, Integration, Information) is a good example of an area where CITRIS is better positioned to contribute than, for example, LBNL alone. As strong as the National Lab is in energy expertise, it does not have an equivalent depth of IT capability. In this regard, CITRIS brings both the application knowledge and societal pull needed to make a lasting impact.

The Santa Cruz Rooftop Testbed initiative is an impressive example of what can be accomplished through CITRIS with just \$75K of funding. The city of Santa Cruz strives to reduce its carbon footprint; municipal renewable energy resources are pathways to this goal. Many people are working on renewables, but this study explores very specific questions as to the effectiveness of solar and wind power devices in the wharf setting – marine corrosion/fouling, wind speeds and solar radiance, bird fouling obscuring solar panels, smart grid. These are important environmental and public issues.

UC Merced, given its development timing, has had major impact on CITRIS. We were told that the 10<sup>th</sup> UC campus is the most energy efficient campus in the world, and the most instrumented campus in the world. They are clearly committed to Central Valley economic growth, health care, and energy and environment. That said, we had some concerns on the Solar Forecasting program, as presented. Renewables must have storage and predictability, and this project aimed to develop a system to address predictability. The researchers demonstrated some level of forecasting at 1-2 hours, but this is not economically meaningful. When asked about longer range forecasting (e.g. up to 24 hrs), there was little interest. UC campuses should be setting major goals and working on game-changing hard problems!

Research on the Responsive California Grid is aimed at changing the paradigm from supply following demand, to demand response being event driven, is impressive. In the energy management system and the responsive grid across campuses, they are aiming for meaningful scale as the grid is optimized initially in one building, then multiple buildings, across one campus, and eventually across multiple campuses, taking advantage of the UC and CSU systems across the state.

### **Intelligent Infrastructure**

Intelligent Infrastructure was the second area of research presented to the committee. Like energy and the environment, it builds upon the sensor work done by CITRIS, this time applying it to areas other than energy. Eight CITRIS faculty are affiliated with this theme, and the faculty come from 3 of the 4 campuses (but with 5 of the 8 being from Berkeley). The goal of this area is to merge applications and cyber-physical systems together to develop results of societal importance. According to the overview presented, three application domains are being pursued in order of importance: water, air quality and traffic mitigation. In all three areas, the unifying theme is ubiquitous sensing and evaluating the resulting large data sets produced through sensing.

The committee was particularly impressed with the work on Mobile sensing in large-scale infrastructure systems, and believed the combination of technical, political, and social skills being employed to move the work forward suggests that it could have substantial impact. It also appeared that the work on traffic management/mitigation was having substantial impact, and recognized the importance of industrial partners to the work. The work on air quality monitoring appeared to be at an earlier stage of development, but given the challenges of the State also had the possibility of having an important impact.

The committee felt each of the efforts presented was significant in its own right, but that greater societal impact could be obtained by 1) closer interactions between the projects, looking for technical and algorithmic developments in one project that could be beneficial in another, and 2) closer connections with industry (like was achieved in the traffic mitigation project). The committee also appreciated the tension that the presenters described between the need (especially for junior faculty) to present their work in core IT-related domains where they were established, and the desirability of presenting their work in more domain-specific venues. The committee also felt that the development of multi-project and investigator testbeds (beyond the project specific infrastructures that have developed) could be instrumental in pulling faculty members together to collaborate on larger, more coordinated intelligent infrastructure effort.

### **Health Informatics at CITRIS**

There is much of value in what is being accomplished and planned in health informatics. The opportunities for significant contributions to this domain are virtually unlimited. The CITRIS portfolio is diverse – a strength, taking advantage of the cross-disciplinary nature of CITRIS. CITRIS seed funding has been well placed in this area, with very exciting projects underway.



However, care should be taken to stay on course to meet the initial goals of the health care mission of CITRIS. Establishing metrics against these goals will help guide future choices of projects in this area. Research that furthers the use of sensors, networks and robotics in assistive technologies will continue to be of value, especially for an aging population.

The linkages with UCDMC are critical and should be expanded where possible. The energy and expertise of the CITRIS leaders at UCDMC was evident, as was their understanding of the healthcare needs. Continuing to foster collaborations between the medical doctors and researchers in other disciplines will require CITRIS oversight and attention, given the distances between campuses.

CITRIS Telehealth Program (CTN) is creating a new paradigm in public partnerships with America's Telecommunications industry. There is a deep divide in both business model and technology today with our research universities benefitting from the flexibility and scalability of facilities-based networks while the rest of the country limps along on entertainment driven point-to-point commodity networks. The latter will not support the distribution of the fruits of research results in medicine, emergency management services, intelligent infrastructure and perhaps other areas as well. The Telehealth Resources Center under construction has the ability to become a national model for education and training and also for monitoring new delivery methods and a national call center for Telehealth. CITRIS has been admirably entrepreneurial in finding the resources to build this infrastructure. It is also noteworthy that unlike many leading initiatives in telehealth research, the CITRIS work includes real research on telecommunications. This is enabled by the leadership at CITRIS Davis of Prof. Yoo, who was previously at Bellcore. The ability of CITRIS to bring such strong discipline-based researchers into its interdisciplinary and applications-focused programs is commendable.

It was also good to see there has been success in competing for HHS/ONC funding as well as NSF funding in this area. The eHealth Broadband Adoption award from NTIA's Broadband Technology Opportunities Program will provide a significant boost to telemedicine deployment via CTN.

## **Education**

Over the last decade CITRIS has had a number of positive outcomes on the education of UC students. One of the most important is the impact that CITRIS has had on the growth of UC Merced through its sponsorship of UC-WISE and the ensuing development of lab-centric courses and the use of distance learning. We were pleased to see the effect of the lab-centric approach to initial computer science courses in improving the learning outcomes for female students and eliminating the gender-biased outcomes present in the traditionally taught versions.

CITRIS graduate students have gained valuable experience in multidisciplinary research and in the entrepreneurial opportunities offered by the large number of startup companies launched from CITRIS projects. While these educational outcomes are all highly valuable, we felt that the CITRIS overall strategic plan for education was less clear than that for a number of other themes, e.g. energy or telehealth, and that the work being done was somewhat less unique. In particular,

they exhibit less of the interdisciplinary character that is the hallmark of CITRIS research projects.

## **New Media**

The CITRIS New Media research was very compelling. We learned of many excellent examples of how new media research is helping to solve societal problems. At the same time, we would have liked to have seen a better match between the societal problems on which CITRIS is broadly focused – energy, intelligent infrastructure and health – and the societal problems that the new media researchers are attacking. New media research such as games for detecting Fragile X are particularly compelling, because they support the overall CITRIS thrust in health. However, other new media research in support of archeology or public policy, while interesting in their own right, are less compelling because they did not support the overall CITRIS thrusts.

## **Industrial Collaboration**

### Summary of collaborations

There are four ways in which CITRIS has collaborated with industry:

- (1) CITRIS has influenced or supported the creation of new start-ups
- (2) CITRIS research has resulted in product impact at an existing company
- (3) CITRIS has supported or influenced companies without directly impacting products and
- (4) CITRIS has in turn, been influenced by companies in research directions or student learning.

We discuss each of these, in turn.

CITRIS has been spectacularly successful in industrial impact of the first kind -- supporting the creation of new start-ups. In particular, an ecosystem of companies built around wireless sensor capability and their use for energy management can be directly attributed to CITRIS – companies such as Adura technologies, Arch Rock, Sentilla, Federspiel controls, Dust Networks, WIT and Eco Factor. This is a very impressive achievement.

CITRIS success in the other three kinds of industrial impact is strong, but not spectacular.

They have a strong example of product impact at Nokia and NAVTEQ with traffic monitoring systems through the work of Professor Alex Bayen and the multi-million dollar Mobile Millennium project. However, we could not find more examples of direct product impact. This appears to be an area for enhanced focus in the future for CITRIS.

There are several good examples of the third category of industrial collaboration, where CITRIS has influenced companies in ways other than product impact. For example, several findings from joint research between CITRIS and HP scientists for reducing energy use in data centers were implemented by HP. . As another example, the Marvell Nanofabrication Lab has supported as many as 90 local companies by providing access to state of the art equipment.

Finally, there are good examples of CITRIS acting to bring industrial influence to the UC campuses. For example, CITRIS can take credit for the Cisco contributions at the UC Santa Cruz campus in creating the Network Lab to support new teaching in practical networking. Similarly, CITRIS gets credit for 28 different companies providing a million dollars or more to the UC campuses between 2007 and 2010. Many single company focused industry days between a specific company (such as IBM or HP or ...) and CITRIS have influenced research in both directions.

#### Opportunity for improvement in industrial collaboration

Going forward, CITRIS should increase the impact of its research on the product plans of existing companies. This, in turn, requires CITRIS research to be more heavily influenced by industrial partners.

One possible approach to do this might be to have a more active Industrial Advisory Board; i.e., one with more skin in the game. It could be an IAB which provides input into and has some say over the selection of CITRIS projects and themes – instead of one that merely gets regular updates on the status of projects. It should include industrial leaders who can provide honest and hard-hitting feedback.

#### **Infrastructure, Facilities and Staff**

The co-location in Sutardja Dai Hall of researchers from many disciplines and home departments has clearly been fruitful in encouraging and sparking dialogue between disciplines, in some cases leading to new collaborations.

The Marvell laboratory (micro- and nano-fabrication) is an excellent, world class facility. CITRIS created an ideal opportunity, building upon the strong reputation of the research at the earlier facility at Cory Hall, to obtain the very generous donations that made it possible to build an updated facility and keep the University at the forefront of device research. We consider the Marvell facility to be very well led and managed. We believe that the CITRIS funds, although a small portion of the total running costs of the lab (which come mostly from the research projects themselves via user-fees), provide a vital element of the lab's operation. The flexibility and continuity of such core funds greatly assist management and strategic planning; similar facilities that lack such support are less successful as a result. A key benefit obtained in the commissioning of the new lab is the 150 mm wafer capability. This is rare in research labs doing MEMS and related work, but is very attractive to industrial collaborators, being closer to production facilities, and allows more opportunity to use state-of-art equipment that will steadily become less available for smaller wafer sizes.

The current staff is all quite capable and we commend the director on his recent streamlining and reorganization of the lab. Program and proposal development has been staffed with good results, but gaps remain in IT support and IP facilitation. Additional investment in this area would likely pay good dividends. The directors might think of explicit tasking of some of the administrative support staff to think about "OE" or cultural kinds of things to help with cross institutional culture building.

We saw a very limited sampling of CITRIS computing capabilities. CITRIS does not appear to have the resources to invest in substantial IT infrastructure itself. An alternative strategy could be to pursue formal partnerships with LBL for high end computing and storage, and with groups like Calit2 for immersive technology capabilities. Such partnerships would provide the center a leveraged platform from which to concentrate on core capabilities. Additionally, if CITRIS is truly a high priority, as the Chancellors informed the committee, campus IT groups should be tasked with generic support in serving such an important mission (research) of the universities. Such partnerships are critical for full integration.

Seed Funds: the panel was satisfied that the seed funded projects had been beneficial in creating new collaborations and research programs; these funds have in many cases led to much larger, externally funded work and are a good use of resources. Although we have confidence that the funds were awarded fairly and objectively, we do encourage the Directors to be careful that the processes for soliciting and selecting them are entirely clear, consistent and transparent, so as not to create any perception of bias or favoritism.

## **Recommendations**

**1. Funding:** Given the multi-campus foundation for CITRIS and the wide spectrum of research priorities across these different campuses, we believe there is a compelling case that this funding should continue as a special program in the top-level UC system-wide budget. We find it hard to envision other models being effective or efficient across four campuses.

The current level of funding of ~\$5M per year is modest for a program with the breadth of interactions of CITRIS. Once the budgetary climate improves, we believe a case can be made for significantly enhanced funding of CITRIS and in the following we suggest areas of future enhancement.

**Systems Level Impact.** CITRIS should consider a way to begin to integrate the multiple themes (energy, health, intelligent infrastructure) they are working on in a more holistic way. The real world we live in must deal with all of the problems CITRIS is working on – a city has traffic problems, it has energy problems, it has water problems, it has health problems. Cutting edge work is already being done in other places to create an IT-based solution for a city which attacks all of these problems holistically, rather than individually. This makes sense because these problems are inter-related (e.g. water desalination can solve water problems, but needs significant energy). CITRIS has the ability to tackle this kind of grand challenge problem, and should consider such a holistic attack as part of its longer range vision for changing the world around us.

In order to make such compelling systems impact, CITRIS should consider building up significant IT systems infrastructure – servers, storage and networks, so it can prototype large-scale implementations of smart grids, traffic and transportation problems, data center energy efficiency, and so on. A common IT infrastructure which can be used for projects in all of the five CITRIS themes would be very valuable. This would complement the Marvell Nano Lab which gives CITRIS great ability to do next generation chip research – such as the millivolt

switch. A complementary ability to do great systems research would take advantage of the unique strengths across CITRIS and be immensely valuable. Such an infrastructure could be built up using a combination of industry donations and CITRIS purchases.

The committee recommends that the CIOs of the four universities work with the CITRIS director to create an IT research laboratory environment for prototyping CITRIS research. The CIOs are also encouraged to work with CITRIS to test resulting solutions in the production environment. University Chancellors are encouraged to make this partnership a high priority.

2. Benchmarking: Some consideration should be given by the CITRIS Director to identifying comparable research organizations to CITRIS for benchmarking purposes. Is MIT Media Lab a representative organization to which CITRIS should compare itself? Or should it be the three other Gray Davis Institutes? Perhaps each of the separate CITRIS themes needs to find itself a set of benchmark research organizations for comparative purposes. In that case, the energy research at CITRIS should be compared with great energy work being done elsewhere; the health research at CITRIS should be compared with great work in health being done elsewhere; and so on. Not much thinking appears to have gone into this kind of comparative benchmarking. It's hard to know if you are doing well if you don't try to compare yourself to other research organizations of similar size and scope. Such benchmarking would also help quantify the appropriate level of long term core funding.

3. External Advisory Board: We recommend that CITRIS have an active standing external advisory board to provide honest and hard-hitting feedback to the Director. It could serve as an unbiased asset in furthering the vision and its successful implementation.

4. Diversity/Inclusion: The review committee believes that CITRIS could have even more impact by increasing the diversity of both the participating scholars and the disciplines involved in the research. The committee noted that during its review, only one of the faculty members presenting research was female, and none appeared to be African American, Chicano or Hispanic. We also caution that similar lack of sensitivity could significantly impair the efficacy of well-intentioned undertakings such as outreach to schools in the Central Valley and around Santa Cruz, where there are large Hispanic populations. There was also a strong sense that much of the work, especially leadership and formal teaching, being undertaken by CITRIS was engineering-centric, with non-engineering areas of scholarship added as an afterthought. This sense may be incorrect, but the committee urges CITRIS to encourage non-engineering faculty to participate in the leadership of the center, in the design and implementation of research. While it is inevitable that a center for applications of information technology will have a major amount of activity in engineering fields, the uniqueness of CITRIS lies in its multidisciplinary activities, and these should be cultivated and highlighted.

## Simrin Takhar

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**From:** Dejeune Shelton <dshelton2@ucmerced.edu>  
**Sent:** Friday, October 11, 2013 5:33 PM  
**To:** David Kelley; capra1314@ucmcrops.ucmerced.edu; coc1314@ucmcrops.ucmerced.edu; gc1314@ucmcrops.ucmerced.edu; cor1314@ucmcrops.ucmerced.edu; fwdaf1314@ucmcrops.ucmerced.edu; cre1314@ucmcrops.ucmerced.edu; ugc1314@ucmcrops.ucmerced.edu; Erik Menke; Marcelo Kallmann; Jeffrey Gilger  
**Cc:** Anthony Sali; Shannon Adamson; divco1314@ucmcrops.ucmerced.edu; Katie Butterfield  
**Subject:** Systemwide review of APM 600 -- DUE NOV. 12  
**Importance:** High

### Chairs of Senate Committees Chairs of School Executive Committees

On behalf of Chair López-Calvo, attached please find a request for final review of APM 600. A review of APM 600 was conducted last spring. In response to Senate concerns, Academic Personnel has issued an annotated, redlined version of the proposed changes (revisions that elicited no comment or concern in the prior round of review are not included). Please note that two pdfs are attached: 1) Chair Jacobs letter, along with Vice Provost Carlson's request for review and the Academic Council's response to last spring's review; and 2) the review materials, including the existing APMs under review and annotated and redlined versions showing the proposed changes. CAP is the lead reviewer and all other committees are invited to opine.

In order to meet the deadline set by Systemwide Academic Senate you are asked to please send comments to [senatechair@ucmerced.edu](mailto:senatechair@ucmerced.edu) by **Tuesday November 12, 2013**. Please let me know if your committee will not opine.

Thank you,  
Dejeuné M. Shelton  
Executive Director, Merced Academic Senate  
5200 North Lake Road, Suite 346  
Merced, CA 95343  
209-228-7954

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October 10, 2013

### SENATE COMMITTEE CHAIRS SENATE DIVISION CHAIRS

Dear Colleagues:

I have enclosed materials for a systemwide "final" review of APM 600. This was reviewed last year and Council requested additional review based on a clearly marked version of the proposed changes accompanied by explanations of the reasoning underlying the proposals (see enclosed letter). Please pay particular attention to the redlined version of the proposed policy revisions that is included in the packet of materials. Council's July 2013 letter and Vice Provost Carlson's request are appended to this letter. The materials for review are attached in a separate pdf entitled "Final Review Portfolio 10-9-13" and can also be found on Academic Personnel's website under the Final Review section at: <http://www.ucop.edu/academic-personnel/academic-personnel-policy/policies-under-review/index.html>.

Please submit any comments to [SenateReview@ucop.edu](mailto:SenateReview@ucop.edu) by **Monday, November 25** for discussion during the Council iLinc meeting scheduled on December 4. Our response is due to Vice Provost Carlson by December 20. Thank you, and please do not hesitate to contact me if you have any questions.

Sincerely,



Bill Jacob, Chair  
Academic Council

Cc: Senate Executive Directors  
Senate Committee Analysts

[see attachment: "image003.png", size: 2253 bytes]

[see attachment: "Jacob\_DivCteChrs\_APM 600 review.pdf", size: 291982 bytes]

[see attachment: "Final Review Portfolio 10-9-13.pdf", size: 1608160 bytes]

Attachments:

[image003.png](#)

[Jacob\\_DivCteChrs\\_APM 600 review.pdf](#)

[Final Review Portfolio 10-9-13.pdf](#)

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# UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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SANTA BARBARA • SANTA CRUZ

*William Jacob*  
Telephone: (510) 987-9303  
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*Chair of the Assembly and the Academic Council  
Faculty Representative to the Board of Regents  
University of California  
1111 Franklin Street, 12th Floor  
Oakland, California 94607-5200*

October 10, 2013

## **SENATE COMMITTEE CHAIRS SENATE DIVISION CHAIRS**

Dear Colleagues:

I have enclosed materials for a systemwide “final” review of APM 600. This was reviewed last year and Council requested additional review based on a clearly marked version of the proposed changes accompanied by explanations of the reasoning underlying the proposals (see enclosed letter). Please pay particular attention to the redlined version of the proposed policy revisions that is included in the packet of materials. Council’s July 2013 letter and Vice Provost Carlson’s request are appended to this letter. The materials for review are attached in a separate pdf entitled “Final Review Portfolio 10-9-13” and can also be found on Academic Personnel’s website under the Final Review section at: <http://www.ucop.edu/academic-personnel/academic-personnel-policy/policies-under-review/index.html>.

Please submit any comments to [SenateReview@ucop.edu](mailto:SenateReview@ucop.edu) by **Monday, November 25** for discussion during the Council iLinc meeting scheduled on December 4. Our response is due to Vice Provost Carlson by December 20. Thank you, and please do not hesitate to contact me if you have any questions.

Sincerely,

A handwritten signature in cursive script that reads "Bill Jacob".

Bill Jacob, Chair  
Academic Council

Cc: Senate Executive Directors  
Senate Committee Analysts



UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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*Chair of the Assembly and the Academic Council  
Faculty Representative to the Board of Regents  
University of California  
1111 Franklin Street, 12th Floor  
Oakland, California 94607-5200*

July 17, 2013

**SUSAN CARLSON, VICE PROVOST  
ACADEMIC PERSONEL**

Dear Susan:

As we discussed at the June 26 Academic Council meeting, I have enclosed a table of all the comments submitted by divisions and committees on the proposed revisions to APM 600, as well as all of the responses. As we agreed, your office will circulate for review a side-by-side comparison of the current APM 600 and the proposed language with strikeouts and additions noted, as well as the rationale for each proposed change, by September 1. As we agreed, those sections which did not elicit comment can be assumed to be acceptable to the Senate and do not need to be circulated for further review.

We appreciate the opportunity to thoroughly review the proposed amendments to APM 600.

Sincerely,

A handwritten signature in cursive script that reads 'R. L. Powell'.

Robert L. Powell, Chair  
Academic Council

Cc: Academic Council  
Martha Winnacker, Senate Executive Director  
Janet Lockwood, Academic Personnel Policy Manager

**Senate Comments on Draft Revisions to APM 600**

<b>APM Section</b>	<b>Div/Cte</b>	<b>Comment</b>
510	UCB	The provisions of APM 510 related to inter-campus recruitment and hiring merit wider disc
510	UCB	Opposed to including caps on start-up packages in APM
510	UCSC	No justification is provided why draft APM 510 only applies to Senate faculty, instead of all hold appointments for more than one year.
510	UCSD, UCFW	Consider UCFW's suggestions on intercampus transfers
510-16.b	UCSC	Exempts administrative positions from limits on salary increases when moving to another c
510-16.b	UCAP	Does not address the stipends for administrative appointments. Deans should not be put in they are only administration.
510-18-c	UCD	Clarify "next highest step" - salary equivalent? Merit step?
510-18-c	UCD	Clarify review process for barrier steps
510-18-d	UCD	Implies that a candidate can be promoted and advanced in rank without Senate review and APM 220-1
510-18-h	UCD	Specifies that the salary may be more than one step above that at the initiation of the recr indicate that the rank and step might be more than one step higher
600-00	UCSC	"Indexed Compensation Level (ICL)" should be defined in draft APM 600-0
600-4.d	UCSC	Written clarity: jobs and compensation are different things.
600-4.f	UCSC	Written clarity: replace with "A fiscal-year appointment is an appointment for service throu
600-8	UCSC	Written clarity: badly punctuated and hard to read
600-14	UCSC	Written clarity: subject and verb do not agree
600-14.b	UCSC	Draft APM 600-14.b and draft APM 600-Appendix1 are inconsistent with draft APM 662-9.
600-14.d	UCSC	Compensation for reading and judging manuscripts is described as "additional compensatio compensation. At present it is dealt with in APM 665 and is exempt from limits, like honora
600-14.e.i	UCSC	The phrase "otherwise than" has been dropped in going from APM 660-16.a to draft APM 6
600-14.e.iii	UCSC	Written clarity: Employment is not performed. The rest of this item is badly written
600-14.e.v	UCSC	Written clarity: This is incomprehensible.
600-14-3-iii	UCORP	Negotiated Salary Trial Program would be in violation of this draft section
600-18.b	UCSC	Written clarity: "This calculation includes..." We have no idea what this means.

600-20.f	UCSC	Written clarity: "“In unusual circumstances...” This cannot possibly be what is intended.
600-80	UCSC	Written clarity: This whole page is badly written and hard to understand
610	UCSC	General scale increases in academic salaries are moved from the authority of the Regents to the authority of the President under draft APM 610-8.a and b. P&T is not aware if this is a delegation of authority approved by the Regents.
620	UCB	The proposed revision to APM 620 extends the possibility of “offscale” (or “decoupled”) salaries to all academic appointees with the exception of students and appointees subject to a collective bargaining agreement. We will review many of these titles. For those titles that do fall under our purview (i.e., Lecturers with Employment and Potential Security of Employment), we cautiously endorse these proposals. The importance of developing a clear policy for each campus, both for evaluating eligibility for salaries and for assessing their magnitude. The proposed revision to APM 620 extends the possibility of “decoupled”) salaries to all academic appointees with the exception
620-0.c	UCSC	This section is deleted from draft APM 620 and should be restored.
620-14	UCSC	Provide justification for including all academic titles as eligible for off-scale salaries
620-16	UCSC	Provide justification for why all limits on off-scale salaries awarded by Chancellors are removed (above the Indexed Compensation Level)
632	UCSC	Summary states that APM 632 is merged in APM 633 in the draft. However, there is no APM 633 in the draft.
650	UCSC	Summary lists changes to APM 650, but the draft revised policy is not included.
650-18.a	UCSC	Does the base salary include administrative salary? What is the justification?
661	UCLA	Should be revised to accommodate being paid at the rate in effect at the time of teaching
661-0	UCSC	No justification offered; likely to be a violation of faculty rights
661-14	UCSC	Section requires fiscal year faculty engaging in additional teaching to relinquish an appropriate number of days, but nonfaculty fiscal-year appointees may request the use of vacation days or a temporary reduction in their current appointment. Part-time fiscal year appointees may request a temporary increase in their percentage of appointment. Appointees who hold less than half-time fiscal year appointments do not have to worry about any of this (presumably as a relic of the existing policy).
662	UCSC	Draft APM 662 still includes UNEX teaching; 662 and 663 should not overlap.
662-2	UCI	Requiring faculty to teach full loads to be eligible for additional non-summer teaching is a disincentive.
662-9.a	UCSC	Draft APM 662-9.a and 662-9.b are mutually contradictory
662-16.a.i	UCSC	Existing APM 662-16 allows teaching in self-supporting degree programs to result in additional compensation when it is assigned as part of the faculty member's regular teaching load; the draft disallows this. If not, please justify.

662-17.b.ii	UCLA	incompatible with SR 760, which assigns unit values to courses based on hours of student e per week
662-17.b.ii	UCSC	incompatible with SR 760, which assigns unit values to courses based on hours of student e per week
662	UCFW	Because teaching loads vary by discipline, department, and current research load, the over revisions grant undue powers to chairs and deans and could be employed arbitrarily. Need
662	UCD	Every department must clearly articulate its teaching load to define "normal"
662-9	UCORP	Negotiated Salary Trial Program would be in violation of this draft section
663	UCD	Too much latitude given to department heads to define faculty workload
663-14	UCI	Administrative stipends should not count as UCRP covered compensation
663-14.e	UCC	In draft APM 663-14.e, the "only" is inconsistent with the previous subsection.
664	UCLA	No limit indicated for consulting on University projects; should not be exempt from limits
664-0	UCSC	No limit indicated for consulting on University projects; should not be exempt from limits
666-8.a	UCSC	Allows honoraria for seminars etc. on an appointee's home campus. This is prohibited in ex
667-18	UCAP	The term "negotiated salary" should be removed; it is a trial program.
667-18	UCFW	Internal contradictions between the draft revisions and the Negotiated Salary Trial Program resolved.
680-0	UCSC	Is it possible to hold a concurrent appointment non-simultaneously?
680-18.b and c	UCSC	Do these apply to faculty who are employed by LBNL during the summer or part time durin (addressed in draft APM 680-18.d and e)
680-18.e	UCSC	"One-twelfth" conflicts with "one-ninth" mentioned in draft 680-18.d. It is also not clear wh during the academic year is not to be compensated by one-ninths of the academic year sala
680-18.f	UCSC	Faculty paid on a fiscal year basis are to be compensated at the rate of one-twelfth of their during a vacation month, instead of the one-eleventh for grandfathered employees which s appropriate.
Appendix 1	UCSC	Appendix 1 is unclear (see #4 on pg. 2 of UCSC's P&T attachment)
Appendix 1	UCSC	Written clarity: What is the difference between "service days" in Appendix 1 and "working
App. 2, Sec. 1	UCSC	Written clarity: Definition of "Daily Time Factor" is incomprehensible: is it some unspecified working days in that month? Or the percentage that the number of working days in the mo unspecified time period?

App. 2, Sec. 1	UCSC	Written clarity: Definition of "Working Day" includes holidays, but the definition of "Day of" for which payment must be deducted because of absence. Since employees will presumably follow the instructions of section II would result in a payment that is too low.
App 2, Sec II.2	UCSC	Written clarity: A number of days cannot be a rate.
App 2, Sec II.1	UCSC	Written clarity: "Appointment" is unclear. It should be defined in section I or worded differently.
App 2, Sec III.A.2		Written clarity: Very poorly worded (see item xv on pg. 4 of UCSC's P&T attachment)
App 2, Sec 3		Written clarity: Table in Sec 3 should be a separate subsection B.
App 9		Written clarity: Item 3 is unclear (see item xvii on pg. 4 of UCSC's P&T attachment)



OFFICE OF THE VICE PROVOST --  
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT  
1111 Franklin Street, 11<sup>th</sup> Floor  
Oakland, California 94607-5200

October 9, 2013

COUNCIL OF VICE CHANCELLORS  
LABORATORY DIRECTOR ALIVISATOS  
ACADEMIC COUNCIL CHAIR JACOB  
ANR VICE PRESIDENT ALLEN-DIAZ

Dear Colleagues:

**Re: Proposed Revised Academic Personnel Manual (APM) Section IV, Salary Administration (APM - 600 Series), Sections 290, Regents' Professors and Regents' Lecturers, and 510, Intercampus Transfers**

Enclosed for Final Review are proposed revised Academic Personnel Policy (APM) Sections 290, Regents' Professors and Regents' Lecturers; 510, Intercampus Transfers; 650, Technical Assistance Projects; 661, Additional Compensation: Summer Session Teaching; 662, Additional Compensation: Additional Teaching; and 666, Additional Compensation: Honoraria. These draft policies have been reviewed during Management Consultation and Systemwide Review with amended language proposed each time in response to reviewers' comments.

Drafts have been finalized for the other Salary Administration policies circulated during Management Consultation and Systemwide Review. Policies for which issues have been resolved are not being redistributed for Final Review. These are APM Sections:

- 600, General
- 610, Salary Increases
- 620, Off-Scale Salaries for Appointments and Advancement
- 633, Administrative Stipends: Academic Appointees
- 663, Additional Compensation: University Extension
- 664, Additional Compensation: Services as a Faculty Consultant
- 667, Additional Compensation: Extramurally Funded Research
- 680, Salary Calculations for Faculty with Appointments at Lawrence Berkeley National Laboratory

I have enclosed both clean and redline versions of the Final Review draft policies based on feedback received during Systemwide Review. The redline versions include comments intended to clarify the most substantial revisions or those sections on which there was a difference of opinion on language. Please contact Janet Lockwood (email [Janet.Lockwood@ucop.edu](mailto:Janet.Lockwood@ucop.edu) or telephone (510) 987-9499) should you have any questions, experience technical difficulty accessing the files within the portfolio, or wish access to those Salary Administration policies not included in Final Review.

October 9, 2013

Page 2

Newly proposed language for policies under Final Review includes the following:

APM - 290, Regents' Professors and Regents' Lecturers. New language is added to conform to Regents Action Item 506 (November 1988) which sets the maximum compensation rate for Regents' Professors and Regents' Lecturers to correspond with the salary rate for the highest step of the appropriate professorial salary scale. Additionally, new language is added to confirm that compensation is by agreement and may take the form of salary or an honorarium.

APM - 510, Intercampus Transfers. This policy applies only to Senate faculty appointments and does not address primary appointments to faculty administrator positions such as Deans whose unit salaries are governed under APM - 240, Deans. However, new language has been added to clarify that the exemption does not apply to the terms of the administrator's underlying faculty appointment.

APM - 650, Technical Assistance Projects. Proposed revisions to this policy had been circulated for review during Management Consultation yet were inadvertently omitted from the Systemwide Review portfolio.

APM - 661, Additional Compensation: Summer Session Teaching. New language has been added to cover various types of appointments and appointees eligible for Summer Session teaching and to clarify that full-time Health Sciences Compensation Plan faculty are ineligible to receive additional compensation for Summer Session teaching.

APM - 662, Additional Compensation: Additional Teaching. New language provides general guidance for determining time spent teaching fully online courses within the context of additional compensation for additional teaching.

APM - 666, Additional Compensation: Honoraria. Language formalizes current campus practice and adds flexibility requested by some reviewers to allow the chancellor to make exceptions. For example, some reviewers believe that faculty should be eligible for honoraria for activities occurring on the home campus.

Final review is intended to advise the results of the Systemwide Review and how language has been refined. We do not anticipate substantive matters to be raised during Final Review. This stage of consultation is intended to resolve prior discussions and to answer remaining questions.

This letter and enclosures anticipate that you will submit comments no later than **December 20, 2013**. Please send comments on the proposed policy to [ADV-VPCARLSON-SA@ucop.edu](mailto:ADV-VPCARLSON-SA@ucop.edu).

Sincerely,



Susan L. Carlson  
Vice Provost  
Academic Personnel

Enclosures: Redline and clean copy versions of APM - 290, - 510, - 650, - 661, - 662, and - 666

cc: President Napolitano  
Chancellors  
Provost Dorr  
Executive Vice President Brostrom  
Senior Vice President Vacca  
Vice President Duckett

October 9, 2013

Page 3

Vice Provosts of Academic Personnel  
Academic Personnel Directors  
Executive Director Fox  
Executive Director Rodrigues  
Executive Director Tanaka  
Executive Director Winnacker  
Deputy General Counsel Drown  
Senior Counsel Van Houten  
Director Chester  
Manager Lockwood  
Human Resources Analyst Bello  
Senior Administrative Analyst Rupert



290-0 **Policy**

- a. In order to bring to the University distinguished individuals, ordinarily from ~~nonacademic~~non-academic 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~~appointees and to the ~~Chancellor~~Chancellors.

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~~reside in the vicinity of the campus during the appointment 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 quarter or 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~~reside in the vicinity of the campus during the appointment 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**Definitions

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~~non-academic 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~~non-academic 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~~fall semester/quarter and the last day of classes in the ~~Spring Semester/Quarter~~spring semester/quarter of the ~~current~~same academic 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~~non-academic 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 APM - 290-10-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 Compensation**

~~See APM 640.~~

- a. Per Regental authority<sup>1</sup>, the maximum compensation rate for Regents' Professors and Regents' Lecturers corresponds with the salary rate for the highest step of the applicable professorial salary scale.
- b. Regents' Professors  
Compensation for Regents' Professors is by agreement and subject to approval by The Regents and may take the form of salary or honorarium.
- c. Regents' Lecturers  
Compensation for Regents' Lecturers is by agreement and subject to approval by the Chancellor and may take the form of salary or honorarium.

**Comment [AP1]:** New language added to conform to Regents Action Item 506, November 17, 1988, which sets forth the maximum compensation rate for both Regents' Professors and Regents' Lecturers.

**Comment [AP2]:** New language added to confirm that compensation is by agreement and may take the form of honorarium as well as salary.

**Comment [AP3]:** New language added to confirm that compensation is by agreement and may take the form of honorarium as well as salary.

<sup>1</sup> Regents Action Item 506 November 17, 1988

290-24 **Authority**

Authority to appoint Regents' Professors and Regents' Lecturers is delegated as follows:

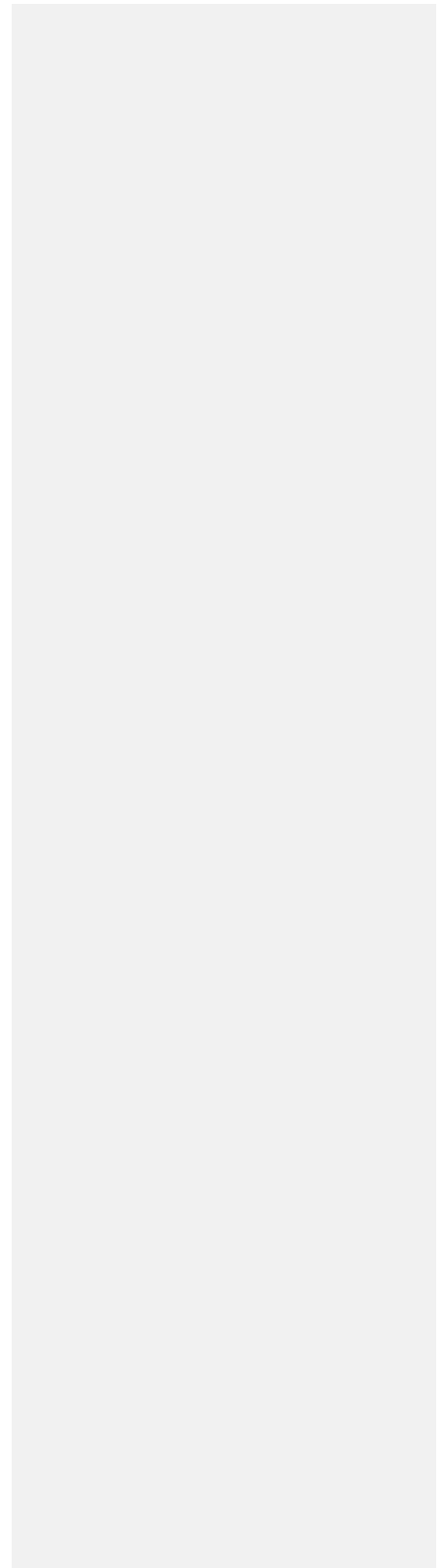
a. **Regents' Professors**

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.~~

<b>Legend:</b>	
<u>Insertion</u>	
<del>Deletion</del>	
<del>Moved from</del>	
<u>Moved to</u>	
Style change	
Format change	
<del>Moved deletion</del>	
Inserted cell	
Deleted cell	
Moved cell	
Split/Merged cell	
Padding cell	



290-0 **Policy**

- a. In order to bring to the University distinguished individuals, ordinarily from non-academic 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 appointees and to the Chancellors.

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 reside in the vicinity of the campus during the appointment 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 quarter or 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 reside in the vicinity of the campus during the appointment 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 **Definitions**

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 non-academic 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 non-academic 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 same academic 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 non-academic 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 APM - 290-10-a, 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 **Compensation**

- a. Per Regental authority<sup>1</sup>, the maximum compensation rate for Regents' Professors and Regents' Lecturers corresponds with the salary rate for the highest step of the applicable professorial salary scale.
- b. Regents' Professors  
Compensation for Regents' Professors is by agreement and subject to approval by The Regents and may take the form of salary or honorarium.
- c. Regents' Lecturers  
Compensation for Regents' Lecturers is by agreement and subject to approval by the Chancellor and may take the form of salary or honorarium.

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<sup>1</sup> Regents Action Item 506 November 17, 1988

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.

510-0 Policy

a. This policy ~~applies~~ provides guidance to all permanent intercampus transfers of academic appointees ~~other than those holding appointments for one year or less.~~ who hold Senate faculty titles on the home campus and who are recruited into Senate faculty titles at the recruiting campus.

**Comment [AP1]:** New phrase inserted to identify faculty population subject to the policy and to formalize current campus practice.

510-2 Purpose

b. It is the obligation of those involved in the consideration of an intercampus transfer to pay due regard to the welfare of the University as a whole as well as to the wishes of the ~~particular~~ appointee and to the effect of the transfer on the two campuses directly concerned.

~~e. Compensation or reimbursement for expenses incident to the transfer may be allowable in accordance with the provisions of APM-550.~~

510-16 Restrictions

a. Transfer of Research

If, in conjunction with an intercampus transfer covered by ~~the~~ this policy ~~in this section,~~ ~~an appointee,~~ a transferee who is a principal investigator or co-investigator under an extramurally funded contract or grant wishes to transfer the contract or grant or any part of the equipment funded thereby to the recruiting campus ~~to which the appointee is transferring,~~ the matter must be discussed at the earliest possible opportunity with the contract and grant administrator on the ~~hiring~~ recruiting campus.

Such transfer of contract or grant or equipment may be accomplished only after approval by both Chancellors concerned and in accordance with University rules for contract and grant administration and the rules of the granting agency.

~~510.24~~ **Authority**

~~Final approval of an intercampus transfer shall be made by the Chancellor of the campus to which the appointee is transferring.~~

~~510.80~~ **Procedures**

~~a. Prior to the initiation of negotiation for an intercampus transfer, the Chancellors of the two campuses involved shall be informed of the proposed transfer. In the case of a person holding a title under the jurisdiction of the Vice President - Agriculture and Natural Resources, the latter shall also be informed. See APM - 510, Appendix A, Guidelines on Intercampus Recruiting.~~

b. ~~Ten working days before making the formal offer of appointment to the intended transferee, which offer shall be in writing, the Chancellor of the~~ Faculty Administrator

Appointments

~~hiring campus shall indicate such intention to the Chancellor of the campus from which the appointee will be transferring. If the appointee holds a title under the jurisdiction of the Vice President - Agriculture and Natural Resources, the latter also be notified.~~

This policy applies only to Senate faculty appointments and does not address primary appointments to faculty administrator positions such as Dean. However, the policy does apply to the terms of an underlying Senate faculty appointment.

c. Timing

~~e. No offer of appointment which entails that includes intercampus transfer of a continuing appointee shall be made after April 1 for service during the immediately~~

**Comment [AP2]:** Language exempts Faculty Administrators such as Deans whose unit salaries are governed under APM - 240. However, new language is inserted to clarify that the exemption does not apply to the underlying faculty appointment.

following academic year, unless a later offer date is mutually agreed to by ~~the~~both Chancellors involved.

d. Effect of Sabbatical Leave on Transfer Date

An inter-campus transfer of an appointee may become effective immediately following the appointee's sabbatical leave; accordingly, the return to service requirement in APM - 740, Leaves of Absence/Sabbatical Leaves may be met by returning to service at another UC campus.

**Comment [AP3]:** New language inserted to formalize current campus practice.

510-18 Rank, Step and Salary

~~a.~~ d.—When ~~an appointee~~a Senate faculty member on one campus is to be transferred to another campus, the ~~appointee's~~transferee's rank and salary as recommended to be effective ~~upon~~on transfer shall be subject to academic and administrative review on the recruiting campus ~~to which the transfer is to be made~~. The Chancellor of the ~~latter~~recruiting campus shall make the final decision on the rank and salary of the ~~appointee, subject to the following:~~

~~Transfers made in accordance with the provisions of this section shall also comply with the provisions of Section 101.2(a) of the Standing Orders of The Regents (that is, that an advancement to an above-scale salary beyond the Regental compensation threshold shall be submitted to The Regents on recommendation by the President)~~transferee. For additional details on such procedures, see APM ~~=~~ 220~~=~~80 and 220~~=~~85.

~~e.~~—An inter-campus transfer may become effective immediately following a period of sabbatical leave of the person being transferred.



University of California  
Office of the President  
- July 12, 1999

GUIDELINES ON INTERCAMPUS RECRUITING

~~The Guidelines on Intercampus Recruiting shall be distributed annually to deans, department chairs, directors, and other administrators who are involved in the intercampus recruitment of ladder rank faculty. These Guidelines concern faculty appointment only and do not address appointments to such administrative positions as Department Chair or Dean.~~

~~1. Notification~~

- ~~a. A review for the recruitment of a faculty member from another UC campus cannot proceed at the campus level until the other Chancellor\* of the campus from which the faculty member is being recruited has been officially informed.~~
- b. ~~The Chancellor of the recruiting campus will notify the other Chancellor of Transfers~~ made with advancement to a salary that exceeds the Indexed Compensation Level threshold shall be submitted to the Provost and Executive Vice President for approval.  
~~the intention to make an offer at the earliest possible opportunity. The Chancellor of the recruiting campus will provide information about the details of the offer in writing as soon as such information is available.~~
- c. ~~The information provided to the Chancellor must include any and all recruiting inducements, financial or otherwise and regardless of fund source, including the proposed salary, stipends or summer ninths, appointment to endowed chairs, teaching responsibilities and other recruitment incentives.~~

~~2. Salary~~

- c. a. ~~The recruiting campus may offer~~ advancement and/or a salary increase of no more than one step, or the equivalent of one step, above the ~~faculty member's~~ transferee's current ~~salary~~ step and salary (regardless of any proposed pending personnel action at the home campus). If the ~~faculty member's~~ transferee's current salary is an off-scale salary, the recruiting campus may offer the next higher step along with the same ~~percentage increment.~~ off-scale dollar amount.

**Comment [AP4]:** The Guidelines have been moved to APM - 510-80, Procedures and edited for clarity.

d. ~~b.~~—An offer which includes a promotion is permitted if ~~the salary conforms with~~  
otherwise consistent with this policy and campus personnel review procedures.  
~~— the requirements set forth in these guidelines.~~

\* Chancellor or designee. —

e.—If a stipend is also offered ~~in addition to salary~~, it must be offered for *bona fide* administrative duties.

e. ~~d.~~—~~In response to the offer, the~~The home campus may counter offer a rank, step  
and/or salary equivalent to ~~that~~the offer of the recruiting campus.

f. ~~e.~~—If, at any time during the recruitment, the home campus is reviewing the faculty member for a salary increase and/or advancement to become effective at a later date, the recruiting campus may not offer more than one step above the current salary until the review is complete.

g. ~~f.~~—If the home campus ~~review~~personnel action occurring during the recruitment results in a salary increase and/or advancement, the recruiting campus may offer a salary, rank  
and step equivalent to the ~~increased salary, even if the~~ increase is and/or advancement,  
~~more than one step above the salary at the time of the initial recruitment effort.~~

h. ~~g.~~—If the faculty member ~~being recruited by another UC campus~~ also is being recruited by an outside institution, then ~~either~~ the home and/or ~~the~~ recruiting UC campus may make a counter offer higher than ~~that described~~the above limits in order to compete with the *bona fide* outside offer. Evidence of a bona fide competing offer may be requested by the home and/or recruiting campus.

~~3.~~ 510-19 Start-Up Costs

~~a. Presidential approval~~ Approval by the Provost and Executive Vice President must be sought if the amount of the proposed package of ~~startup~~ start-up costs and other inducements (excluding housing assistance) ~~exceeds \$500,000 and any MOP loan~~ exceeds an amount set from time-to-time by the Provost and Executive Vice President for faculty in the laboratory sciences, ~~and \$250,000 for other faculty.~~

~~b. The~~ and Health Sciences Compensation Plan faculty. For purposes of applying the relevant amount standards, the proposed package shall include all expenditures such as laboratory renovations, research equipment, and summer salary for a faculty member.

~~4. Office of the President~~

Faculty Recruitment Allowance Program grants (see APM - 190, Appendix E) are outside of any start-up package costs.

510-24 Authority

a. Final approval of an intercampus transfer shall be made by the Chancellor of the campus to which the appointee is transferring.

~~b. a.~~ At any point in a proposed intercampus recruitment, either Chancellor may request mediation or intervention by the Provost and ~~Senior~~ Executive Vice President—  
~~Academic Affairs.~~

**Comment [AP5]:** The President has delegated this authority to the Provost and Executive Vice President. New language is inserted to stipulate that the Provost will establish the maximums from time-to-time.

- c. ~~b.~~—If there is a question regarding the application of these guidelines, the Provost and ~~Senior Executive~~ Vice President—~~Academic Affairs~~ will provide an interpretation of the policy.  
~~—of the guidelines~~

510-80 Procedures for Notification

**Comment [AP6]:** This section is moved from what is currently shown in “Guidelines.”

Notification

- a. Prior to the initiation of negotiation for an intercampus transfer, the Chancellors of the two campuses involved shall be informed of the proposed transfer. In the case of a person holding a title under the jurisdiction of the Vice President—Agriculture and Natural Resources, the latter also shall be informed.
- b. As soon as a candidate is identified for appointment by the department of the recruiting campus, and prior to review for appointment, the Chancellor of the recruiting campus will notify the home campus Chancellor of the intention to make an offer. The Chancellor of the recruiting campus will provide details of the offer in writing as soon as such information is available.

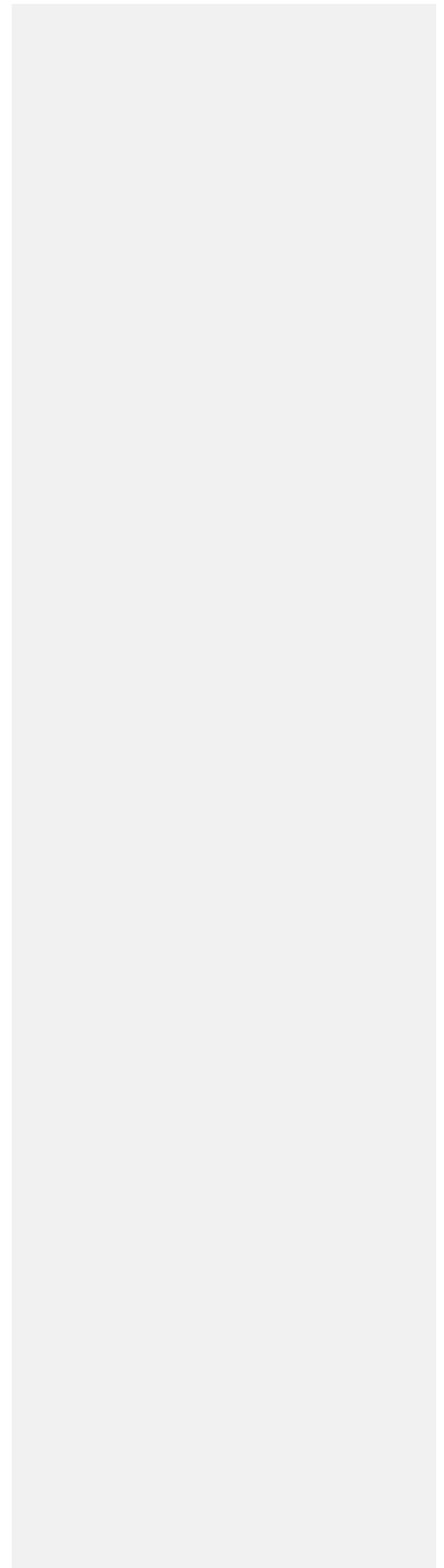
These details must include any and all recruiting inducements financial or otherwise and regardless of fund source, including the proposed total negotiated salary, stipends or summer ninths, recruitment allowance, appointment to endowed chairs, reduced teaching responsibilities, start-up funds, space remodeling and other incentives.

If in the course of negotiations with the transferee the recruiting campus significantly increases the recruitment incentives previously reported, the recruiting campus Chancellor will inform the home campus Chancellor of such increases. At any time during the recruitment the Chancellor of the home campus shall, upon request, be provided the current details of the recruiting incentives offered by the Chancellor of the recruiting campus.

- c. At least ten working days before making the formal offer of appointment to the intended transferee, which offer shall be in writing, the Chancellor of the recruiting campus shall indicate such intention to the Chancellor of the home campus. If the transferee holds a title under the jurisdiction of the Vice President—Agriculture and Natural Resources, the latter also shall be informed.

The ten working day notification period may be waived by agreement of both Chancellors involved.

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510-0 **Policy**

This policy provides guidance to all permanent intercampus transfers of academic appointees who hold Senate faculty titles on the home campus and who are recruited into Senate faculty titles at the recruiting campus.

510-2 **Purpose**

It is the obligation of those involved in the consideration of an intercampus transfer to pay due regard to the welfare of the University as a whole as well as to the wishes of the appointee and to the effect of the transfer on the two campuses directly concerned.

510-16 **Restrictions**

a. Transfer of Research

If, in conjunction with an intercampus transfer covered by this policy, a transferee who is a principal investigator or co-investigator under an extramurally funded contract or grant wishes to transfer the contract or grant or any part of the equipment funded thereby to the recruiting campus, the matter must be discussed at the earliest possible opportunity with the contract and grant administrator on the recruiting campus. Such transfer of contract or grant equipment may be accomplished only after approval by both Chancellors concerned and in accordance with University rules for contract and grant administration and the rules of the granting agency.

b. Faculty Administrator Appointments

This policy applies only to Senate faculty appointments and does not address primary appointments to faculty administrator positions such as Dean. However, the policy does apply to the terms of an underlying Senate faculty appointment.

c. Timing

No offer of appointment that includes intercampus transfer shall be made after April 1 for service during the immediately following academic year unless a later offer date is mutually agreed to by both Chancellors involved.

d. Effect of Sabbatical Leave on Transfer Date

An intercampus transfer of an appointee may become effective immediately following the appointee's sabbatical leave; accordingly, the return to service requirement in APM - 740, Leaves of Absence/Sabbatical Leaves may be met by returning to service at another UC campus.

**510-18 Rank, Step and Salary**

- a. When a Senate faculty member on one campus is to be transferred to another campus, the transferee's rank and salary as recommended to be effective on transfer shall be subject to academic and administrative review on the recruiting campus. The Chancellor of the recruiting campus shall make the final decision on the rank and salary of the transferee. For additional details on such procedures, see APM - 220-80 and 220-85.
- b. Transfers made with advancement to a salary that exceeds the Indexed Compensation Level threshold shall be submitted to the Provost and Executive Vice President for approval.



- c. The recruiting campus may offer advancement and/or a salary increase of no more than one step, or the equivalent of one step, above the transferee's current step and salary (regardless of any proposed pending personnel action at the home campus). If the transferee's current salary is an off-scale salary, the recruiting campus may offer the next higher step along with the same off-scale dollar amount.
- d. An offer which includes a promotion is permitted if otherwise consistent with this policy and campus personnel review procedures.
- e. If a stipend is also offered, it must be offered for *bona fide* administrative duties.
- f. The home campus may counter-offer a rank, step and/or salary equivalent to the offer of the recruiting campus.
- g. If, at any time during the recruitment, the home campus is reviewing the faculty member for a salary increase and/or advancement to become effective at a later date, the recruiting campus may not offer more than one step above the current salary until the review is complete.
- h. If the home campus personnel action occurring during the recruitment results in a salary increase and/or advancement, the recruiting campus may offer a salary, rank and step equivalent to the increase and/or advancement.
- i. If the faculty member also is being recruited by an outside institution, then the home and/or recruiting UC campus may make a counter-offer higher than the above limits in order to compete with the *bona fide* outside offer. Evidence of a *bona fide* competing offer may be requested by the home and/or recruiting campus.

**510-19 Start-Up Costs**

Approval by the Provost and Executive Vice President must be sought if the amount of the proposed package of start-up costs and other inducements (excluding housing assistance and any MOP loan) exceeds an amount set from time-to-time by the Provost and Executive Vice President for faculty in the laboratory sciences and Health Sciences Compensation Plan faculty. For purposes of applying the relevant amount standards, the proposed package shall include all expenditures such as laboratory renovations, research equipment and summer salary for a faculty member.

Faculty Recruitment Allowance Program grants (see APM - 190, Appendix E) are outside of any start-up package costs.

**510-24 Authority**

- a. Final approval of an intercampus transfer shall be made by the Chancellor of the campus to which the appointee is transferring.
- b. At any point in a proposed intercampus recruitment, either Chancellor may request mediation or intervention by the Provost and Executive Vice President.
- c. If there is a question regarding the application of these guidelines, the Provost and Executive Vice President will provide an interpretation of the policy.

**510-80 Procedures for Notification**

**Notification**

- a. Prior to the initiation of negotiation for an intercampus transfer, the Chancellors of the two campuses involved shall be informed of the

proposed transfer. In the case of a person holding a title under the jurisdiction of the Vice President—Agriculture and Natural Resources, the latter also shall be informed.

- b. As soon as a candidate is identified for appointment by the department of the recruiting campus, and prior to review for appointment, the Chancellor of the recruiting campus will notify the home campus Chancellor of the intention to make an offer. The Chancellor of the recruiting campus will provide details of the offer in writing as soon as such information is available.

These details must include any and all recruiting inducements financial or otherwise and regardless of fund source, including the proposed total negotiated salary, stipends or summer ninths, recruitment allowance, appointment to endowed chairs, reduced teaching responsibilities, start-up funds, space remodeling and other incentives.

If in the course of negotiations with the transferee the recruiting campus significantly increases the recruitment incentives previously reported, the recruiting campus Chancellor will inform the home campus Chancellor of such increases. At any time during the recruitment the Chancellor of the home campus shall, upon request, be provided the current details of the recruiting incentives offered by the Chancellor of the recruiting campus.

- c. At least ten working days before making the formal offer of appointment to the intended transferee, which offer shall be in writing, the Chancellor of the recruiting campus shall indicate such intention to the Chancellor of the home campus. If the transferee holds a title under the jurisdiction of the Vice President—Agriculture and Natural Resources, the latter also shall be informed.

The ten working day notification period may be waived by agreement of both Chancellors involved.

650-40 ~~Definition~~ Policy

~~In determining compensation of University personnel under this section,~~  
~~technical~~ Technical assistance projects shall include publicly or privately financed cooperative projects (such as ~~those under arrangements~~ contracts or grants with the Agency for International Development ~~and~~ or the Ford Foundation).

**Comment [AP1]:** This section is renumbered and edited to conform to current APM style and formatting.

650-17 ~~Term of Appointment~~ Types

~~Provisions elsewhere in this Manual that limit certain appointments to self-terminating periods of one year unless the appointee is otherwise notified (e.g., Sections 230-17 regarding Visiting appointments, 235-17 regarding Acting appointments, 400-17 regarding Associate) do not apply to persons employed~~

A project appointment is classified based on where service is provided:

a. Foreign Service

abroad on technical assistance projects. A foreign service appointee provides service outside the United States.

b. In-Residence Service

An in-residence service appointee provides service in the United States.

**Comment [AP2]:** This new section specifies the types of appointments covered by APM - 650.

650-18 Salary Rate

The salary rate ~~should~~ shall be determined as follows:

a. ~~For service overseas:~~ Foreign Service or In-Residence appointment

- (1) ~~The salary of an appointee already employed in the University who transfers to foreign service should be based upon his/her salary rate as an academic appointee immediately prior to the transfer including any~~

**Comment [AP3]:** Revisions in this section are proposed for clarity.

~~— administrative salary but excluding other University compensation for additional services or responsibilities.— If, prior to assignment to the foreign service project, the appointee's salary has been on the academic year scale, this previous salary should be adjusted to its equivalent on the fiscal year scale when the duties abroad extend through the full year.~~  
University employee

The salary rate for a University academic appointee who transfers to a project shall be based on the academic appointee's base salary rate at the time of transfer.

- (2) ~~For those previously employed by another institution who have been recruited by this University for a foreign service project, and who hold~~  
Non-University recruitment

The salary rate for an academic appointee recruited for a project from an institution other than the University and appointed under APM - 230, Visiting Appointments, shall be based on two factors: the new

~~the prefix Visiting, the salary rate should be based upon consideration of the academic appointee's previous salary at the home institution as well as this, and the University's salaries.~~  
's salary rate for a comparable appointment.

- (3) ~~Where substantial administrative responsibilities are also involved, such~~  
(3) Administrative stipend

~~as in~~ In recognition of additional substantial administrative responsibilities for a project, e.g., appointment as director of a foreign service project, an administrative stipend may be ~~added~~ paid to an eligible academic appointee with the prior approval of the Chancellor. Such stipend ~~should~~ shall not exceed that normally paid to regular University directors or other academic administrators ~~for services of comparable magnitude, difficulty, and level of responsibility~~ with similar duties and responsibilities. In determining the amount of the administrative stipend, duties performed during the summer period for an academic year appointee may be considered.

b. Payments applicable only to a foreign service appointee

~~(4) A so-called~~ (1) Incentive payment

An "incentive payment" for accepting a foreign service appointment or similar augmentation of income, ~~may be made when and as provided in~~ may be paid to an eligible academic appointee according to the terms and conditions of the project. ~~Such~~ An "incentive payment" ~~an addition to the salary~~ does not increase the ~~as~~ basis for computing sabbatical or retirement income, and should be coded as overseas premium for payroll purposes.

~~(5)~~ "Differential payment and other allowance payments" ~~that, in addition to "incentive payments," are~~ ~~paid~~ A differential payment is paid to eligible academic appointees for service at certain hardship posts, ~~and~~ quarters, post, educational, travel and other allowances in accordance with the Department of State Standardized ~~United States Government Civilian~~

Regulations (~~Foreign Service Areas~~ DSSR) may be paid when and as permissible under ~~I.C.A.~~ Individual Contractor Agreements (ICAs) or other contracts, or under the provisions of foundation grants. ~~Such "differential payments" and such allowances~~ Differential and other allowance payments are in addition to incentive payments and do not increase the basis for computing sabbatical and retirement income, and should be coded as overseas premium for payroll purposes.

~~b. For service in residence:~~

~~(1) The rules set forth in a.(1), (2), and (3) above are also applicable in determining the salary of a University appointee remaining in residence while assigned to coordinate or otherwise serve projects such as those described above.~~

~~(2) Where substantial work and responsibilities are involved, additional financial compensation may be allowed with the prior approval of the Chancellor.~~

~~Such a stipend, which may take into account duties performed during the summer vacation as well as during the academic year, should not exceed that normally paid to regular University administrators for services of comparable magnitude, difficulty, and level of responsibility.~~

~~(3) If service to a project should necessitate reduction in the teaching load normally carried by the person, his salary from the department should be reduced accordingly, and the amount of such reduction be made up from the project account.~~

650-19 **Salary Increases**

- a. A University ~~appointees~~ appointee assigned to a foreign service appointment under ~~Section 650-18 a-~~



~~above continue to enjoy eligibility~~ APM - 650-18-a is eligible for general and merit salary increases on the same basis as if ~~they~~ the foreign service appointee had remained in residence at the University (see ~~Sections~~ APM - 610 and 615).

- b. A University ~~appointees~~ appointee previously employed by another institution who ~~have~~ has been recruited by ~~this~~ the University for a foreign service project ~~are~~ is eligible for general salary increases if provided for in the contract and if the term of employment exceeds one year.

650-20 **Term of Appointment**

A technical assistance project-based academic appointment may be made for an unspecified or specified term and is exempt from University policies restricting an academic appointment to a one-year term (e.g., APM - 230-17, Visiting Appointments and APM - 235-17, Acting Appointments).

**Comment [AP4]:** This section moves text from APM - 650-17 in the current policy.

650-22 **Funds**

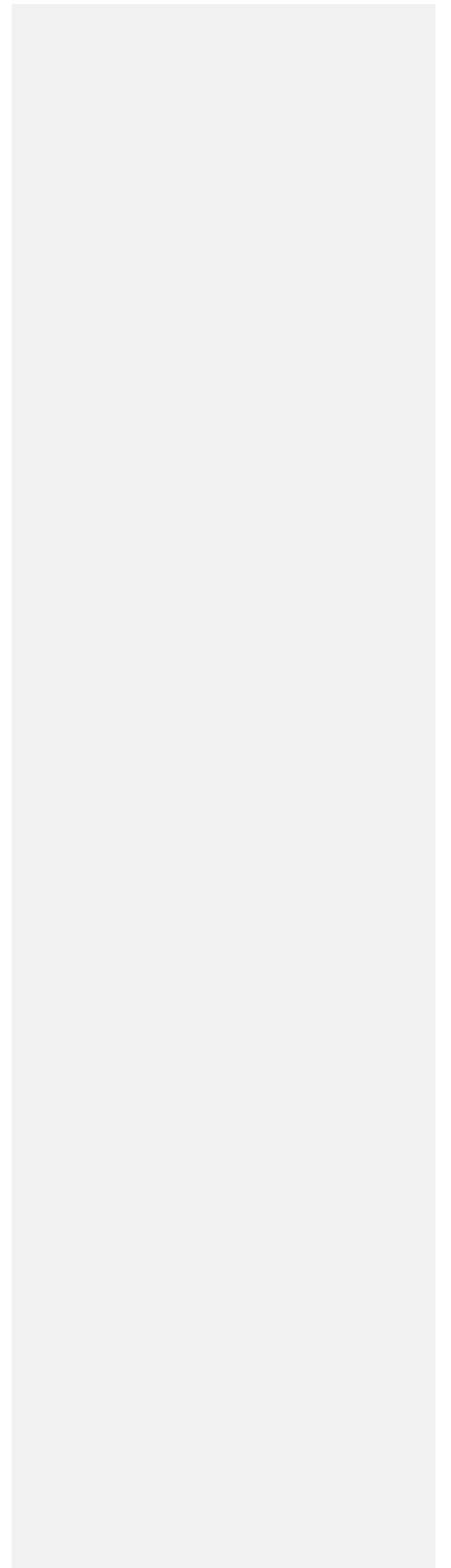
~~If service to a project should necessitate reduction in the teaching load normally carried by the person, his/her salary from the department should be reduced accordingly, and the amount of such reduction be made up from the project account~~ Project account funds may be used to offset the reduction in the academic appointee's departmental salary necessitated by the academic appointee assuming a reduced normal teaching load due to project responsibilities.

**Comment [AP5]:** Edits clarify current text.

650-24 **Authority**

Authority to determine salaries for appointees assigned to technical assistance projects is the same as for other academic appointees (see ~~Section~~APM - 600-24), except that ~~each~~the Chancellor has authority to approve payment of an ~~additional~~administrative stipend ~~as described in Section 650-18 a.(3) and b.(2)~~ above.

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650-0 **Policy**

Technical assistance projects shall include publicly or privately financed cooperative projects (such as contracts or grants with the Agency for International Development or the Ford Foundation).

650-8 **Types**

A project appointment is classified based on where service is provided:

a. Foreign Service

A foreign service appointee provides service outside the United States.

b. In-Residence Service

An in-residence service appointee provides service in the United States.

650-18 **Salary Rate**

The salary rate shall be determined as follows:

a. Foreign Service or In-Residence appointment

(1) University employee

The salary rate for a University academic appointee who transfers to a project shall be based on the academic appointee's base salary rate at the time of transfer.

(2) Non-University recruitment

The salary rate for an academic appointee recruited for a project from an institution other than the University and appointed under APM - 230, Visiting Appointments, shall be based on two factors: the new

academic appointee's previous salary at the home institution, and the University's salary rate for a comparable appointment.

(3) Administrative stipend

In recognition of additional substantial administrative responsibilities for a project, e.g., appointment as director of a foreign service project, an administrative stipend may be paid to an eligible academic appointee with the prior approval of the Chancellor. Such stipend shall not exceed that normally paid to regular University directors or other academic administrators with similar duties and responsibilities. In determining the amount of the administrative stipend, duties performed during the summer period for an academic year appointee may be considered.

b. Payments applicable only to a foreign service appointee

(1) Incentive payment

An incentive payment for accepting a foreign service appointment or similar augmentation of income may be paid to an eligible academic appointee according to the terms and conditions of the project. An incentive payment does not increase the basis for computing sabbatical or retirement income and should be coded as overseas premium for payroll purposes.

(2) Differential payment and other allowance payments

A differential payment is paid to eligible academic appointees for service at certain hardship posts; quarters, post, educational, travel and other allowances in accordance with the Department of State Standardized

Regulations (DSSR) may be paid when and as permissible under Individual Contractor Agreements (ICAs) or other contracts, or under the provisions of foundation grants. Differential and other allowance payments are in addition to incentive payments and do not increase the basis for computing sabbatical and retirement income, and should be coded as overseas premium for payroll purposes.

**650-19 Salary Increases**

- a. A University appointee assigned to a foreign service appointment under APM - 650-18-a is eligible for general and merit salary increases on the same basis as if the foreign service appointee had remained in residence at the University (see APM - 610).
- b. A University appointee previously employed by another institution who has been recruited by the University for a foreign service project is eligible for general salary increases if provided for in the contract and if the term of employment exceeds one year.

**650-20 Term of Appointment**

A technical assistance project-based academic appointment may be made for an unspecified or specified term and is exempt from University policies restricting an academic appointment to a one-year term (e.g., APM - 230-17, Visiting Appointments and APM - 235-17, Acting Appointments).

650-22 **Funds**

Project account funds may be used to offset the reduction in the academic appointee's departmental salary necessitated by the academic appointee assuming a reduced normal teaching load due to project responsibilities.

650-24 **Authority**

Authority to determine salaries for appointees assigned to technical assistance projects is the same as for other academic appointees (see APM - 600-24), except that the Chancellor has authority to approve payment of an administrative stipend.

661-0 Policy

Academic appointees may receive additional compensation for Summer Session teaching.

**Comment [AP1]:** New section with sentence inserted to conform to APM style.

661-14 Eligibility

Only the following academic appointees may receive additional compensation for Summer Session teaching:

- a. ~~a.~~ Academic-year appointees.
- b. ~~b.~~ Appointees holding split appointments, partly on an academic-year basis and partly on a fiscal-year basis, provided the fiscal-year portion of the appointment is less than half-time during the Summer Session period.
- c. Full-time fiscal-year faculty appointees who are granted a temporary reduction in their percentage of appointment or those who relinquish outside professional activity days or vacation days equal to one day for every six contact or podium hours with students.
- d. Part-time fiscal-year faculty who are granted a temporary increase in their percentage of appointment. Fiscal-year faculty appointed less than 50 percent in a Health Sciences Compensation Plan school cannot increase the percentage of appointment to more than 50 percent<sup>1</sup>.
- e. Non-faculty fiscal-year appointees who are granted the use of vacation days or a temporary percentage reduction in their current appointment.

**Comment [AP2]:** New language inserted to cover various types of appointments and appointees eligible for Summer Session teaching.

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<sup>1</sup> Any appointment more than 50 percent affects a faculty member's eligibility to participate in the Health Sciences Compensation Plan. (See APM - 670, Health Sciences Compensation Plan.)



661-16 **Restrictions**

- a. Compensation for academic-year appointees may not exceed three-ninths during the summer period.
- b. Compensation for fiscal-year appointees may not exceed one-twelfth per month of the annual salary. This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the Professor, Astronomer or Agronomist series are eligible for payments up to one-eleventh of the annual salary of a fiscal-year appointee.
- c. These additional compensation maximums are cumulative of all concurrent sources of additional University compensation.
- d. ~~— appointment is for less than half time during the~~ Full-time Health Sciences Compensation Plan faculty are not eligible to receive additional compensation for Summer Session periodteaching.

**Comment [AP3]:** New language inserted to clarify maximum amount of salary that may be earned for academic-year and fiscal-year appointees.

661-18 **Compensation** **Salary**

- a. ~~Normal compensation for a standard Summer Session instructional load, teaching~~  
~~which is defined as two regularly scheduled courses per Session, shall be as follows:~~
  - ~~6-week session — 17% of academic-year rate\*~~
  - ~~7-week session — 19% of academic-year rate\*~~
  - ~~8-week session — 22% of academic-year rate\*~~

~~\* — Salary rate in effect June 30 of the calendar year in which the Summer Session begins.~~

The amount of pay is negotiated based on the teaching load. Each campus shall determine the formula by which pay is calculated.
- b. Summer salary rates shall be calculated based on the salary rate in effect at the time it is earned.

**Comment [AP4]:** Formulas for calculating Summer Session pay vary by campus and vary by program within campus.

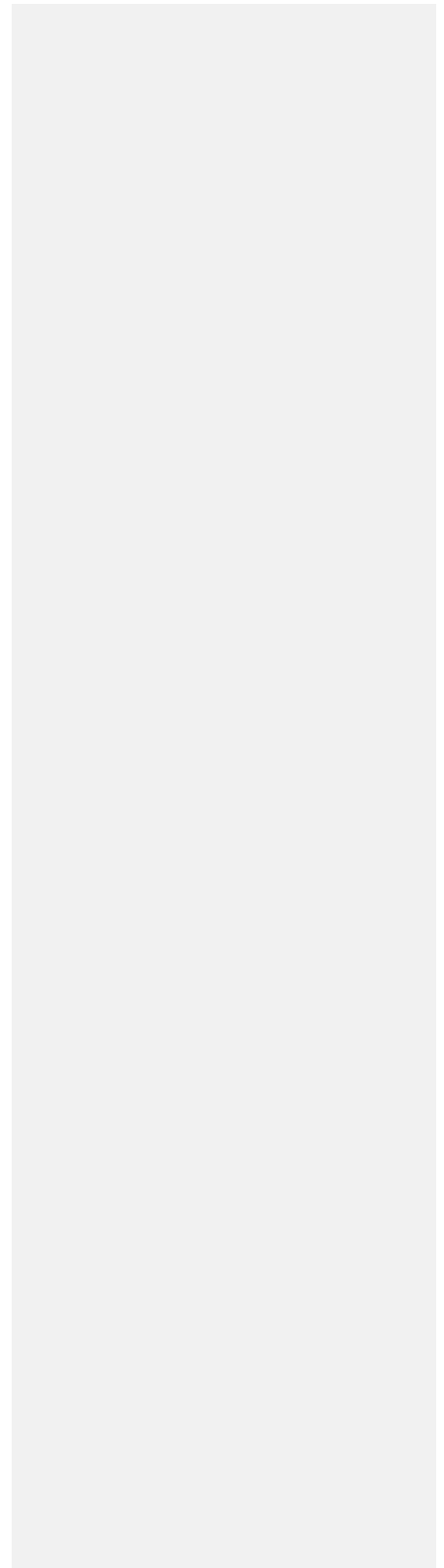
c. ~~b. Each Chancellor is authorized to approve other appropriate compensation.~~ Faculty shall inform the department chair of the home campus when teaching Summer Session at a University campus other than the home campus to insure pay is accurate and does not exceed policy limits.

**Comment [AP5]:** New item c inserted to insure confirmation of eligibility for Summer Session teaching, correct pay, and timely payment. Also prevents exceeding compensation limits.

661-24 **Authority**

Each Chancellor is authorized to approve additional compensation for Summer Session teaching ~~by~~ for eligible academic appointees ~~(as defined in APM - 661-14).~~

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661-0 **Policy**

Academic appointees may receive additional compensation for Summer Session teaching.

661-14 **Eligibility**

Only the following academic appointees may receive additional compensation for Summer Session teaching:

- a. Academic-year appointees
- b. Appointees holding split appointments partly on an academic-year basis and partly on a fiscal-year basis, provided the fiscal-year portion of the appointment is less than half-time during the Summer Session period.
- c. Full-time fiscal-year faculty appointees who are granted a temporary reduction in their percentage of appointment or those who relinquish outside professional activity days or vacation days equal to one day for every six contact or podium hours with students.
- d. Part-time fiscal-year faculty who are granted a temporary increase in their percentage of appointment. Fiscal-year faculty appointed less than 50 percent in a Health Sciences Compensation Plan school cannot increase the percentage of appointment to more than 50 percent<sup>1</sup>.
- e. Non-faculty fiscal-year appointees who are granted the use of vacation days or a temporary percentage reduction in their current appointment.

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<sup>1</sup> Any appointment more than 50 percent affects a faculty member's eligibility to participate in the Health Sciences Compensation Plan. (See APM - 670, Health Sciences Compensation Plan.)

**661-16 Restrictions**

- a. Compensation for academic-year appointees may not exceed three-ninths during the summer period.
- b. Compensation for fiscal-year appointees may not exceed one-twelfth per month of the annual salary. This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the Professor, Astronomer or Agronomist series are eligible for payments up to one-eleventh of the annual salary of a fiscal-year appointee.
- c. These additional compensation maximums are cumulative of all concurrent sources of additional University compensation.
- d. Full-time Health Sciences Compensation Plan faculty are not eligible to receive additional compensation for Summer Session teaching.

**661-18 Salary**

- a. Summer Session teaching  
The amount of pay is negotiated based on the teaching load. Each campus shall determine the formula by which pay is calculated.
- b. Summer salary rates shall be calculated based on the salary rate in effect at the time it is earned.
- c. Faculty shall inform the department chair of the home campus when teaching Summer Session at a University campus other than the home campus to insure pay is accurate and does not exceed policy limits.

661-24 **Authority**

Each Chancellor is authorized to approve additional compensation for Summer Session teaching for eligible academic appointees.

662-0 **Policy**

~~Under certain conditions, academic appointees~~  
Full-time faculty members may receive additional compensation after obtaining  
~~compensation for specified~~pre-approval from the faculty member's department chair for  
specific additional University of California teaching activities. ~~Policies applying to faculty~~  
~~and other titles are set forth in the following pages, as outlined below. For Additional~~  
Compensation: Summer Session, see APM - 661 and for Additional Compensation:  
University Extension (UNEX), see APM - 663.

**Comment [AP1]:** New text begins here followed by additional new text which appears on page 4 of this draft.

**Comment [AP2]:** General statement to conform to APM style and format adapted from current APM - 662, Appendix B-1.

Office of the Vice President  
May 15, 1964

DEAN SHEATS:

Employment of Students by University Extension

Last July, the Office of the Chancellor at Los Angeles asked whether "academic appointees", as used in Section 152-14 of the Administrative Manual<sup>\*</sup>, included Lecturers, Associates, Teaching Assistants, and Research Assistants.

Section 152-14 reads:

~~"Additional Compensation for University Extension Teaching — Eligibility: Academic appointees may receive additional compensation for University Extension teaching. Members of the faculty will not normally be invited to teach more than one Extension course per semester."~~

To insure that the University employment of one enrolled as a student does not involve so heavy a load as to interfere with his work as a student and his timely progress toward a degree, the appointments of teaching assistants, teaching fellows, and research assistants are limited to half time during the academic year. For the same reason, I replied to the Chancellor on July 19, 1963 that:

**Comment [AP3]:** Concepts and policy covered in a series of letters converted to text and included in proposed draft APM - 663, Additional Compensation: University Extension.

<sup>\*</sup>Now APM Section 662-14 of the Academic Personnel Manual.

SALARY ADMINISTRATION APM - 662  
Additional Compensation: Additional Teaching DRAFT

~~"Lecturers and Associates may be considered eligible to teach one course in University Extension as are other members of the faculty, but this privilege should not be extended to Teaching Assistants and Research Assistants or to any other student employee classification."~~

~~Those holding teaching assistantships and teaching fellowships during the academic year may, of course, teach or otherwise serve University Extension during the summer. Similarly, a research assistant may work for University Extension at a time when he is not enrolled as a student, provided this work does not interfere with the performance of his duties as research assistant.~~

~~H. R. Wellman~~

~~Copies: Chief Campus Officers  
Deans of the Graduate Division~~

~~Office of the Vice President—Academic Affairs~~

~~—————~~ **Employment of Students by University Extension**

~~September 12, 1967~~

**CHANCELLORS:**

~~On May 15, 1964, Dr. Wellman wrote to Dean Sheats, with copies to Chancellors, concerning the "Employment of Students by University Extension." That letter reiterated a response to a specific question from Los Angeles as follows: "Lecturers and Associates may be considered eligible to teach one course in University Extension as are other members of the faculty, but this privilege should not be extended to Teaching Assistants and Research Assistants or to any other student employee classification."~~

~~I would like to remind you at this time that this statement also should be applied to Associates and Acting Instructors who are students. Although these titles as such are not student classifications, there are student employees holding these titles, and the same restrictions should be observed. Dr. Wellman further indicated in his letter that "Those holding teaching assistantships and teaching fellowships during the academic year may, of course, teach or otherwise serve University Extension during the summer." This too may be applied to students who hold the Associate or Acting Instructor titles.~~

~~Angus E. Taylor~~

~~cc: Dean Sheats~~

~~Office of the President: Vice President—Academic Affairs~~



December 5, 1972

~~CHANCELLOR ALDRICH  
CHANCELLOR McELROY  
CHANCELLOR MEYER  
CHANCELLOR SOOY  
CHANCELLOR YOUNG~~

Gentlemen:

~~**Employment of Medical House Staff by University Extension**~~

~~Because of an inquiry which came to my attention recently, I am reaffirming a statement of Presidential policy, issued by Vice President Wellman on April 6, 1964, concerning employment of Medical House Staff in Medical Extension programs:~~

~~Such employment may be authorized by the Chancellor with the understanding that (1) the authorization may not be extended to Interns, (2) each Resident may work on only one course per quarter, and (3) all Resident appointments to Medical Extension must have the prior approval of the Dean of the School of Medicine and Dean of University Extension.~~

~~Reaffirmation of the policy is for your information. I do not know if you wish to use Residents in this way. There was a desire to do so in 1964.~~

Sincerely,

Angus E. Taylor

~~cc: Vice President McCorkle  
Vice President Gardner  
Special Assistant Powell~~

~~**Additional Compensation for Additional Teaching—Faculty**~~

~~1. **Policy**~~

~~Under certain conditions, faculty members may receive additional compensation for specified additional University of California teaching activities.~~

~~This policy should be read in conjunction with APM—025, Conflict of Commitment and Outside Activities of Faculty Members.~~

~~2. **Applicability**~~

~~Faculty titles covered by this policy are listed in APM 110 4(14).~~

~~Faculty in the Health Sciences Compensation Plan are subject to the Plan and local campus policy regarding income from additional University teaching. See APM 670.~~

662-2 Purpose

Compensation for additional teaching is a privilege that must be consistent with the principles in APM - 025 and not interfere with normal University duties. As a prerequisite for such additional compensation, the faculty member must carry the full approved teaching load for his or her department, even if he or she normally teaches less.  
Department chairs must take special care to assure that faculty, especially assistant professors, are able to meet expectations for all their responsibilities in teaching, research/creative work, and University and public service.

**Comment [AP4]:** This section, including reference to APM - 025, is adapted from current APM - 662, Appendix B-1.

**Comment [AP5]:** This language is current policy within APM - 662, Appendix B-1-5.

3-662-8 Additional Teaching Eligible for Additional Compensation

~~Only the following~~ Two kinds of teaching are eligible for additional University teaching compensation, when beyond the assigned teaching load ~~is eligible for additional compensation:~~

- a. (a) Teaching of matriculated students in self-supporting University degree or UNEX courses and programs, (see APM - 663 for UNEX).
- b. (b) Teaching of non-matriculated students, including those in UNEX courses and programs (see APM - 663) -Other and other continuing education courses and programs run by the University, and (c) Self-supporting University degree programs.

**Comment [AP6]:** This section is text adapted from current APM - 662, Appendix B-1 and B-2.

662-9 Additional Teaching During Summer Period (other than in Summer Session)

Faculty receiving summer compensation also may engage in additional teaching up to the APM - 025 limit of one day per week inclusive of all Category I and II outside professional activities performed.

**Comment [AP7]:** This is a new section added to clarify that APM - 025 days must be used when an academic-year appointee is already earning three-ninths summer compensation or a fiscal-year appointee does not use accrued vacation leave or reduce percentage of time when performing additional teaching for additional compensation in the summer period.

662-14 Eligibility

Faculty titles covered by this policy are listed in APM - 110-4(15). Faculty participating in the Health Sciences Compensation Plan are subject to the Plan and local campus Implementing Procedures regarding income from additional teaching. See APM - 670, Health Sciences Compensation Plan, for additional information on the Plan.

**Comment [AP8]:** This section is adapted from the current APM - 662, Appendix B-1.

662-16 Restrictions

~~For conditions and limitations regarding the receipt of Teaching activities ineligible for additional compensation for (a), (b), and (c) above, see the following sections 4-6. are:~~

**Comment [AP9]:** This section is adapted from the current APM - 662, Appendix B-1.

~~4. Teaching Activities Not Eligible for Additional Compensation~~

~~a. (a) Assigned teaching load: Any course assigned by the department chair as part of the faculty member's assigned teaching load. For example, a faculty member may, including:~~

~~not receive additional compensation for teaching:~~

- ~~i. 1) a course in a self-supporting degree program which is part (funds from the self-supporting degree program are used to pay for this portion of the faculty member's assigned teaching load); or~~
- ~~ii. 2) extra/Extra teaching duties assigned in place of research and/or service; or~~

Courses ~~which are part of an assigned teaching load but which are taught~~ in less common modes or locations (e.g., online, off-site or, at another campus ~~are eligible only for travel and incidental expense reimbursement, in accordance with University policy).~~

- b. ~~(b)~~ Extra courses that are taken on voluntarily: ~~These are regular University courses are ineligible for additional compensation.~~

~~which are in addition to the faculty member's assigned teaching load and which are not covered under Sections 3 (a), (b), or (c).~~

#### 5. ~~Conditions for Additional Teaching~~

~~Compensation for additional teaching is a privilege that must not interfere with normal University duties.~~

~~As a prerequisite for any additional compensation under this policy, the faculty member must carry the full approved teaching load for his or her respective department, even if he or she normally teaches less. The Chancellor may grant an exception when course assignments are reduced because of other University service, such as serving as department chair.~~

#### 662-17 6. ~~Limitations on Time~~

The following time limits apply:

- a. ~~(a)~~ Time spent on additional teaching during the academic year or when receiving University compensation or University summer compensation will be deducted from the ~~time limits on days available for~~ outside activities provided in APM ~~025. For purposes of calculating time under the provisions of APM 025, teaching activities consist of both preparation time and contact teaching hours. 025.~~
- b. The following rules for calculating time under APM - 025 must be used, regardless of how much time is actually spent:

**Comment [AP10]:** This section is adapted from the current APM - 662, Appendix B-1.

i. ~~(b) As a general rule~~ For traditional or hybrid in-person instructional formats (lectures, discussions), every six contact or “podium” hours spent with students equals one day. This rule must be used for calculating time under APM 025, regardless of how much time is actually spent in preparing a course. The Chancellor may grant an exception to the general rules of calculating time for

**Comment [AP11]:** This definition is from current policy (APM - 025 and APM - 662, Appendix B-1).

~~a specific course or for a category of courses such as field trips and electronic or video courses.~~

ii. For fully online courses, hours will ordinarily be determined under the assumption that online courses require workloads equivalent to the same or similar in-person course formats.

**Comment [AP12]:** This is new language intended to provide general guidance for determining time spent on fully online courses only within the context of Additional Compensation for Additional Teaching.

iii. The Chancellor may establish types of teaching for which time calculations may vary, e.g., field supervision, practicums, and established online courses producing lower levels of instructor engagement.

c. ~~(e)~~ Additional teaching hours count against toward the limits applicable at the time the teaching takes place. For example, teaching done during the academic year must be is counted toward the limits that apply during the that academic year and may not be paid on a summer-ninths basis. For courses that span the academic year and the beginning or end of the summer or off-duty period, the time shall be allocated in proportion to when the work was performed.

~~7. Exceptions~~

d. Exceptions to the time limit are not allowed for faculty during any period in which they receive part or all of their salary directly charged to contracts and grants.

662-24 **Authority**

**Comment [AP13]:** This section is adapted from the current APM - 662, Appendix B-1.

~~(a) The Chancellor has the authority to grant exceptions to the time limits: 1) to specific individuals who wish to do teaching beyond the limits; or 2) to a specific additional teaching program, such as a self-supporting degree. Exceptions to the time limits shall be confirmed in writing prior to the conduct of additional teaching and may be granted by the Chancellor under any of the following conditions:~~

~~a. To specific individuals who wish to teach beyond the limits, or to a specific additional teaching program, such as a self-supporting degree program, which would then apply to all individuals teaching in that program. Any individual who teaches beyond the time limits assumes full responsibility for ensuring that full-time effort is devoted to regular University duties.~~

~~(b) Exceptions to the time limit are not allowed for faculty during any period in which they receive part or all of their salary directly charged to contracts and grants.~~

~~(c) Exceptions shall be made in writing prior to the conduct of additional teaching.~~  
~~b. When course assignments are reduced due to other University service, such as serving as department chair.~~

~~c. (d) The Chancellor also has the authority to make exceptions to the general time calculation rule under Section 6(b). To the general time calculation rule in APM - 662-17.~~

~~(e) Requests for other exceptions to policy, such as payment for courses taught off site or in University sponsored for profit programs, shall be recommended for approval by the Chancellor to the Provost and Senior Vice President - Academic Affairs.~~

~~8. Reporting Requirements~~

~~To receive additional compensation, faculty must maintain accurate records of courses, dates, and time.~~

### ~~Additional Teaching/Summer~~

~~To implement APM-662, Appendix B-1, Additional Compensation for Additional Teaching—Faculty, the following interim guidelines apply to faculty teaching during the summer (or equivalent off-duty term), in UNEX programs, self-supporting University degree programs, and other continuing education programs run by the University.~~

#### ~~Summer Employment (or Equivalent Off-Duty Term)~~

##### ~~1. Academic Year Faculty~~

- ~~(a) During the summer, or off-duty term, a full-time faculty member may be paid up to 1/3 of his or her nine-month salary rate for teaching in UNEX, self-supporting degree programs, and continuing education programs. If the faculty member is receiving payment from other University sources during the summer or off-duty term, he or she may not receive more than 3/9ths for all such services combined. There is one exception to this limit: See (b) below.~~
- ~~(b) In any summer period (or off-duty term) when a faculty member earns 1/9th to 3/9ths from such sources as research grants, summer session teaching, and UNEX teaching, a faculty member may also engage in additional teaching in UNEX programs, self-supporting degree programs, and continuing education programs to a limit of one day a week during the period in which University compensation is received. The applicable limit of one day a week includes a total of additional teaching and outside professional activities combined. See APM-025.~~

##### ~~2. Fiscal Year Faculty~~

~~A full-time fiscal year faculty member may use accrued vacation leave in order to receive compensation for teaching in UNEX programs, self-supporting degree programs, and continuing education programs up to a limit of 1/11th of the annual salary. Fiscal year faculty may not earn University compensation above the 1/11th limit.~~

~~Office of the President  
Dean of University Extension~~

#### ~~Limitation on Additional Compensation~~

~~July 18, 1969~~

~~Re: Additional Compensation for University Extension Academic Appointees~~

~~In response to our phone conversation, I enclose a statement concerning additional compensation for University Extension academic appointees. This statement is representative of current practice but does not necessarily reflect the official position of the President's Office.~~

~~Please note there is no dollar or percentage limitation on the amount that may be earned for teaching. This is because it is anticipated that an Extension appointee will teach a course only on an occasional basis. In no event should such compensation exceed 20% of the annual salary rate in a year's time.~~

~~While I am completely unsympathetic with allowing appointees to receive additional compensation during the 12th month, this is the current practice and there is no policy to prohibit it.~~

~~I hope this information will be of some assistance.~~

---

W. E. Schoonover

~~cc: Martin Chamberlain~~

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~~Additional Compensation for University Extension Teaching  
by University Extension Academic Appointees~~

~~This policy covers academic appointees whose primary appointment is in University Extension such as Continuing Educators and Academic Coordinators who have financial or academic responsibility for designing, directing, or organizing University Extension programs.~~

~~An appointee may not receive additional compensation for teaching that is part of the individual's regular duties. If teaching assignments are a customary part of the individual's duties, that teaching load is considered as part of the appointee's regular job.~~

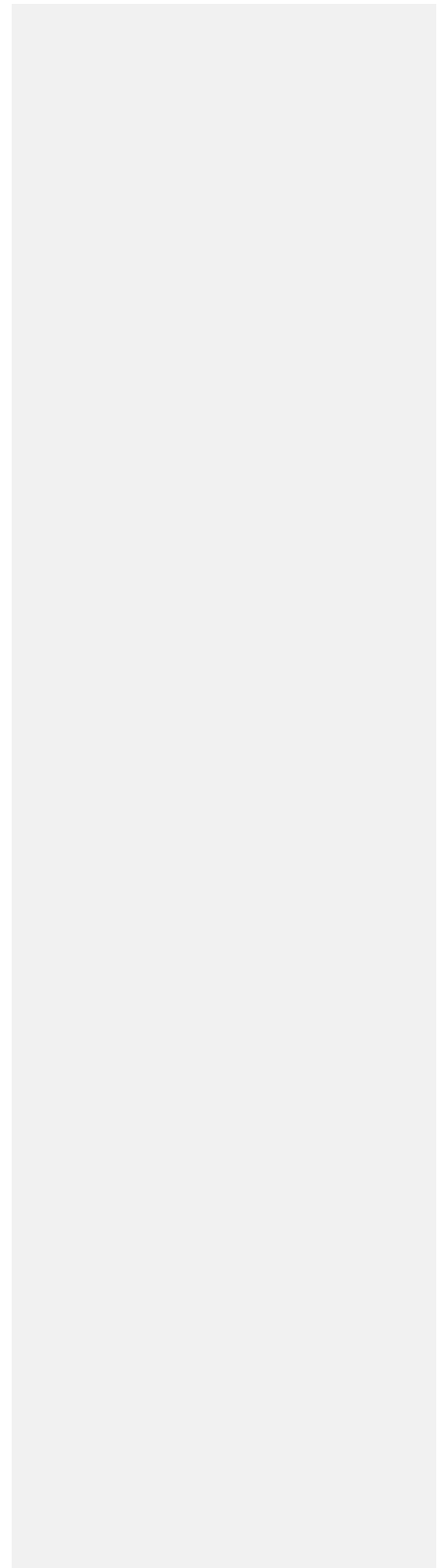
~~University Extension academic appointees may receive additional compensation for Extension teaching provided that all the following requirements are met:~~

- ~~a. The appointee receiving additional compensation has no direct or delegated financial authority or academic responsibility for directing or organizing the program in which she or he is teaching.~~



- ~~b. The Dean must approve any compensation arrangement in advance. The Dean or the Dean's designee will assure that services rendered are in addition to and do not conflict with the employee's primary professional responsibilities.~~
- ~~e. The rate of pay will be consistent with pay earned by others for the same instructional services. Additional compensation may be provided for teaching that is occasional and not regular. "Teaching done regularly" is defined as teaching one or more courses every year. Additional compensation for Extension teaching may not exceed 20 percent of annual salary.~~
- d. Other exceptions to this policy, such as payment for courses taught off-site or conducted in University-sponsored for-profit programs, which may be recommended for approval by the Chancellor to the Provost and Executive Vice President.

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**662-0 Policy**

Full-time faculty members may receive additional compensation after obtaining pre-approval from the faculty member's department chair for specific additional University of California teaching activities as outlined below. For Additional Compensation: Summer Session, see APM - 661 and for Additional Compensation: University Extension (UNEX), see APM - 663.

**662-2 Purpose**

Compensation for additional teaching is a privilege that must be consistent with the principles in APM - 025 and not interfere with normal University duties. As a prerequisite for such additional compensation, the faculty member must carry the full approved teaching load for his or her department, even if he or she normally teaches less. Department chairs must take special care to assure that faculty, especially assistant professors, are able to meet expectations for all their responsibilities in teaching, research/creative work, and University and public service.

**662-8 Additional Teaching Eligible for Additional Compensation**

Two kinds of teaching are eligible for additional compensation, when beyond the assigned teaching load:

- a. Teaching of matriculated students in self-supporting University degree or UNEX courses and programs (see APM - 663 for UNEX).

- b. Teaching of non-matriculated students, including those in UNEX courses and programs (see APM - 663) and other continuing education courses and programs run by the University.

**662-9 Additional Teaching During Summer Period (other than in Summer Session)**

Faculty receiving summer compensation also may engage in additional teaching up to the APM - 025 limit of one day per week inclusive of all Category I and II outside professional activities performed.

**662-14 Eligibility**

Faculty titles covered by this policy are listed in APM - 110-4(15). Faculty participating in the Health Sciences Compensation Plan are subject to the Plan and local campus Implementing Procedures regarding income from additional teaching. See APM - 670, Health Sciences Compensation Plan, for additional information on the Plan.

**662-16 Restrictions**

Teaching activities ineligible for additional compensation are:

- a. Any course assigned by the department chair as part of the faculty member's assigned teaching load, including:
  - i. A course in a self-supporting degree program (funds from the self-supporting degree program are used to pay for this portion of the faculty member's assigned teaching load);
  - ii. Extra teaching duties assigned in place of research and/or service; or

- iii. Courses taught in less common modes or locations (e.g., online, off-site, at another campus).
- b. Extra courses that are taken on voluntarily are ineligible for additional compensation.

#### 662-17 **Limitations on Time**

The following time limits apply:

- a. Time spent on additional teaching during the academic year or when receiving University compensation or University summer compensation will be deducted from the days available for outside activities provided in APM - 025.
- b. The following rules for calculating time under APM - 025 must be used, regardless of how much time is actually spent:
  - i. For traditional or hybrid in-person instructional formats (lectures, discussions), every six contact or “podium” hours spent with students equals one day.
  - ii. For fully online courses, hours will ordinarily be determined under the assumption that online courses require workloads equivalent to the same or similar in-person course formats.
  - iii. The Chancellor may establish types of teaching for which time calculations may vary, e.g., field supervision, practicums, and established online courses producing lower levels of instructor engagement.
- c. Additional teaching hours count toward the limits applicable at the time the teaching takes place. For example, teaching done during the academic year is counted toward the limits that apply during that academic year and may not be paid on a summer-ninths basis. For courses that span the academic year and the beginning or

end of the summer or off-duty period, the time shall be allocated in proportion to when the work was performed.

- d. Exceptions to the time limit are not allowed for faculty during any period in which they receive part or all of their salary directly charged to contracts and grants.

**662-24 Authority**

Exceptions to the time limits shall be confirmed in writing prior to the conduct of additional teaching and may be granted by the Chancellor under any of the following conditions:

- a. To specific individuals who wish to teach beyond the limits, or to a specific additional teaching program, such as a self-supporting degree program, which would apply to all individuals teaching in that program. Any individual who teaches beyond the time limits assumes full responsibility for ensuring that full-time effort is devoted to regular University duties.
- b. When course assignments are reduced due to other University service, such as serving as department chair.
- c. To the general time calculation rule in APM - 662-17.
- d. Other exceptions to this policy, such as payment for courses taught off-site or conducted in University-sponsored for-profit programs, which may be recommended for approval by the Chancellor to the Provost and Executive Vice President.

666-0 **Policy**

~~Full-time academic appointees are not normally eligible to receive additional compensation for activities related to their recognized University duties, except that in certain cases members of the faculty~~ Academic appointees may receive honoraria for lectures and similar services in accordance with this policy.

666-1 ~~Payment of Expenses~~ 4 Definition

An ~~academic appointee may be paid for actual expenses incurred in presenting lectures or performing similar services on campuses of the University other than~~ honorarium is payment (not otherwise legally required) by the University to an academic appointee for occasional lectures and similar public appearances beyond normal academic responsibilities to the University. Such service (though possibly related to normal responsibilities) falls outside the appointee's normal academic responsibilities due to the nature of the work or where it is performed (e.g., delivering an occasional lecture at a campus other than the home campus). More than occasional teaching at a campus other than the home campus is covered by a multi-location agreement. Honoraria may be paid only under the conditions described in Section 666-8 below.  
~~the campus or campuses on which the appointee normally serves.~~

**Comment [AP1]:** This section is language adapted from the current APM - 666-0 "Policy" and 666-1 "Payment of Expenses" sections.

666-8 **Types of ~~Additional Compensation for Members of the Faculty~~ Honoraria**

- a. ~~University faculty~~ Seminars, Lectures or Campus-Sponsored Program Reviews  
Academic appointees may receive honoraria for seminars, lectures or ~~campus-~~  
UC-sponsored program reviews when these activities occur on ~~campuses~~ any campus

or location of the University, other than the campus or ~~campuses on~~ location at which the appointee normally serves.

~~normally serves.~~

- b. University ~~faculty~~ Sponsored Conferences, Panels and Concerts/Creative Works

Academic appointees may receive honoraria for concerts or other creative work

or for University sponsored conferences and panels when these activities

occur on any campus or location of the University, including the campus or location at which the appointee normally serves.

- ~~e. Members of the faculty may receive additional compensation for lectures or similar services on any campus under the auspices of University Extension as provided by APM 662.~~

666-16 ~~666-16~~ — **Restrictions**

~~No academic appointee may~~ Academic appointees should not receive additional compensation for ~~any~~ activity relating to University departmental personnel actions (~~such as service on~~ ad hoc committees), service on thesis committees, or service on campus or systemwide committees (~~including systemwide program review committees~~), ~~except as stated in APM 666-8.~~

666-18 **Amount**

- a. There is no set ~~honorarium for giving a lecture or series of lectures, or performing a similar service~~ dollar amount for honoraria as defined in this policy. The honorarium may be subject to negotiation in each case but may not exceed an amount



stipulated periodically by the Provost and ~~Senior~~Executive Vice President ~~and~~  
published as part of the Academic ~~Affairs~~Salary Scales.

~~b. Total annual additional compensation for lectures or similar services as~~  
b. described in APM - 666-8 a and b Total annual additional compensation under this  
policy may not exceed 10 percent of the ~~faculty member's~~appointee's annual base  
salary.

666-20 **Reimbursement of Expenses**

An academic appointee may be reimbursed for allowable expenses<sup>1</sup> incurred in the  
performance of services under this provision on campuses of the University other than  
the campus or campuses on which the appointee normally serves.

**Comment [AP2]:** This is a new section replacing the current APM - 666-1.

666-22 **Funds**

Compensation ~~to full-time faculty for lectures or similar services as described in APM -~~  
~~666-8 a and b~~ may not be made from State funds, but is permitted from  
gifts, endowments, contracts and grants with specifically budgeted provisions for such  
honoraria, Chancellor's discretionary funds, or similar sources.

666-24 **Authority**

~~Authority to approve additional compensation for lectures or similar services as~~  
~~described in APM - 666-8 is delegated to each Chancellor and to the Vice~~  
~~President - Agriculture and Natural Resources. In cases where the lecture or~~

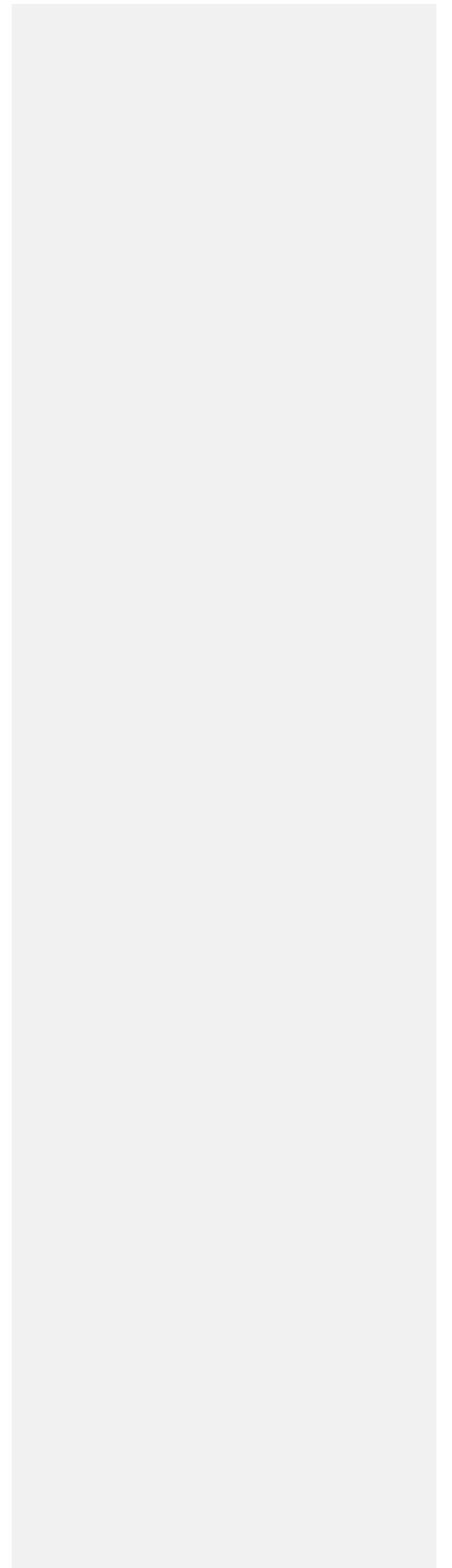
**Comment [AP3]:** Language in this section formalizes current practice and adds flexibility requested by some reviewers to allow the Chancellor to make exceptions. For example, some reviewers believe that faculty should be eligible for honoraria for activities occurring on the home campus.

<sup>1</sup> See Business and Finance Bulletin G-28 for guidelines related to reimbursement of business and travel expenses.

- a. The Chancellor has authority to make exceptions and to approve honoraria.
- b. ~~similar service~~ If the activity related to the honoraria occurs on a campus other than the campus or campuses on which the appointee normally serves, the Chancellor of the sponsoring campus must notify the home campus of the activity in advance of the activity being performed. The home campus must confirm that the academic appointee is eligible to receive the honorarium prior to payment.
- c. When the activity related to the honorarium occurs under the sponsorship of a major Department of Energy Laboratory, the home campus must be notified of any honorarium prior to payment.
- d. ~~the appointee normally serves, the Chancellor of the campus sponsoring the lecture or similar service is authorized to approve additional compensation for these services. The home campus must be notified of any additional compensation provided under this policy.~~ It is the responsibility of the home campus to monitor the total annual compensation paid for ~~these~~ services in accordance with this policy.

~~— APM - 666-18 b.~~

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666-0 **Policy**

Academic appointees may receive honoraria for lectures and similar services in accordance with this policy.

666-4 **Definition**

An honorarium is payment (not otherwise legally required) by the University to an academic appointee for occasional lectures and similar public appearances beyond normal academic responsibilities to the University. Such service (though possibly related to normal responsibilities) falls outside the appointee's normal academic responsibilities due to the nature of the work or where it is performed (e.g., delivering an occasional lecture at a campus other than the home campus). More than occasional teaching at a campus other than the home campus is covered by a multi-location agreement. Honoraria may be paid only under the conditions described in Section 666-8 below.

666-8 **Types of Honoraria**

a. Seminars, Lectures or Campus-Sponsored Program Reviews

Academic appointees may receive honoraria for seminars, lectures or UC-sponsored program reviews when these activities occur on any campus or location of the University, other than the campus or location at which the appointee normally serves.

b. University-Sponsored Conferences, Panels and Concerts/Creative Works

Academic appointees may receive honoraria for concerts or other creative work or for University-sponsored conferences and panels when these activities

occur on any campus or location of the University, including the campus or location at which the appointee normally serves.

666-16 **Restrictions**

Academic appointees should not receive additional compensation for activity relating to departmental personnel actions or *ad hoc* committees, service on thesis committees or service on campus or systemwide committees.

666-18 **Amount**

- a. There is no set dollar amount for honoraria as defined in this policy. The honorarium may be subject to negotiation in each case but may not exceed an amount stipulated periodically by the Provost and Executive Vice President and published as part of the Academic Salary Scales.
- b. Total annual additional compensation under this policy may not exceed 10 percent of the appointee's annual base salary.

666-20 **Reimbursement of Expenses**

An academic appointee may be reimbursed for allowable expenses<sup>1</sup> incurred in the performance of services under this provision on campuses of the University other than the campus or campuses on which the appointee normally serves.

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<sup>1</sup> See Business and Finance Bulletin G-28 for guidelines related to reimbursement of business and travel expenses.

666-22 **Funds**

Compensation may not be made from State funds, but is permitted from gifts, endowments, contracts and grants with specifically budgeted provisions for such honoraria, Chancellor's discretionary funds or similar sources.

666-24 **Authority**

- a. The Chancellor has authority to make exceptions and to approve honoraria.
- b. If the activity related to the honoraria occurs on a campus other than the campus or campuses on which the appointee normally serves, the Chancellor of the sponsoring campus must notify the home campus of the activity in advance of the activity being performed. The home campus must confirm that the academic appointee is eligible to receive the honorarium prior to payment.
- c. When the activity related to the honorarium occurs under the sponsorship of a major Department of Energy Laboratory, the home campus must be notified of any honorarium prior to payment.
- d. It is the responsibility of the home campus to monitor the total annual compensation paid for services in accordance with this policy.

## Simrin Takhar

---

**From:** Dejeune Shelton <dshelton2@ucmerced.edu>  
**Sent:** Friday, October 11, 2013 5:25 PM  
**To:** David Kelley; capra1314@ucmcrops.ucmerced.edu; coc1314@ucmcrops.ucmerced.edu; gc1314@ucmcrops.ucmerced.edu; cor1314@ucmcrops.ucmerced.edu; fwdaf1314@ucmcrops.edu; cre1314@ucmcrops.ucmerced.edu; ugc1314@ucmcrops.ucmerced.edu; Erik Menke; Marcelo Kallmann; Jeffrey Gilger; Kate Kempton  
**Cc:** divco1314@ucmcrops.ucmerced.edu; Anthony Sali; Katie Butterfield; Shannon Adamson  
**Subject:** Systemwide review of Senate Bylaw 55 -- DUE JAN. 06, 2014  
**Importance:** High

### Chairs of Standing Committees Chairs of School Executive Committees

On behalf of Senate Chair López-Calvo, attached please find a request for review of Senate Bylaw 55. Academic Council Chair Jacobs letter, along with the San Diego Division's proposal, input from UCAP and UCFW, and the relevant portion from the May 2013 Council minutes at which the proposal was discussed, are attached in a single pdf. CAP, FWDAF, and CRE are the lead reviewers.

In order to meet the deadline set by Systemwide Academic Senate you are asked to please send comments to [senatechair@ucmerced.edu](mailto:senatechair@ucmerced.edu) by **Monday January 6, 2014**. Please let me know if your committee will not opine.

Thank you,  
Dejeuné M. Shelton  
Executive Director, Merced Academic Senate  
5200 North Lake Road, Suite 346  
Merced, CA 95343  
209-228-7954

---

October 11, 2013

### SENATE DIVISION CHAIRS SENATE COMMITTEE CHAIRS

#### Re: Systemwide Review of Proposal to Amend Senate Bylaw 55

Dear Colleagues:

Last spring, the San Diego Division submitted proposed amendments to [Senate Bylaw 55](#) that would allow the extension of departmental voting rights on academic appointment and promotion actions to salaried non-Senate faculty in the Adjunct Professor or Health Sciences Clinical Professor series. The proposed revisions would permit Senate members in an academic unit to vote on whether to extend Bylaw 55 rights to non-Senate titles and would require that a decision to

do so must be reconsidered annually. Former Council Chair Powell asked UCAP and UCFW to consider the proposal in systemwide context. In May, the Academic Council discussed the proposal and advice from UCAP and UCFW and voted to send the proposal, along with the comments from UCAP and UCFW, for systemwide review. Because it was too late in the academic year to begin such a review, Council voted to postpone the review until the fall.

Accordingly, I have enclosed the proposal, the letters from UCAP and UCFW, and the relevant portion of the minutes from Council's discussion in May. I ask that you distribute these materials for review and that you submit responses to [SenateReview@ucop.edu](mailto:SenateReview@ucop.edu) by **Friday, January 17, 2014**. The Academic Council will discuss the responses at its meeting on January 29. As always, committee chairs who determine that the subject is not in the purview of their committee need not reply.

Please do not hesitate to contact me if you have any questions.

Sincerely,



Bill Jacob, Chair  
Academic Council

Cc: Senate Executive Directors  
Senate Committee Analysts

[see attachment: "image003.png", size: 2253 bytes]

[see attachment: "SB 55\_review packet.pdf", size: 411822 bytes]

Attachments:

[image003.png](#)

[SB 55\\_review packet.pdf](#)

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This automatic notification message was sent by UCMCROPS (<https://ucmcrops.ucmerced.edu/portal>) from the CAPRA1314 site.

You can modify how you receive notifications at My Workspace > Preferences.



# UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

*William Jacob*  
Telephone: (510) 987-9303  
Fax: (510) 763-0309  
Email: [William.Jacob@ucop.edu](mailto:William.Jacob@ucop.edu)

*Chair of the Assembly and the Academic Council  
Faculty Representative to the Board of Regents  
University of California  
1111 Franklin Street, 12th Floor  
Oakland, California 94607-5200*

October 11, 2013

## **SENATE DIVISION CHAIRS SENATE COMMITTEE CHAIRS**

### **Re: Systemwide Review of Proposal to Amend Senate Bylaw 55**

Dear Colleagues:

Last spring, the San Diego Division submitted proposed amendments to [Senate Bylaw 55](#) that would allow the extension of departmental voting rights on academic appointment and promotion actions to salaried non-Senate faculty in the Adjunct Professor or Health Sciences Clinical Professor series. The proposed revisions would permit Senate members in an academic unit to vote on whether to extend Bylaw 55 rights to non-Senate titles and would require that a decision to do so must be reconsidered annually. Former Council Chair Powell asked UCAP and UCFW to consider the proposal in systemwide context. In May, the Academic Council discussed the proposal and advice from UCAP and UCFW and voted to send the proposal, along with the comments from UCAP and UCFW, for systemwide review. Because it was too late in the academic year to begin such a review, Council voted to postpone the review until the fall.

Accordingly, I have enclosed the proposal, the letters from UCAP and UCFW, and the relevant portion of the minutes from Council's discussion in May. I ask that you distribute these materials for review and that you submit responses to [SenateReview@ucop.edu](mailto:SenateReview@ucop.edu) by **Friday, January 17, 2014**. The Academic Council will discuss the responses at its meeting on January 29. As always, committee chairs who determine that the subject is not in the purview of their committee need not reply.

Please do not hesitate to contact me if you have any questions.

Sincerely,

Handwritten signature of Bill Jacob.

Bill Jacob, Chair  
Academic Council

Cc: Senate Executive Directors  
Senate Committee Analysts



OFFICE OF THE ACADEMIC SENATE

9500 GILMAN DRIVE  
LA JOLLA, CALIFORNIA 92093-0002  
TELEPHONE: (858) 534-3640  
FAX: (858) 534-4528

March 25, 2013

Professor Robert Powell  
Chair, Academic Council  
University of California  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

Subject: Proposed Amendment to Senate Bylaw 55

Dear Bob,

At its meeting on May 22, 2012, the Representative Assembly of the San Diego Division approved a proposal to amend Senate Bylaw 55 to extend voting rights on academic review actions to two specific classes of non-Senate faculty (NSF) members in Health Sciences – “career” salaried faculty in the Adjunct Professor and Health Sciences Clinical Professor series.

### Proposal

Senate Bylaw 55 currently allows voting privileges in departments to be extended to emeriti faculty if two-thirds of the department’s tenured faculty members vote to support the extension. The Health Sciences Faculty Council (HSFC) proposal, which is supported by the UCSD Senate Council, would allow the extension of voting privileges to career salaried faculty in the Adjunct and Health Sciences Clinical series using the same process as the extension to emeriti faculty. The proposal does not require every department in the Health Sciences to extend voting privileges to these non-Senate faculty members, recognizing that different departments have different cultures when it comes to department governance. Under this proposal, the extension of voting privileges would be in place for at least one year; reconsideration of the extension follows the same process as that for emeriti faculty. Under the proposal, voting privileges could be extended only to those Adjunct and Health Sciences Clinical Professors who hold an appointment of more than 50% (“career”) in the department.

### Rationale

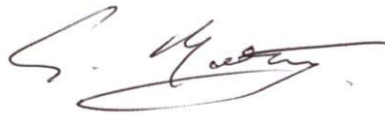
In the Health Sciences, many clinical faculty members are appointed in the Adjunct and Health Sciences Clinical series. These NSF members perform many of the same duties as Senate members and are critical to the success of the Health Sciences’ research, education, and clinical enterprises. Indeed, in the five decades since UCSD was founded, the funding landscape of the state has changed, and now about 70% of Health Sciences faculty members are in non-Senate positions. These NSF faculty members are ineligible to vote on departmental actions related to the academic review process, and so cannot fully participate in critical departmental decisions such as faculty hiring and career reviews. Indeed, it can be very difficult for departments with large percentages of NSF to operate if

this substantial majority of their faculty is not given a voice in the academic personnel process. The inability to vote on academic personnel review files is demoralizing for NSF in the Health Sciences, enforcing an artificial division of the faculty into two different classes.

The San Diego Division therefore proposes to allow NSF in the Health Sciences to participate in voting and academic review, a change that is fully consistent with the principle of shared governance. UCSF has proposed to solve this problem by making members of the NSF series officially Senate members. However, this approach would radically change the makeup of the Senate and the concomitant service, scholarship, and teaching expectations might be difficult to fulfill. This led to the proposal discussed above, which has support from the Divisional Senate Council and from other campuses with medical schools. The proposal was also overwhelmingly approved by the Divisional Representative Assembly on May 22, 2012 with vote of 30 in favor, 3 opposed, and 2 abstentions.

The San Diego Division formally submits the attached proposed revision to Senate Bylaw 55 for consideration and approval.

Sincerely,

A handwritten signature in black ink, appearing to read "T. Guy Masters", written over a light blue horizontal line.

T. Guy Masters, Chair  
Academic Senate, San Diego Division

Attachment

cc: Divisional Vice Chair Pogliano  
Executive Director Winnacker

May 22, 2012

REPORT OF THE HEALTH SCIENCES FACULTY COUNCIL

The UCSD Health Sciences Faculty Council forwards to the Representative Assembly the attached proposal for extending voting rights on academic review actions to two specific classes of non-Senate faculty in Health Sciences – salaried faculty in the Adjunct Professor and Health Sciences Clinical Professor series. As explained below, faculty members with these specific titles are absolutely essential to the educational and research missions in the Schools of Medicine and Pharmacy and Pharmaceutical Sciences and are clearly part of the logical and appropriate peer group of Senate faculty responsible for the same missions.

This issue has been discussed extensively within Health Sciences and is supported by the Faculty Council, Health Sciences Department Chairs, and Health Sciences leadership. We recognize that this proposal will require systemwide action to modify Academic Senate Bylaw 55 and the proposal includes draft language to do so, similar to the current provision within Bylaw 55 to extend voting privileges to emeritus faculty.

We wish to emphasize that the intent of this proposal is not to require all departments to extend voting rights to non-Senate faculty, but to allow individual departments to do so upon vote of their Senate faculty. Also, the intention is restrict this proposal to voting on academic appointment and review actions within Health Sciences departments and not to further involve non-Senate faculty in Academic Senate business or governance.

The primary rationale for this proposal is the fact that non-Senate faculty now make up a majority of faculty in Health Sciences, upwards of 75% in some departments and increasing. These faculty members play critical roles in both the clinical education and research missions in our professional schools to the benefit of the whole University community. Fully engaging the salaried Adjunct and Health Sciences Clinical Professors in the academic appointment and review processes of their own departments is both necessary and optimal for the University to achieve and excel in its Health Science missions. The alternative of requiring these faculty members to move into a Senate series is less desirable because there are other important differences in responsibilities beyond academic appointment and review between these Health Science faculty and Senate faculty on other parts of the undergraduate and graduate campus.

The Senate Council discussed the proposal at its meeting on May 7, 2012 and was generally supportive. The consensus of the Council was that the proposal should be forwarded to the Representative Assembly for consideration. The Health Sciences Faculty Council recommends that the Representative Assembly approve the proposal. If the Assembly approves the proposal, it will be submitted to the systemwide Academic Assembly for consideration and approval.

Douglas Conrad, Chair  
Health Sciences Faculty Council

Andrew Ries, Associate Vice Chancellor  
Health Sciences, Academic Affairs

Frank L. Powell, Immediate Past Chair  
Academic Senate, San Diego Division

\*\*\*\*\*

HEALTH SCIENCES FACULTY COUNCIL  
VOTING PROPOSAL FOR NON-ACADEMIC SENATE FACULTY

- Whereas a core value of the University of California is the principle of shared governance between faculty and administration
- Whereas non-Academic Senate faculty make up the majority of salaried faculty in the Health Sciences
- Whereas the growth of faculty in Health Sciences has been beneficial to both Health Sciences and the whole University community
- Whereas non-Academic Senate faculty are critical to all academic missions in Health Sciences with
  - Important roles in teaching
  - Substantial contributions to the growth and success of the research enterprise to the benefit of all faculty and campuses in the University community
  - Active participation in University service
- Whereas University voting policies were established in an earlier era in which there were few salaried, full-time non-Academic Senate faculty in Health Sciences
- Whereas disenfranchising non-Academic Senate faculty in Health Sciences from the academic appointment and review process has the unintended consequence of unnecessarily motivating more faculty to seek appointment in series that convey membership in the Academic Senate

May 22, 2012

- It is proposed that each department in Health Sciences be allowed (but not required) to extend voting rights for academic appointments and reviews to career (i.e., >50% effort) non-Academic Senate faculty who are subject to regular academic review upon 2/3 vote of eligible Senate faculty in that department.
  - It is further proposed that systemwide Academic Senate Bylaw 55 be modified to insert the following text (similar to the extension of voting rights to Emeritus faculty).

Academic Senate Bylaw 55, Departmental Voting Rights  
(<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>)

E. Extension of Voting Privileges to non-Academic Senate Faculty in Health Sciences

Voting privileges on personnel matters within any department or school in Health Sciences may be extended to one or more of the classes of career (i.e. >50% effort) non-Academic Senate members of that department, as a class, who are not otherwise entitled to vote under the provisions of paragraphs 1 to 6 of Article B of this Bylaw, upon at least a two-thirds majority vote by secret ballot of those faculty entitled to vote on the cases in question under the provisions of paragraphs 1 to 6 of Article B of this Bylaw. Any extensions of the voting privilege under this Article E must remain in effect for at least one calendar year (twelve months); thereafter, any faculty member entitled to a vote on the cases in question under the provisions of paragraphs 1 to 6 of Article B of this Bylaw may request reconsideration. Following a request for reconsideration, and prior to any subsequent vote on the cases in question, the Chair or other appropriate departmental officer shall put the question of renewal of privileges to a vote. An extension of voting privileges will be renewed only upon at least a two-thirds majority vote by secret ballot of those faculty entitled to vote on the cases in question under the provisions of paragraphs 1 to 6 of Article B of this Bylaw.

*Considered by the Representative Assembly of the San Diego Division on May 22, 2012 with the following result:*

*Motion to approve passed: 30 in favor, 3 opposed, 2 abstentions*



UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)  
J. Daniel Hare, Chair  
[daniel.hare@ucr.edu](mailto:daniel.hare@ucr.edu)

Assembly of the Academic Senate  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200  
Phone: (510) 987-9466  
Fax: (510) 763-0309

May 15, 2013

**ROBERT POWELL, CHAIR  
ACADEMIC COUNCIL**

**RE: Proposed Amendments to Senate Bylaw 55 (Departmental Voting Rights)**

Dear Bob,

UCFW reviewed the proposal from the San Diego Division to amend Bylaw 55, to provide departments in the Health Sciences the option to extend voting privileges to two non-Senate faculty (hereafter NSF) titles, the “career” salaried faculty in the Adjunct Professor and Health Sciences Clinical Professor Series. The purpose of the proposal was to remedy inequities in those departments in which NSF comprise a large fraction, perhaps a majority, of the department. The proposal is modeled on a current provision of Bylaw 55, which extends voting privileges to emeritus faculty members, at the discretion of the department as indicated by a vote of 2/3 of the Senate faculty in support, for a year at a time, subject to annual renewal.

UCFW was supportive of the concept and recommends that the proposal be circulated for Systemwide review. UCFW recognizes, however, that any amendments to the Senate Bylaws must be carefully considered, and Systemwide review may identify areas in which the proposal needs to be modified prior to approval. UCFW therefore offers the following points that might require further consideration by the campuses, schools, and colleges during Systemwide review.

- Are the Adjunct Professor and the Health Sciences Clinical Professor series the only two NSF titles that should be considered? On the campuses with Agricultural Experiment Stations, similar inequities may exist in departments whose faculty includes NSF Agronomists ([APM 320](#)) and Cooperative Extension Specialists ([APM 334](#)). The problem identified by the San Diego Division may extend to other NSF titles, and Systemwide review likely will result in a recommendation to expand the list of titles.
- Some UCFW members suggested that, although it would be appropriate to extend full voting privileges to NSF titles for their own merits and promotions, it would be inappropriate to extend full voting privileges on the files of Senate faculty members within those departments. These members were concerned that the culture of departments may be changed if the new NSF did not value scholarship, innovative research, teaching, and University and public service equally as Senate faculty members. Is there danger that the greater number of non-

senate voters would change the expectations of the department's Senate members for merits and promotions? This would need careful consideration in departments with large proportions of NSF, such as the departments with ~70% of such members mentioned in the San Diego Division's cover letter.

- Would an annual threat of having their voting privileges revoked also skew the voting process?

UCFW developed two recommendations that might be considered further during Systemwide review:

- Rather than at the divisional level, the respective colleges or schools, as appropriate, within campuses review and identify the titles that should be considered for the extension of voting privileges by their units. It is the colleges and schools, rather than the Systemwide organization or the campuses that know best where the inequities among faculty titles exist and if the extension of voting privileges might alleviate them.
- An alternative to conferring full voting privileges on all faculty titles would be to confer full voting privileges only within each title, and to confer advisory voting privileges on other faculty titles. These advisory votes would be separately summarized and discussed in the Departmental letter.

UCFW recognizes that the University has become so complex that schools and departments now have substantially different cultures. We are therefore supportive of a careful and deliberate process to expand voting privileges within departments where appropriate. We recognize that UC may be stepping on to a "slippery slope" in considering modifying departmental voting privileges, but the dangers must be carefully compared to the inequities that currently exist within departments having significant numbers of non-Senate faculty.

Sincerely,

A handwritten signature in blue ink that reads "J. Daniel Hare". The signature is written in a cursive, flowing style.

J. Daniel Hare, UCFW Chair

Copy: UCFW  
Robert Powell, Chair, Academic Council  
William Jacob, Vice Chair, Academic Council  
Martha Winnacker, Executive Director, Academic Senate



UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)  
Harry Green, Chair  
[harry.green@ucr.edu](mailto:harry.green@ucr.edu)

Assembly of the Academic Senate  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200  
Phone: (510) 987-9466  
Fax: (510) 763-0309

May 17, 2013

BOB POWELL, CHAIR  
ACADEMIC COUNCIL

**RE: PROPOSED REVISION TO SENATE BYLAW 55**

Dear Bob,

UCAP discussed the proposal by the San Diego division to amend Senate Bylaw 55 during its May 8<sup>th</sup> meeting. All members of UCAP except UCSF and UCLA are opposed to the proposal to extend departmental voting rights on academic merit and promotion reviews to salaried non-Senate faculty in the Adjunct Professor or Health Sciences Clinical Professor series.

Sincerely,

A handwritten signature in blue ink, appearing to read "Harry Green".

Harry Green, Chair  
UCAP



**Academic Council  
Minutes of Meeting  
Wednesday, May 22, 2013**

**XI. Senate Bylaw 55**

**ISSUE:** The San Diego Division submitted a proposal to amend Senate Bylaw 55 to extend departmental voting rights on academic merit and promotion reviews to salaried non-Senate faculty in the Adjunct Professor or Health Sciences Clinical Professor series. Chair Powell asked UCAP and UCFW to consider the proposal in systemwide context.

**DISCUSSION:** UCSD divisional Chair Masters said that his division would like to extend the provision in Bylaw 55 allowing emeriti voting rights to non-Senate faculty. It would enable Senate members in a unit to vote on whether non-Senate faculty in that unit could review personnel cases and/or vote on them. This would be decided by each department and would be renewed annually. UCAP Vice Chair Jeffrey Knapp stated that UCAP opposes the proposal because there is a substantive distinction between Senate and non-Senate faculty in the areas of achievement for which faculty are evaluated. UCAP was not persuaded that giving voting rights would solve the problem of demoralization among non-Senate faculty. A member noted that LSOEs have a different portfolio than ladder-rank faculty, but are Senate members and have full voting rights. Another member noted that his department has extended advisory voting rights to agronomists. A member suggested sending the proposal for review and asking respondents to comment specifically on UCFW's recommendations. A member stated that UCSF's proposal to extend Senate membership to some non-Senate faculty was rejected last year. In contrast, this proposal is modest. It gives departments the ability to determine how they want to govern themselves, and is voluntary. Because it must be renewed annually by a vote of the Senate faculty, it could be easily reversed if the Senate faculty in the department wished to do so. UCAP Vice Chair Knapp said that UCAP focused on appointments, not merit reviews. He provided the example that if clinical faculty, who are primarily focused on teaching, vote on appointments, research may be devalued in a search. He also stated that the analogy to emeriti is problematic because emeriti are Senate faculty and are a small minority. Non-Senate faculty can constitute up to 70% of a department, so they would instantly have a supermajority. A member stated that Merced extends voting rights to assistant professors because they have small units, but cautioned that Council should carefully consider which non-Senate titles will be included, noting that the term "adjunct" is used in many different ways. The titles that are eligible and the percent of appointment should be specified in the proposal. A member countered that departments should define the eligible titles. A member commented that votes should be segmented according to Senate versus non-Senate faculty in order to assess the effect of the policy. A member spoke in favor of accommodating the differences among the units and divisions, even though her division would be unlikely to implement the proposal. A member asked to what degree the proposal is a slippery slope to granting non-Senate faculty Senate membership and noted there are other options, such as advisory votes or non-Senate faculty voting only on non-Senate faculty merit reviews, not on Senate faculty or on appointments. A member commented that the proposal addresses a specific case with a systemwide solution.

**ACTION:** Council voted to send the proposal, along with the comments from UCAP and UCFW for systemwide review in the fall (11 in favor, 5 opposed).



ACADEMIC SENATE, MERCED DIVISION  
COMMITTEE ON RULES & ELECTIONS (CRE)  
RICK DALE, CHAIR

UNIVERSITY OF CALIFORNIA, MERCED  
5200 NORTH LAKE ROAD  
MERCED, CA 95343  
(209) 228-6312

**April 23, 2013**

**To: Peggy O'Day, Senate Chair, and members of Division Council**

**From: Rick Dale, Chair, Committee on Rules & Elections (CRE)**

**Re: Conflict of Interest (COI) Policies on DivCo and Standing Committees**

---

CRE has considered a number of potential COI issues this semester, and the committee corresponded over email about the nature of Senate activities and what circumstances should prompt a COI concern. These issues were resolved, but CRE felt they presented an opportunity to clarify Senate COI, and set the groundwork for a policy of some kind (this was also prompted by Chair O'Day, who raised COI issues in a DivCo earlier in the semester). To this end, the committee consulted with 3 chairs of CRE-equivalent committees on other campuses to solicit advice regarding COI policies (a summary of responses is attached as an appendix).

In general, the UCM CRE committee discussed the nature of Senate duties, especially on DivCo, where its function is primarily as a deliberative body, and there are only rare concerns about *direct* business or financial interests to individuals. It is a telling fact that the systemwide bylaws leave these matters very much unspecified, and only in concerns of clear potential COI issues regarding resource or financial matters is it stated explicitly (e.g., CAP COI, and some Standing Committee memberships).

After CRE discussions, and consultations with committees on other campuses, UCM's CRE recognized two models for establishing a COI policy. Before summarizing them, we raise two key issues that the Merced Division should address, which would cover most COI issues raised recently: *multiple memberships by single Senate members*, and *unit/group memberships of a Standing Committee member*. **Our overall recommendation is to add this as a discussion item in a session of DivCo**, with the details below guiding discussion. CRE's discussion, on balance, supported the *open model* (see below). Assuming committee memberships are constituted in a balanced fashion, adequately representing Senate member voices at various levels (from units to schools), then the deliberative process is meant to include all of these voices simultaneously, even when those voices are sometimes "expressed" in a vote.

One CRE member (Berck) identified a distinction possibly useful in determining when openness may be inappropriate. A key distinction in Senate actions is between those issuing *judgment/review*, and those that are *legislative*. In the former case, one *does* expect impartiality, and an evaluation based on *facts that are in evidence* (e.g., in CAP, judgments are made on record, and can be released, if in redacted form). Judgment and review take place during CAP evaluations, program review and evaluation and so on. In legislative actions, such as program or program update approvals, discussion of distribution of resources, among other things – these activities are the basis of standard legislative activity in a deliberative process.

## CRE's assessment: Identifying key COI issues

*Multiple memberships.* Perhaps the most pointed concern for UCM is #2, in UCR's criteria described below. Because of our small number of Senate members relative to other campuses, while having nevertheless many Standing Committees to constitute, some faculty can serve on many committees. It seems important for committees to be aware of multiple memberships, and the potential for one faculty member to exert an influence on several committees. For example, even in circumstances as simple as opining on a potential change in a policy document, if one Senate member shapes discussion in two committees, then this faculty member could be exerting inequitable influence over the deliberative process, which is in spirit meant to include all relevant Senate voices. Importantly, it is not uncommon in the UC Senate structure for *some* members to participate twice in deliberations about legislation; however, there should be an awareness of this influence if it exists (e.g., a member of a school's Curriculum Committee voting on a CRF and then voting on it again in UGC).

*Faculty membership issues.* It is unclear how to sort out membership concerns when, for example, curricular issues are considered (such as program approval). It is unclear what level of membership should raise COI concerns, whether at the school or unit levels. For example, if a member of one school's Curriculum Committee has already voted in favor of a program, can they vote again if they are on UGC? What if one is an *affiliate* member of a graduate group that has a program change under consideration in Graduate Council? Even UCR's policy states that faculty who are members of a program, whose proposal is being considered by a Standing Committee, *stay in the room but do not vote*. From the perspective of the open model (see below), which has strong arguments in its favor, this is already a conservative policy. In addition, the zero-sum argument (see below) about program approvals suggests that one should also be wary of the *converse* of this oft-described COI issue: exerting an undue negative influence when a relevant Senate voice is out of the room, and could answer a critique or concern during deliberation.

Below are descriptions of two models that can facilitate discussion about these key issues.

### Open model

The first of these, an open model, leaves COI's unspecified, and prompts concerns only in very rare circumstances, motivated by the nature of Senate business as a *deliberative process*. In this case, one places a high threshold for COI's, because Senate activities are almost never, for example, deciding upon contracts or voting on matters of direct financial interest to individuals. A more common concern is when a Senate member sits on a Standing Committee that is approving or reviewing academic programs to which that faculty member belongs. Even in this case, it is difficult to argue for a worrisome COI. If this is a matter of distributing resources, and resources are limited, then there is a zero-sum situation in which *both* members and non-members of programs could be said to have a *potential* vested (and opposed) interest in seeing programs get approved. It's also unclear what level of membership is relevant to specifying this COI. At the broader level, is a SSHA program under review a potential COI issue if a committee member is SSHA faculty? In the words of UCI's chair of CRJ (Hirschberg):

*"Some committees' members act as representatives of (and perhaps advocates for) their School, while other committees' members are expected to act for the Division and not for their School's interests. One could argue that a member of a School might act in the School's interests. If so, and if it is a zero-sum game, then a non-member of a School would not be neutral either as their School's interests would best be served by advocating against the contemplated measure."*

In addition, one could argue that Senate members of Standing Committees are *not* impartial members, but rather represent voices of their relevant faculty groups, to ensure that matters important and relevant to

them are injected into discussion. For this reason, deliberative activities should *expect* to have members interested in conversation on important curricular matters. As one UCM CRE member put it:

*“They do not have a ‘business interest’ that they are voting on. They are not bidding for the Regent's contract in [a program]. Their only interest in this is as loyal employees of the Regents. COI without an outside monetary interest is hard to achieve in a deliberative body, like Congress or our Senate. We are not a court. We do not require impartiality. We actually prefer passion.”*

Under this model, the Senate would recognize a COI only under very special circumstances, such as if there is a perceived direct individual financial or business interest in its deliberation. This would only come under extremely rare circumstances, most often in CAP and CAPRA, but this is where issues of conflicts are made more explicit already. UCSD's Senate Analysis (Hamann) notes some agreement with this model, but does raise issues:

*“Generally I agree that Senate activities are deliberative and pure impartiality is not required – it might even be impossible for anyone to achieve. You are correct that the expertise and knowledge can be valuable during committee discussions. Conflict of interest is not just financial, however, and whether or not a faculty member could personally benefit from a curricular decision is only part of the picture. There is also the issue of fairness: A faculty member voting in the department and then again in the committee gives someone two votes while other faculty only have one. Is this fair? And then there is the issue of perception: Do these faculty members have undue influence over the outcome of the proposal? Some would argue that even having them in the room when the proposal is discussed would give them undue influence, but voting could definitely be perceived that way.”*

Again, this conflicts with the notion that COI's run in both directions. For example, in grant-reviewing circumstances at the National Science Foundation, it is generally considered a COI if a researcher has a proposal under consideration by a panel, and so cannot serve on a panel (and in some cases may not be sought out for reviewing other proposals). It is important to note that COI's have both undue facilitative *and* undue inhibitory definitions.

### **Explicit model(s)**

UC Riverside serves as an example of a more explicit model. Under this model, each Standing Committee separately develops a conflict-of-interest policy that is agreed upon at the start of each year's Senate business. This could be a policy drafted as part of a committee's procedures, that is agreed upon each year as a consent item. UCR's committee sent us valuable information on how they carry out this explicit model. The broader guidelines by its Senate asks each committee to pen its own COI policy, but to remain aware of the following three items:

- “1. Consider financial implications, i.e. will a vote afford a personal financial benefit*
- 2. Consider if the vote will allow a committee member to vote multiple times and thus have undue influence, i.e. can they vote at the department and then again within the committee*
- 3. Consider spousal and other personal conflicts”*

In the common case of program review or approval, when a faculty member of the relevant group is on the committee, UCR's chair (Ran) quotes from the COI policy in Committee on Courses:

*“If an issue comes before the Committee on Courses that emanates from the department or program of a committee member, he/she will provide information, but will not vote on the issue.”*

UCR’s websites for each standing Committee includes COI policy statements, found here:

<http://senate.ucr.edu/committee/>

And an example COI statement, for Committee on Courses, is found here:

[http://senate.ucr.edu/committee/8/COI\\_2012-2013.pdf](http://senate.ucr.edu/committee/8/COI_2012-2013.pdf)

And another from the CAPRA-equivalent:

[http://senate.ucr.edu/committee/17/COI\\_2012-2013.pdf](http://senate.ucr.edu/committee/17/COI_2012-2013.pdf)

Note these are not very long or especially detailed. They identify what seem to be key COI issues that may emerge in a given committee.

**Appendix:** Comments from CRE-equivalent Chairs and Senate offices:

UCI’s Dan Hirschberg (2/13/13)

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*“There are some implicit rules which preclude certain people from serving on certain committees by virtue of positions that they hold. For example, Deans, Associate Deans, Directors, Chairs, and Vice Chairs may not serve on Planning & Budget. Also, there is a "shadow" CAP for handling cases involving CAP members (but this is not in the bylaws). There is an explicit rule that adds an Oversight Member to membership on an Advancement to Candidacy committee when a COI might exist.*

*Some committees' members act as representatives of (and perhaps advocates for) their School, while other committees' members are expected to act for the Division and not for their School's interests.*

*One could argue that a member of a School might act in the School's interests. If so, and if it is a zero-sum- game, then a non-member of a School would not be neutral either as their School's interests would best be served by advocating against the contemplated measure.*

*I believe that committee deliberations involve knowledge of facts, which School members would best be able to provide, and application of logic. Further, it is not unusual that there is non-uniform support (or even opposition) within a School on any such issue.*

*Another example may help you. Does the CAP member of a School recuse him/herself when a member of that School is up for advancement? (Assume the case where the CAP member is not a co-author or spouse.)”*

UCSD’s Senate Analyst Diane Hamann (2/14/13)

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*“The San Diego Division does not have a formal recusal policy, although CAP has a rule that if a member voted on a file in the department, they can participate in the discussion, but must abstain from the CAP vote. How much participation is left to the discretion of the member and, perhaps, the CAP Chair.*

*This situation has been handled differently in different committees depending on the topic, the committee, the personality of the member(s), and the personality of the committee chair. Sometimes the member*

*leaves the room of his/her own accord, participates in the discussion and abstains from the vote, or participates and votes. When it is the chair of the committee, he/she has turned the meeting over to the vice chair to conduct for this issue or has conducted the meeting but not participated in the discussion and not voted. I don't remember seeing a chair vote on a proposal from his/her department, but it has probably happened.*

*Generally I agree that Senate activities are deliberative and pure impartiality is not required – it might even be impossible for anyone to achieve. You are correct that the expertise and knowledge can be valuable during committee discussions. Conflict of interest is not just financial, however, and whether or not a faculty member could personally benefit from a curricular decision is only part of the picture. There is also the issue of fairness: A faculty member voting in the department and then again in the committee gives someone two votes while other faculty only have one. Is this fair? And then there is the issue of perception: Do these faculty members have undue influence over the outcome of the proposal? Some would argue that even having them in the room when the proposal is discussed would give them undue influence, but voting could definitely be perceived that way.*

*Unless there is a formal policy in place, though, I don't think a committee member could be prevented from voting in committee on proposals from his/her own academic unit. Whether it is wise or politic to do so, is a different question.”*

 UNIVERSITY OF CALIFORNIA | **Academic  
Senate**  
**COMMITTEE ON RULES AND JURISDICTION**

February 19, 2013

**To:** Rick Dale  
Associate Professor, University of California, Merced

**From:** Ziv Ran Chair  
Committee on Rules and Jurisdiction

**Re:** **Senate Question regarding COI statements**

At UCR We leave it up to each committee to determine its own conflict of interest statement, but we do ask committees to consider the following three points when drafting its COI:

1. Consider financial implications, i.e. will a vote afford a personal financial benefit
2. Consider if the vote will allow a committee member to vote multiple times and thus have undue influence, i.e. can they vote at the department and then again within the committee
3. Consider spousal and other personal conflicts

For your reference, please visit our Senate website, [senate.ucr.edu](http://senate.ucr.edu), where each committee has posted its own COI statement on its page.

Second, and more specific to your issue, our Committee on Courses has the following language within its COI:

"If an issue comes before the Committee on Courses that emanates from the department or program of a committee member, he/she will provide information, but will not vote on the issue."

We hope this is helpful

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ACADEMIC SENATE, MERCED DIVISION  
COMMITTEE ON RULES & ELECTIONS (CRE)  
Rick Dale, CHAIR

UNIVERSITY OF CALIFORNIA,  
5200 NORTH LAKE ROAD  
MERCED, CA 95343  
(209) 228-6312

**Date:** August 29, 2013  
**To:** Ignacio López-Calvo, Chair, Academic Senate; Divisional Council  
Jian-Qiao Sun, Vice Chair, Academic Senate; Divisional Council  
Chairs of All Standing Committees  
**From:** Rick Dale, Chair, Committee on Rules & Elections (CRE)  
**Re:** Advising Standing Committees on Conflict of Interest (COI) Statements

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In spring 2013, in response to COI issues which elicited some discussion on DivCo and other committees, CRE conducted a study of how other UC Divisions handle these issues. A detailed memo reporting our findings and some basic models for COI policies can be found here (also found under "Resources" in the CRE page on the Senate site):

[http://senate.ucmerced.edu/sites/senate/files/public/COI\\_memo\\_FORMATTED.pdf](http://senate.ucmerced.edu/sites/senate/files/public/COI_memo_FORMATTED.pdf)

Former Senate Chair Peggy O'Day AY 2012-13 suggested that CRE make a basic recommendation for fall 2013 to initiate COI discussions. CRE suggested using the UC Riverside model. At UCR, each Standing Committee separately develops a COI policy that is agreed upon at the start of each year's Senate business. Examples of UCR's COI documents are linked from UC Merced's senate website here:

<http://senate.ucmerced.edu/node/307>

Note that these **COI statements are, in most cases, very short**. While our own CoC and CAP committees have fairly detailed statements, those of the other standing committees can be considerably shorter. Once these COI statements are created, each subsequent year, a committee could simply approve it as a consent item at the start of each year.

**Recommendation: CRE recommends that chairs could briefly raise these issues with the members of their committee and develop a COI statement similar to the corresponding committee at UCR. This COI statement can then be made available on UC Merced's senate site.**

As a final note, CRE also suggested that committees should be aware of multiple memberships by faculty on other committees. The primary concern is that faculty may have opportunities to vote multiple times on, or multiply influence, various senate measures, such as the approval of a program or policy change. Though this seems inevitable at a small campus, there should be an awareness of this influence if it exists (e.g., a member of a School's Curriculum Committee voting on a CRF and then voting on it again in UGC).

CC: Committee on Rules and Elections





September 18, 2012

TO: J. WUDKA, CHAIR  
RIVERSIDE DIVISION

FR: L. NUNNEY, CHAIR  
COMMITTEE ON RESEARCH

RE: 2012-2013 CONFLICT OF INTEREST STATEMENT

The Committee on Research re-adopted the following Conflict of Interest statement:

If a member of the Committee on research submits an application for funds from this committee, he/she will not participate in the evaluation discussion or decision concerning that particular application. Further, each application for Intramural Research funding will be reviewed and evaluated individually by two members of this committee, before final discussion by the entire committee, in order to ensure a fair and impartial review of each application. Finally, if any member of this committee believes that a conflict of interest exists for him/herself or for another person on the committee, that member should call the possible conflict of interest to the attention of the chair. The chair will convene the committee, and those present will decide by majority vote if a conflict exists. If their decision is affirmative, the individual with the conflict will leave the room during discussion of the conflicted matter and will not vote on that matter.