

COMMITTEE ON ACADEMIC PLANNING & RESOURCE ALLOCATION
(CAPRA)

Tuesday, October 15, 2013

2:30 – 4:00 pm

KL 232

Documents found at [UCMCROPS/CAPRA1314/Resources](#)

AGENDA

I. Chair's Report – Anne Kelley

A. Updates from October 1 UCPB meeting

B. Updates from DivCo meetings – *Anne Kelley and Jan Wallander*

C. Updates from Strategic Focusing Town Hall **Pg. 3**

II. Consent Calendar

A. Approval of the agenda

III. Conflict of Interest Policy

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In AY 12-13, CRE and DivCo suggested that each Senate standing committee adopt a conflict of interest policy based on those at UC Riverside.

Action requested: CAPRA to review the UC Riverside Committee on Planning and Budget conflict of interest policy and adopt a similar statement.

IV. FTE Requests

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A. Request process from the Schools.

B. CAPRA criteria for evaluation.

V. Other Business

A. APM 600 – systemwide review item.

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Background. 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). The attached review packet includes: 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.

Date: September 26, 2013

To: UC Merced Faculty

From: Joint Administration-Senate Strategic Academic Focusing Working Group

Subject: Request for faculty feedback on strategic academic focusing

Our campus has reached a critical new phase of its development: We are no longer constrained by the basic needs involved in establishing a brand new research university; we are now presented with the opportunities and challenges of advancing and developing our university towards excellent academic programs that are recognized nationally and internationally.

In 2009, the campus created a [Strategic Academic Vision](#). Refinement is now needed to take into account changes that have occurred since that time. Strategic Academic Focusing must consider where future investments in academic programs and support infrastructure are best made.

The Chancellor and campus have set a goal to grow to 10,000 students, of which 1,000 are to be graduate students by the 2020-2021 academic year. This is commonly referred to as the [2020 Project](#). In the spirit of shared governance, the Provost/EVC and the Academic Senate Chair established the Joint Administration-Senate Strategic Academic Focusing Group (with members from the faculty and the administration) whose charge is to facilitate a campus dialogue aimed at a more focused strategic academic vision.

As a first step in the process, we want to hear from faculty and campus units. Thus, we are requesting feedback from academic units, graduate groups, organized research units, and individual faculty or groups that may contribute to establishing a more focused strategic academic vision. Your ideas or responses are not restricted to the aforementioned 2009 document.

We ask that responders address the following five questions:

1. What refinements to the 2009 Strategic Academic Vision are needed-both in terms of more narrowly focusing or removing current research themes or adding new ones? Consider collaborative, multidisciplinary research themes that can help to forge UC Merced's identity.
2. What are the important research problems or questions in your field(s) and, relative to your response to question one, what research themes does your disciplinary or interdisciplinary field contribute to?

3. Within the context of the 2020 Project, what sort of resources are realistically needed for you to address these important research themes, problems, or questions?
4. What national programs align most closely with yours today and what are the programs (if any) to which you aspire to be like by 2020? If you aspire to establish a unique program, what differentiates it?
5. How does your program help to meet important campus metrics of campus enrollments (undergraduate and graduate students), research productivity, student retention rates, reliance on non-ladder rank faculty, etc.?

Responses will be reviewed using the following guiding principles. We encourage writers to consider them as well.

A. Rational fairness and equity: Having a balanced approach based on reality and context, as we consider what to build and support, in contrast to what we will not foster. Context is current status of programs and faculty, student base, and cost; it also includes future prospects in student needs, funding, and fit with general mission (to come out of this planning process). Fairness and equity avoids favoritism based on personal interest, seeks balanced choices, but all within the contexts mention above.

B. Transparency: During the planning process, information and methods of decision-making are not held back from interested parties (e.g., faculty, students, and community). Things are not done by individuals or committees without providing the rest of the faculty with an opportunity for feedback or response. This does not mean that decisions cannot be made that may reflect only the minority opinion/preference. However, the process used in this planning mission are made known to the rest of the faculty.

C. Fidelity: If changes to the campus mission, design, composition are to be made, they should be made in light of prior contracts (implied or explicit). These contracts may have been made to units, people, programs, etc.

D. Balanced approach between undergraduate and graduate education, with a recognition of the original mission of the university.

E. Recognition that UCM cannot be all to everyone, and that is must identify itself uniquely with its own philosophies and niche, in order to be competitive and successful in the near future. We can be a UC campus with its long standing quality approaches to education and research in general, but we need to be more.

In parallel to this process, the campus has underway a project to develop additional space for faculty, research, teaching and students. We acknowledge that our campus is facing restrictive limits on space resources as present. However, we ask that proposers take a reasonable and realistic approach to identifying space and other resources needed to make the initiative successful.

The due date for initial responses is Friday, November 8. Upon receiving these responses, the Working Group will review and consolidate the submissions and present the consolidated effort to the campus for input.

We will communicate with you shortly concerning the exact format for submitting responses. The Working Group will be hosting several Town Hall events where you will be able to ask questions and voice your concerns. In addition, you may also email your questions to sa2020@ucmerced.edu

QUESTIONS TO CONSIDER

What are the Intellectual Drivers and our UCM Identity?

1. What are the grand challenge research problems or important questions in your field, and how are they contextualized within broader (multidisciplinary) research problems/questions ?
2. What are the key opportunities for intellectual contribution to addressing these problems or questions by your program?
3. Are extramural funds required to support the research in your field and if so what are the likely sources of these funds (gifts or grants) over the next decade?
4. What are the key characteristics that establish a clear and unique identity for your program at UCM? How do these characteristics clearly distinguish this program from similar programs at other campuses?
5. What role does interdisciplinary collaboration—either on or off campus-- play in the future success of your program at UCM?
6. What other research areas at UCM are key to successful collaboration and growth of your program?

What resources, including Project 2020 can help you realize your Vision?

1. Under constrained conditions, what types of resources (library research materials, specialized equipment, etc.), and physical space are required to help you establish a unique identity for your program at UC Merced? What unique configurations of space and facilities could help you distinguish your program from similar programs at other campuses? For example, what mix of lab spaces, study spaces, field facilities, performance spaces, etc. would be optimal for the long-range success of your program? Are there unique space configurations that will enhance your involvement in interdisciplinary collaboration?
2. What targeted faculty recruitment strategy might you follow to maximize the national and international impact of your program with costs and space a consideration in your strategy?

Who are our realistic peers and our aspirational peers?

1. What three national programs would most closely be considered peer programs to yours at Merced?
2. What three national programs best represent aspirational peers for the UCM 2020 vision of your program? Why? How do metrics such as faculty size, publications, graduate student size, research intensity, etc., at UCM compare to metrics at these institutions? What kinds of resources are available to your counterparts at these aspirational peer institutions? What fraction of these resources do you feel can be provided by your program through the acquisition of extramural funds (gifts or grants)?

How do we meet important Campus Metrics?

1. UCM has an explicit goal of enrolling 1,000 graduate students, by 2020. How will your program contribute to achieving this goal?
2. How will your program contribute to the education of our 9,000 undergraduate students?
3. We lag behind our sister UC institutions in many measures, including research productivity, graduate student involvement, undergraduate retention and graduation rates and reliance on non-ladder rank faculty for instruction. What can your program do to help establish UCM metrics more comparable to our sister institutions?



October 1, 2012

To: Jose Wudka, Chair
Riverside Division

From: Jan Blacher, Chair
Committee on Planning and Budget

RE: CONFLICT OF INTEREST 2012-13

The Committee on Planning and Budget has reviewed their conflict of interest statement and has adopted the following Conflict of Interest Statement for 2012-13 by a unanimous vote:

Potential conflicts of interest may occur as members of the committee formulate recommendations of concern to the campus. Accordingly, members of the Committee on Planning and Budget will be available to offer the Committee information and to participate in discussions, but will excuse themselves from the vote on matters pertaining to departments and programs of which they are members or through which they might materially benefit.

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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

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

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



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

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
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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

And another from the CAPRA-equivalent:

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)

“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)


“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, 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

**UC Merced CAPRA (Committee on Academic Planning and Resource Allocation)
Process and Criteria for Evaluating Faculty FTE Requests for AY 2014-2015
Draft 1**

Requests for new faculty lines (FTEs) may be initiated by the Bylaw 55 units, graduate groups, research institutes, or other faculty groups. However, as faculty are appointed to Bylaw 55 units, a position is unlikely to be highly recommended unless it is a priority of one or more such units. Each requested position should be accompanied by a brief (1 paragraph) description of the position and a brief (1 page) justification for the position, referencing the CAPRA criteria listed below. The faculty group(s) requesting each position should be clearly identified. In addition to the specific FTE requests, each group making such requests should include a longer-term strategic plan that describes that group's planned trajectory through 2020. This may be the same document submitted to the Provost's Strategic Academic Focusing working group.

The requested positions should be ranked in priority both by the School Dean and by the faculty and both sets of rankings should be provided to CAPRA. The faculty rankings may be made by the School Executive Committee or any other faculty group to whom the Executive Committee delegates this task. Multiple positions may be given equal priority, but excessive use of equal rankings clearly reduces the impact of such rankings.

In addition to the FTE requests and strategic plans, CAPRA requests that each School submit (1) a table listing all faculty currently holding appointments in the School, listing their unit and graduate group affiliations and the principal undergraduate and graduate programs in which they teach; (2) a table listing all currently approved but unfilled positions; (3) a table listing expected space, startup, and other infrastructure requirements. Please see Appendices 1-3 for examples.

CAPRA criteria

1. Potential to strengthen research programs in existing or nascent graduate programs/groups, including cross-school or interdisciplinary programs.
2. Support of graduate education through student mentorship and graduate teaching.
3. Ability to build connections with ORUs, CRUs, or other organized research units on campus or systemwide.
4. Support of undergraduate majors and undergraduate teaching needs.

This FTE request should include any needed LPSOE positions. It should not include carryover positions (those approved in a prior year but not yet filled) or replacements for vacated positions.

Committee on Academic Planning and Resource Allocation (CAPRA)
Minutes of Meeting
September 17, 2013

Pursuant to call, the Committee on Academic Planning and Resource Allocation met at 2:30 pm on September 17, 2013 in Room 362 of the Kolligian Library, Chair Anne Kelley presiding.

I. Consent Calendar

ACTION: The committee approved the agenda pending the addition of one item: the visit of new UC President Janet Napolitano to UC Merced. The September 3 minutes were approved as presented.

CAPRA briefly discussed the issues it would like the Senate to impart to President Napolitano: lack of funding in light of the divestiture of state funds, possible sources of non-state funding, and the implications of budget cuts for a growing campus. It is also imperative to mention the uniqueness of this campus and the many space challenges we have as we move towards becoming a full-fledged UC campus. It is difficult to recruit high-quality faculty and graduate students due to our lack of space and resources. UC Merced needs continued support from UCOP.

II. Chair's Report

Chair Kelley updated the committee on what transpired at the September 10 Division Council meeting:

--UC PATH. Michael Reese (Interim VC for Business and Administrative Services) and Dan Feitelberg (VC for Planning and Budget) gave an update on the project. Implementation has been challenging and there may be a delay in implementation of up to a year for UC Merced. Since UC Merced's financial systems are closely tied to UCLA's, UC Merced will implement UC PATH on the same schedule as UCLA.

--New MOU. The Provost and Chancellor have been drafting a new MOU to replace the expired agreement. The Provost has not yet released the draft for review.

III. Physics Graduate Group Proposal

Prior to this meeting, two CAPRA members provided written comments. CAPRA discussed both reviews and agreed that the Physics program is ready to move forward in terms of size and the quality of faculty and students. The program will survive as it grows at whichever rate is dictated by resources.

ACTION: Committee analyst will draft a memo to the Senate chair on behalf of CAPRA with both sets of reviews.

IV. Draft Course Buyout Policy

CAPRA members agreed that buying out one course per year is reasonable. However, there was dissension among committee members surrounding the provision that faculty members must teach an undergraduate course that significantly contributes to the major. Some committee members pointed out that a graduate program may be negatively impacted by faculty members not teaching graduate courses, especially since graduate courses cannot be taught by lecturers. Moreover, the decision of what level of courses faculty members should teach ought to be left to the individual programs rather than mandated in a policy.

However, other committee members pointed out the importance of high-quality faculty teaching undergraduate courses and were in favor of the stipulation that faculty members must teach one undergraduate course.

CAPRA also discussed the difficulty of recruiting high-quality senior faculty who have large grants and are able to buy out their academic year salary; UC Merced is unable to let them do this and that places the campus at a disadvantage for recruiting.

ACTION: Committee analyst will draft a memo to the Senate chair on behalf of CAPRA listing the committee's comments. The memo will note that the committee was not unanimous in its opinion.

V. SACAP revised charge.

CAPRA members briefly discussed the revised charge and had no comments.

ACTION: CAPRA analyst will draft a memo to the Senate chair on behalf of CAPRA stating that the committee has no comments.

VI. FTE Requests

Prior to this meeting, CAPRA members reviewed the last two years of CAPRA's FTE assessment criteria with the goal of deciding this year's criteria to suggest to Provost Peterson.

The AY 12-13 criteria was quite prescriptive and mandated that FTE requests should come from the graduate groups. The main problem with this requirement is that faculty members are not appointed to or hired by graduate groups; they are hired by Bylaw 55 units. Moreover, there is a lack of alignment between graduate groups and Bylaw 55 units. Another problem lies in the requirement that graduate groups must request LPSOE lines when LPSOEs do not engage in research. CAPRA wants to ensure that graduate groups are appropriately represented in the process. Some groups ignored CAPRA's directive last year and submitted FTE requests from Bylaw 55 units. Last year's CAPRA criteria also dictated how Schools should conduct their rankings of the FTE requests.

The AY 11-12 criteria were non-prescriptive and did not specify how Schools should arrive at their rankings.

In addition to discussing this year's CAPRA criteria of assessing FTE requests, the committee also debated on what exactly CAPRA should ask the Schools to submit. At a minimum, CAPRA wants the FTE rankings and justification from both the Deans and the faculty. The question amongst CAPRA still remains: how much documentation does CAPRA want from the Schools? A CAPRA member mentioned that it would be useful to see statistics on number of faculty as well as undergraduate and graduate

enrollment. Another CAPRA member suggested allowing both graduate groups and Bylaw 55 units to submit FTE requests.

In the past, Schools submitted its Strategic Plans to CAPRA and the Provost. CAPRA members inquired whether the Provost still intends to require these plans in light of his emphasis on “strategic focusing” of the campus. If the Provost intends request the School Strategic Plans, perhaps CAPRA could use those Plans in its evaluation of FTE requests rather than require a separate document from the Schools. If the Provost does not request Strategic Plans, then CAPRA will have to decide what specific documentation it will ask the Schools to provide.

CAPRA members also discussed the timeline of FTE requests and the importance of beginning the process early.

The committee then held a brief discussion on how to work with the Provost on the process for new versus replacement FTEs. In the past, when a faculty member left the University, groups were able to re-hire on the same FTE and in the same or similar discipline. Last year, it was suggested that replacement FTEs were not automatic and that justification for re-hiring in the same or similar discipline needed to be submitted by the groups. This led to some confusion and groups began to include requests for both new and replacement FTEs. While the Provost controls this process, CAPRA must seek clarification on whether it should evaluate only new FTE requests or both new and replacement FTEs. A CAPRA member suggested that the committee could comment on both but at different times, since the process for new FTEs occurs in a different cycle than the process for replacement FTEs.

ACTION: CAPRA will ask the Provost if he intends to require the Schools to submit Strategic Plans this year. This item will be placed on the agenda for continued discussion at the next CAPRA meeting.

There being no further business, the meeting adjourned at 4:00 pm.

Attest:

Anne Kelley, Chair

Minutes prepared by:

Simrin Takhar, Senate Senior Analyst

Simrin Takhar

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 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

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 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](#)

This automatic notification message was sent by UCMCROPS (<https://ucmcrops.ucmerced.edu/portal>) from the COR1314 site.

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SANTA BARBARA • SANTA CRUZ

William Jacob
Telephone: (510) 987-9303
Fax: (510) 763-0309
Email: 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 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 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

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



SANTA BARBARA • SANTA CRUZ

Robert L. Powell
Telephone: (510) 987-0711
Fax: (510) 763-0309
Email: Robert.Powell@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*

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

APM Section	Div/Cte	Comment
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, 11th 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 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.

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 authority¹, 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.

¹ Regents Action Item 506 November 17, 1988

290-24 **Authority**

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

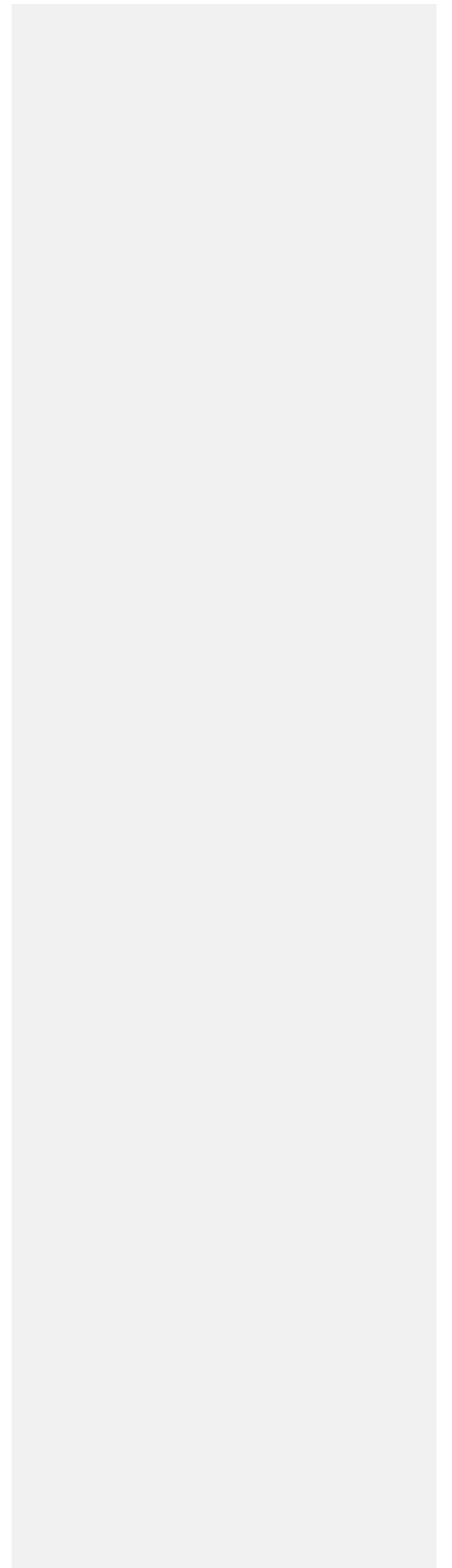
a. **Regents' Professors**

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.~~

Legend:	
<u>Insertion</u>	
Deletion	
Moved from	
<u>Moved to</u>	
Style change	
Format change	
Moved deletion	
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.

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 - (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 authority¹, 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.

¹ 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.

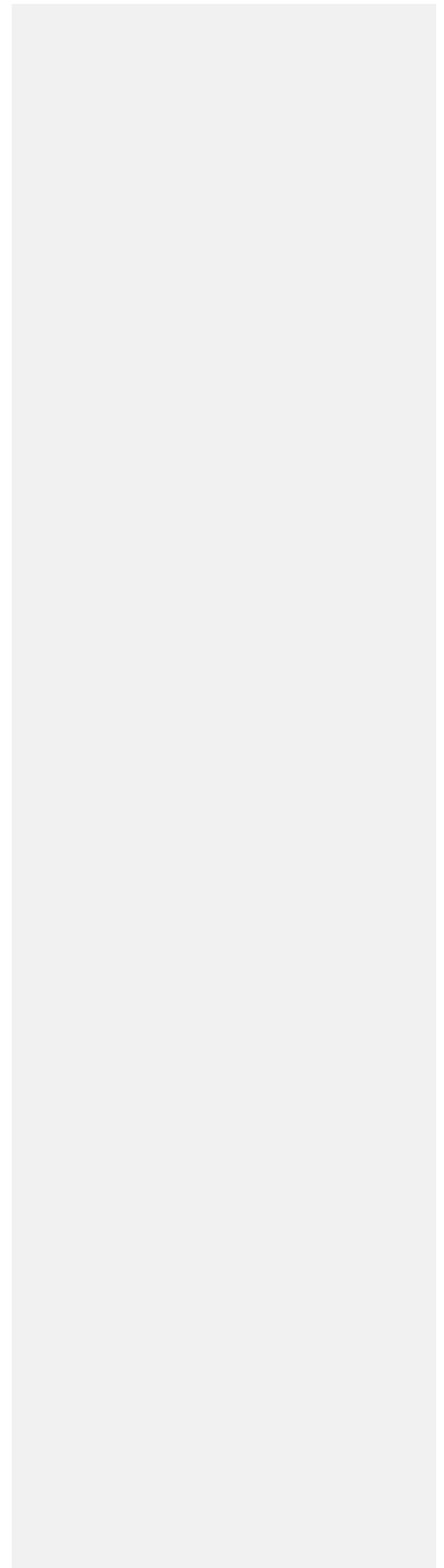
These details must include any and all recruiting inducements financial or otherwise and regardless of fund source, including the proposed total negotiated salary, stipends or summer ninths, recruitment allowance, appointment to endowed chairs, reduced teaching responsibilities, start-up funds, space 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~~ 8 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**

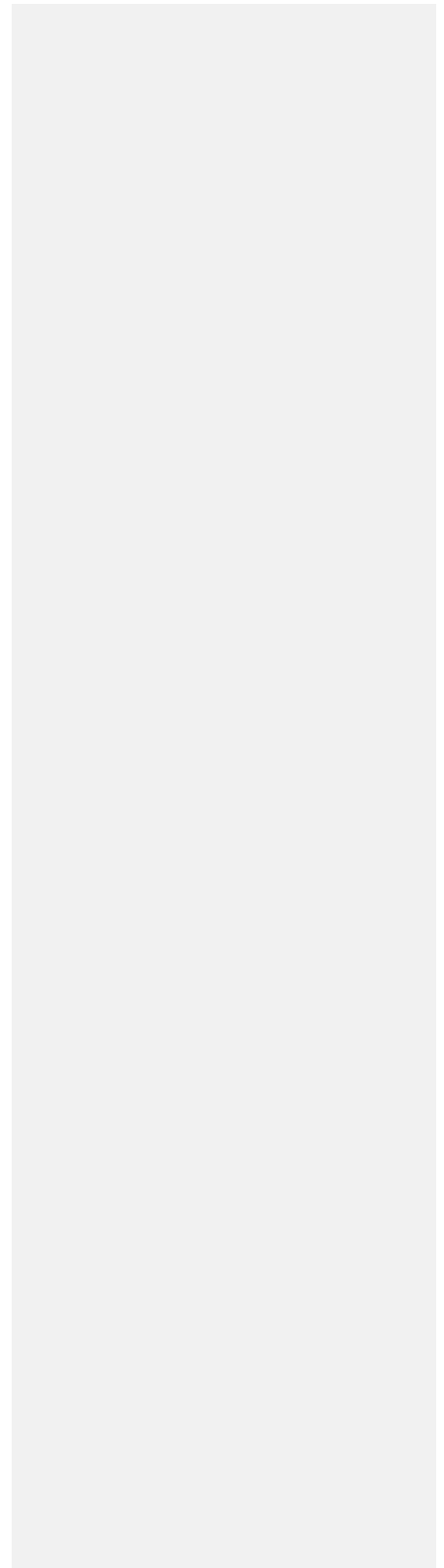
~~If service to a project should necessitate reduction in the teaching load normally carried by the person, his/her salary from the department should be reduced accordingly, and the amount of such reduction be made up from the project account~~ Project account funds may be used to offset the reduction 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 percent¹.
- 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.

¹ 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.

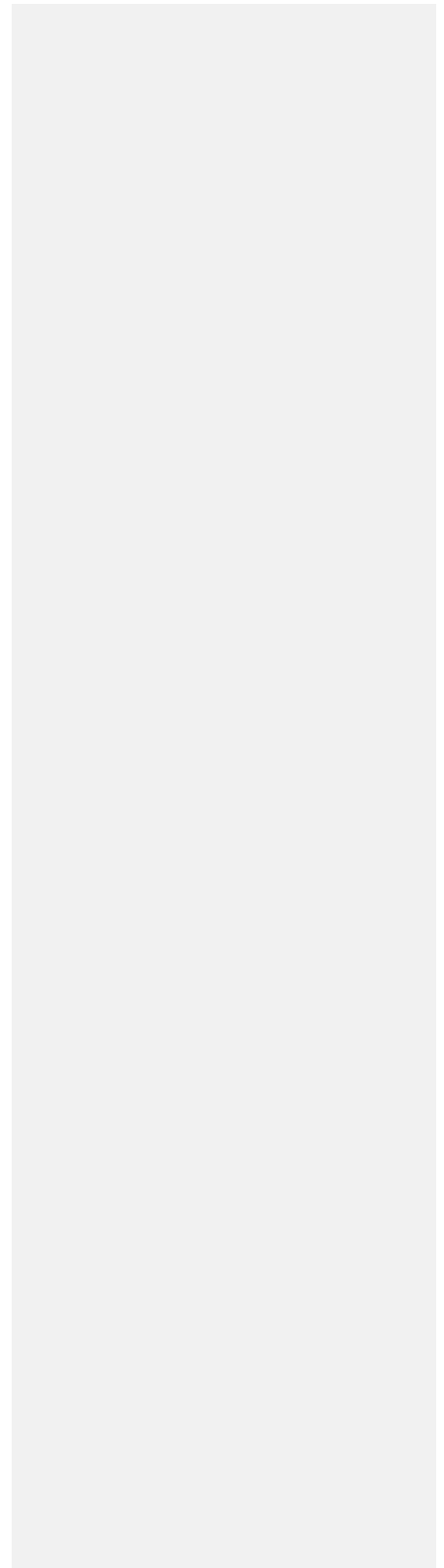
c. ~~b. Each Chancellor is authorized to approve other appropriate compensation.~~ Faculty shall inform the department chair of the home campus when teaching Summer Session at a University campus other than the home campus to insure pay is accurate and does not exceed policy limits.

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 percent¹.
- e. Non-faculty fiscal-year appointees who are granted the use of vacation days or a temporary percentage reduction in their current appointment.

¹ 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^{*}, 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.

^{*}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 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~~

~~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.~~

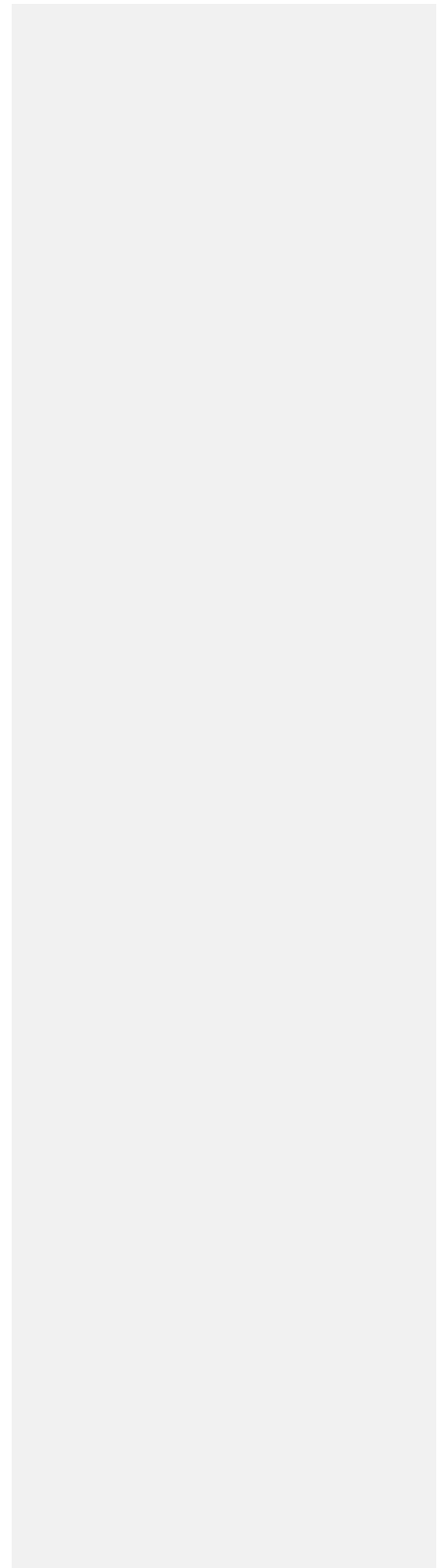
~~An appointee may not receive additional compensation for teaching that is part of the individual's regular duties. If teaching assignments are a customary part of the individual's duties, that teaching load is considered as part of the appointee's regular job.~~

~~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~~ 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 expenses¹ 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~~

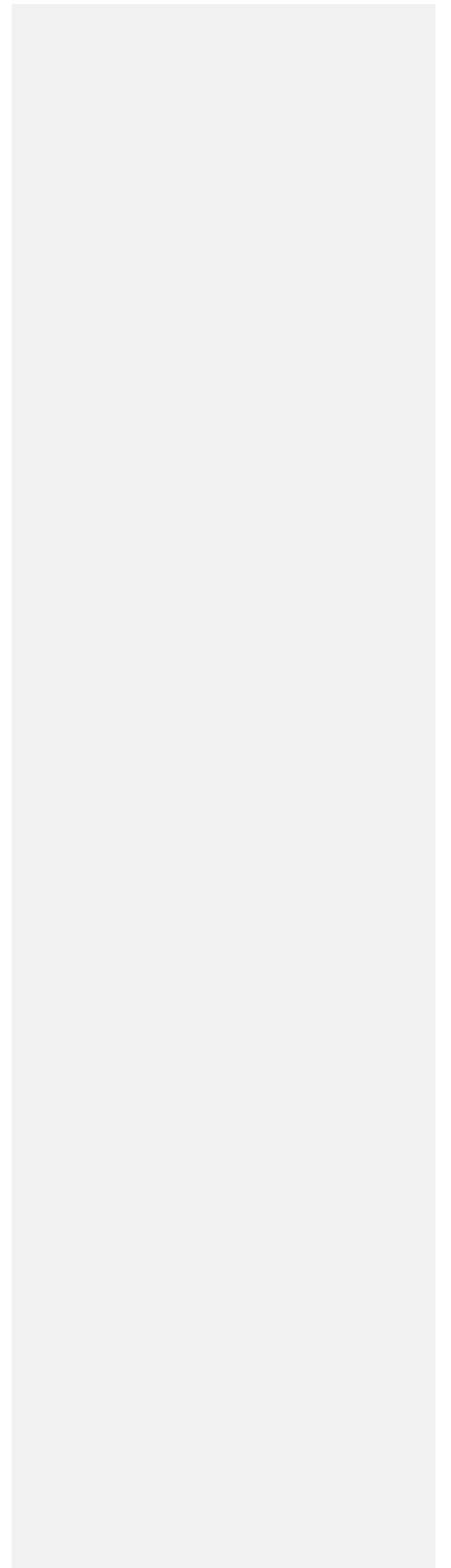
Comment [AP3]: Language in this section formalizes current practice and adds flexibility requested by some reviewers to allow the Chancellor to make exceptions. For example, some reviewers believe that faculty should be eligible for honoraria for activities occurring on the home campus.

¹ 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 expenses¹ 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.

¹ 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.