

Committee on Faculty Welfare, Diversity & Academic Freedom (FWDAF)

Monday, March 31, 2014

3:00 – 5:00 pm, KL 397

Documents found at [UCMCROPS/FWDAF1314/Resources](https://ucmcrops.org/FWDAF1314/Resources)**AGENDA**

- I. VCR Sam Traina **3:00 – 3:30**
Discussion: Indirect cost return

- II. Chancellor Leland and Division Council members **3:30 – 4:00**
Discussion: campus climate survey data [report](#). FWDAF member Golash-Boza participated in the March 14 conference call with systemwide Provost Aimeé Dorr. Presentation to Regents is on March 19.

- III. Chair’s Report – *Rudy Ortiz* **4:00 – 4:15**
 - A. Update from meeting with Provost and Deans on March 25
 - B. Update from March 17 Division Council meeting

- IV. Consent Calendar
 - A. Agenda
 - B. February 18 draft minutes **Pg. 1-4**

- V. Systemwide Updates **4:15 – 4:25**
 - A. UCAAD – *FWDAF representative: Rudy Ortiz*
 - i. Letter from systemwide Chair Bill Jacob **Pg. 5-9**
 - ii. Memo from member Malloy on 3-17-14 teleconference **Pg. 10-11**
 - B. UCFW – *FWDAF representative: Linda Cameron*
 - C. UCAF – *FWDAF representative: Sean Malloy*

- VI. Campus Review Items **4:25 – 4:40**
 - A. MAPP revisions **Pg. 12-72**
APO and Provost have submitted several proposed MAPP revisions for campus-wide review.

Action requested: FWDAF to review the proposed revisions and provide comments by Wednesday, April 2.

- B. Public Health Major **Pg. 73-101**
CAPRA and UGC recently opined on SSHA’s proposal to establish a major in Public Health. All Senate standing committees are now asked to opine.
Action requested: FWDAF to review the proposal and provide comments by Wednesday, April 9.
- C. Committee on Research’s draft policies on the establishment and review of research units. **Pg. 102-117**
Action requested: FWDAF to review the policies and provide comments by Friday, April 18.
- D. [Molecular Cell Biology CCGA Proposal](#)
Standing committees are asked to review and comment. Graduate Council and CAPRA are lead reviewers. Proposal is available on CROPS at UCMCROPS/FWDAF1314/Resources/Review Items – Campus
Action requested: FWDAF to review the proposal and provide comments by Monday, April 21.
- VII. Funding Concerns – *Rudy Ortiz* **4:40 – 4:45** **Pg. 118-119**
Background: On February 5, COR emailed memos to Division Council expressing concern over funding, namely, the need for emergency funds for faculty and the future of funding for the annual Senate faculty grants.
Action requested: FWDAF to review memos and discuss whether to send similar memos to the Senate Chair.
- VIII. Spousal Hire Funding – *Rudy Ortiz* **4:45 – 4:55**
Discussion: Funding from Provost/EVC.
- IX. Livescan Issue – *David Ojcius* **4:55 – 5:00**
Discussion: What is the practice on other UC campuses?
- X. Other Business

Next meeting: Tuesday, May 6, 3:00 – 5:00 pm, KL 324 with Chancellor Leland and Provost Peterson

Committee on Faculty Welfare, Diversity, and Academic Freedom (FWDAF)
Minutes of Meeting
February 18, 2014

Pursuant to call, the Committee on Faculty Welfare, Diversity, and Academic Freedom met at 3:00 pm on February 18, 2014 in Room 324 of the Kolligian Library, Chair Rudy Ortiz presiding.

I. Chair's Report

Chair Ortiz updated the committee on his efforts to encourage diversity in faculty recruitment. Chair Ortiz encouraged committee members who are on school search committees to be cognizant of the diversity provisions in the APM and of candidates' contributions to diversity.

ACTION: Chair Ortiz to attend a future meeting of the Provost and School Deans to discuss diversity in faculty searches.

II. Systemwide Committee Updates

A. University Committee on Affirmative Action and Diversity (UCAAD).

Chair Ortiz, the FWDAF representative, updated the committee members on UCAAD discussions. UCAAD has recently discussed the HSI initiative. Other UCAAD topics were the APM 210 C and D and updates on faculty salary equity studies. Information from UCOP regarding the salary studies are posted on FWDAF's CROPS site.

B. University Committee on Faculty Welfare (UCFW). Member Linda Cameron, the FWDAF representative, updated the committee members on UCFW discussions. Much of the recent discussion has centered on the new UC health plans. The general consensus is that the plans were not rolled out properly. There is some question about the health coverage for retired faculty members who move out of California. Another item on the UCFW agenda was the UC retirement program (UCRP) and the 2010 plan to ramp up contributions by the UC. This plan was intended to offset the

UCRP deficit but has not yet been established. UCFW will continue to monitor these issues.

FWDAF members briefly discussed the retirement options available to faculty and expressed concern that many faculty members are unaware they can access their own accounts online or speak to a Fidelity representative on the telephone.

- C. University Committee on Academic Freedom (UCAF). In the absence of member Sean Malloy, the FWDAF representative, it was announced that UCAF has no updates as the committee will convene in March.

ACTION: The Academic Personnel office (APO) will be asked if HR can include discussion on the UCRP at future new faculty orientations. The Senate newsletter should include a blurb on where faculty should go to attain more information on Fidelity and retirement account options.

III. Preparation for VP Carlson Visit

Systemwide Vice Provost for Academic Personnel, Susan Carlson, is visiting campus tomorrow as part of the FWDAF/APO faculty seminar series. At noon, she will hold an open forum for all faculty on the topic of faculty mentoring. FWDAF was granted its own meeting with VP Carlson later in the afternoon and committee members discussed the topics they would like to address with her:

--What components could UC Merced adopt from the faculty mentoring programs of other UC campuses?

--What are some strategies that faculty, chairs, and deans could use to promote diversity in hiring? What are the best practices for diversity in hiring that UC Merced should adopt? How should UC Merced handle questions of diversity since we are the only UC campus without a diversity officer?

--How can UC Merced encourage more cluster hires and targets of opportunity hires?

--What are some strategies for faculty retention?

FWDAF members also held a brief discussion on the President's Post Doctoral Fellowship program and the additional increase in funding. The funding includes a provision for start up packages. This is a positive addition but faculty still face the challenge of determining space needs when trying to hire a post doc.

IV. Livescan

Chair Ortiz Rudy provided an overview of the process and function of Livescan. There is currently a proposal to use Livescan for employees who work with controlled substances.

ACTION: This item was tabled until the March meeting.

V. WASC

Prior to this meeting, when responding to the Senate Chair's request for Senate standing committees to review the new WASC Core Competency expectations, FWDAF submitted a memo stating its ongoing concerns about the influence of WASC over faculty curriculum. FWDAF members pointed out the heavy workload burden on faculty as they try to fulfill their accreditation duties.

ACTION: This item was tabled until the March meeting.

VI. Funding Concerns

Prior to this meeting, the Committee on Research (COR) submitted memos to the Senate Chair requesting an increase in the amount of funding for the annual Senate faculty grants, and, the establishment of bridge funding or emergency funding for faculty members.

FWDAF members expressed interest in working with COR on these issues. In addition to the absence of bridge funding, there is no funding for faculty

who work on innovative projects. A committee member pointed out the lack of adequate funding for graduate students and the negative impact on PIs. Another committee member suggested that the Senate should ask the Graduate Division about matching funds for a GSR so that PIs can allow graduate students to devote their time solely to research. Committee members then held a brief discussion on indirect cost return.

ACTION: Chair Ortiz will speak with COR Chair Ruth Mostern about combining the committees' efforts on the issue of faculty funding. VCR Sam Traina will be invited to the March FWDAF meeting to speak about indirect cost return.

There being no further business, the meeting adjourned at 4:30 pm

Attest: Rudy Ortiz, Chair

Minutes prepared by: Simrin Takhar, Senate Senior Analyst



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

March 12, 2014

SENATE DIVISION CHAIRS

Re: UCAAD Recommendations for Local Diversity Committee Empowerment

Dear Colleagues:

In 2005, the University Committee on Affirmative Action and Diversity (UCAAD) proposed a number of best practice [recommendations](#) for increasing the visibility, authority, and status of local diversity committees. After sending a review by the divisions, the Academic Council agreed to forward the recommendations to Senate divisions with the request that they consider them for implementation as the divisions deemed appropriate and feasible.

UCAAD believes it is time to reinvigorate discussions about how to ensure that the Senate and its committees on affirmative action and diversity play a leadership role in campus efforts to enhance diversity and foster an inclusive campus climate. Council discussed UCAAD's proposal at its February 26 meeting and agreed to forward the letter to the divisions.

The Council would again like to encourage divisions to review the recommendations and discuss the extent to which they might be implemented in the distinctive context of each campus. We suggest that you engage with your local diversity committees to assess their local role against the backdrop of the recommendations while also encouraging them to bring information about your findings to UCAAD so that Council can work simultaneously with UCAAD and with you to identify opportunities and challenges for Senate leadership in this area.

The recommendations are attached. 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

Encl (1)

Cc: UCAAD Members
Senate Executive Directors
Senate Committee Analysts



University Committee on Affirmative Action and Diversity
Emily Roxworthy,, Chair

February 24, 2014

BILL JACOB, CHAIR
ACADEMIC COUNCIL

Re: UCAAD recommendations to empower divisional committees on Affirmative Action and Diversity

Dear Bill:

As part of its participation in developing a response to the Moreno report, the University Committee on Affirmative Action and Diversity (UCAAD) reviewed recommendations it made to Council in 2006 that each division take appropriate measures to raise the profile and increase the authority of its Committee on Affirmative Action and Diversity. Council endorsed UCAAD's recommendations at that time. The recommendations recognized that each division would need to determine how to proceed in the context of its distinctive campus culture, but they encouraged enhancement of divisional CAAD roles in both Senate and joint Senate-Administrative settings.

UCAAD members believe that this is the right time to reinvigorate discussions within the divisions and systemwide about how to ensure that the Senate and its divisional CAADs take leadership in promoting and fostering diversity. I have attached the UCAAD's 2006 recommendations and Council's message to the Division Chairs in support of the recommendations.

On behalf of UCAAD, I request that Council take this matter up as new business at its February meeting.

Sincerely,

Emily Roxworthy
Chair, UCAAD

Encl (1)

Cc: UCAAD
Executive Director Winnacker



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Assembly of the Academic Senate, Academic Council
University of California
1111 Franklin Street, 12th Floor
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April 5, 2006

DIVISION CHAIRS

Alice Agogino (B) Roland Winston (M) Jean-Bernard Minster (SD) Faye Crosby (SC)
Dan Simmons (D) Adrienne Lavine (LA) Deborah Greenspan (SF)
Kenneth Janda (I) Walter Yuen (SB) Manuela Martins-Green (R)

RE: Implementation of the University Committee on Affirmative Action and Diversity's Recommendations for Local Diversity Committee Empowerment

Dear Division Chairs,

At its March 22, 2006 meeting, the Academic Council considered UCAAD's *Recommendations for Local Diversity Committee Empowerment*. The Academic Council first requested divisional review of UCAAD's recommendations in May 2005, and received responses from the end of the 2004-05 academic year through February 2006. After discussion of the divisional responses at its March meeting, the Academic Council voted to refer UCAAD's recommendations to the divisions for implementation.

On behalf of the Academic Council, I respectfully request that each division consider implementation of UCAAD's *Recommendations for Local Diversity Committee Empowerment* as you deem appropriate and feasible. The Academic Council applauds UCAAD's efforts to strengthen local diversity committees, and encourages UCAAD to monitor the divisions' progress in implementing their recommendations.

Sincerely,

A handwritten signature in blue ink, appearing to be 'JO' followed by a stylized flourish.

John Oakley, Chair
Academic Council

Enclosure: *UCAAD Recommendations for Local Diversity Committee Empowerment*, May 6, 2005
Copy: Academic Council
María Bertero-Barceló, Executive Director, Academic Senate
Dan Weiss, Chair, UCAAD
Michael LaBriola, UCAAD Analyst



UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
ROSS FRANK, CHAIR
rfrank@ucsd.edu

Ethnic Studies
9500 Gilman Drive
University of California San Diego
San Diego, California 92093-0522

May 6, 2005

GEORGE BLUMENTHAL, CHAIR
ACADEMIC COUNCIL

Re: Recommendations for Local Diversity Committee Empowerment

Dear George,

The University Committee on Affirmative Action and Diversity (UCAAD) has been discussing the role of divisional diversity committees, both within the Senate structure and with respect to diversity-related issues facing campuses as a whole. This discussion proceeds from the Committee's understanding that effective policies involving faculty diversity and equity require consideration of the issue in every facet of campus planning and procedure. We are concerned that in many cases, local committees play a very weak role or have limited involvement in these areas. At least three local committees still do not have permanent seats on Senate councils or executive committees, and diversity committees have little, if any, involvement in departmental and administrative reviews and hires.

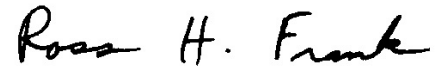
We have developed a set of recommendations outlining what we believe to be the ideal role of a strong campus diversity committee, which we ask Academic Council to consider and endorse. We are aware that each Division has its own procedures and processes in place for developing and approving policies related to the role of the Senate and of Senate committees, but we are confident that these recommendations will help strengthen local Senate divisions, local diversity committees in particular, and ultimately, enhance the discussion of diversity and equity on campuses. We encourage local committees and campuses to consider the list as a basis for further discussion.

Campus Affirmative Action and Diversity committees or their equivalent should:

- *Have permanent representation on divisional Senate Council, Executive Committee, or its equivalent.*
- *Be consulted about or have representation on campus wide diversity-related task forces, reports or other initiatives.*
- *Be consulted during the process of hiring and review of deans and senior administrative personnel.*

- *Be consulted about or participate in departmental and program reviews with respect to the role of diversity.*
- *Advise on diversity language for inclusion in guidelines for Faculty Development Awards, Graduate Student Fellowships, and other faculty and graduate student recruitment and retention programs and initiatives.*
- *Consult, advise, or participate in defining diversity language for campus medium and long-range planning efforts and the evaluation of responses, and in campus long-range planning efforts to ensure diversity issues are included consistently.*
- *Be cognizant of all programs directed at faculty and graduate student diversity.*
- *Play a role in the promotion of UCOP-sponsored resources for diversity, such as the Presidential Post-Doctoral hiring program and other campus-based initiatives.*

Sincerely,



Ross Frank
Chair, UCAAD

RF/ml

cc: Academic Senate Director Bertero-Barceló
UCAAD members

Memo on UCAAD Teleconference

3/17/14

Sean Malloy, alternate to Rudy Ortiz.

No votes were held at the meeting, which lacked a quorum, but several informational matters were discussed with relevance to FWDAF. One issue was the proposed revision of Bylaw 55 to allow for schools and departments to vote to extend voting rights to non-Senate faculty. Chair Roxworthy noted that this has potential diversity implications as at the campus which originally proposed this change (UCSD), a disproportionately large number of the affected non-Senate faculty were women and people of color. We don't have statistics on whether this is the case system-wide, but it was agreed that UCAAD should get those statistics so that we could determine the extent to which enfranchising non-Senate faculty is a diversity issue.

A second major issue was related to the revised language on leave policy as part of APM 210. This revision was intended to allow for an expanded use of the "stop the clock" provision to allow not only for child-bearing and adoption, but also for other major life events (e.g. major health issues or caring for a critically-ill partner or parent) that might prevent the faculty member from making good progress towards tenure. While the new language makes some progress on that front, there was concern that it was still not as inclusive as it could be. More troubling, the current draft (now out for management review) alters the old language that called for decisions to be made by the chancellor "after appropriate consultation with the appropriate committee of the Academic Senate." The new language removes that clause entirely and seemingly empowers the chancellor to rule on leave issues without consultation with the Senate. The generally consensus was that this is pretty fucked up and we should protest.

Finally, there was much discussion of a proposal born out of the recommendations of UC LGBT task force to collect data on student's sexual orientation and gender expression. This is a complicated issue that bears more discussion, but the gist is that against the advice of BOARS and other committees, they are apparently going to put questions asking about gender expression and sexual identity on the form that students use when they apply to the UC. The specific concern is even though these fields would be voluntary (i.e. prospective students could choose to leave them blank), that by putting it on the application it might make applicants feel compelled to reply for fear that failure to do so might jeopardize their chances of admission. It was generally agreed that it would be best to ask for this information after students had been accepted. A related concern was that apparently these responses would not only be aggregated, but also attached to individual student records of those who were accepted unless applicants specifically opted out. The general sentiment was that such information should only be used for aggregation purposes unless students specifically opted in. Finally, there was some more general concerns about the language used as part of the proposed questions on gender expression. This

was complicated to the point that I'd rather deal with it in person at our next meeting, but there was some concern that the language in the question was culturally biased and reflected very old-fashioned ways of thinking about gender identity.

VOTING PROCEDURES

BACKGROUND

Unit opinion on proposed academic personnel actions is in part obtained and reported by means of taking votes. These votes should be recorded in such a manner that subsequent review levels receive information about Unit opinion in a coherent and understandable form. Regulations governing Unit voting rights may be found in the Manual of the Systemwide Academic Senate under **Bylaw 55**. See the **Standing Order of the Regents 105.1** for the organization of the Academic Senate.

SUMMARY OF BYLAW 55

Bylaw 55 stipulates that each Unit determines its own form of administrative organization, but that no Unit may be organized in a way that would deny to any of its faculty who are voting members of the Academic Senate (emeritus faculty are an exception; see “Extension of Voting Privileges” below) the right to vote on substantial Unit questions, excepting only certain personnel actions, as indicated below:

DESIGNATION OF VOTING RIGHTS

- a. All tenured faculty in a Unit have the right to vote on all new Unit appointments that confer membership in the Academic Senate. Prior to such a vote, all the Unit members of the Academic Senate must be afforded an opportunity to make their opinions known to the voters.
- b. Professors have the right to vote on all cases of promotion to the ranks of Professor and Professor in Residence and Professor of Clinical (e.g., Medicine). Professors and Senior Lecturers with Security of Employment (SOE) have the right to vote on all cases of appointment or promotion to the rank of Senior Lecturer SOE.
- c. Professors and Associate Professors have the right to vote on all cases of promotion to the ranks of Associate Professor, Professor, Senior Lecturer SOE, and Lecturer SOE. Associate Professors may vote on merit reviews of other Associate Professors.
- d. For voting purposes, all cases that involve the removal of the Acting modifier from the title of a member of the Academic Senate shall be treated as promotions to the rank in question. (NOTE: On this campus, Acting Assistant Professors are often appointed with the intention that they be regularized as soon as they complete all PhD requirements. Therefore, the Unit vote on the original appointment is considered sufficient consultation, unless the Unit indicates otherwise at the time.)
- e. All cases of non-reappointments or terminations of Assistant Professors or Lecturers PSOE and Senior Lecturers PSOE shall be voted upon by those faculty eligible to vote on promotions to the ranks of Associate Professor or appointments to the titles Lecturer SOE and Senior Lecturer SOE, respectively.
- f. In none of the instances specified above may the right to vote be delegated to a committee. The actual method of voting shall be determined by the eligible voters, subject to the provision that no voter may be denied the option to require a secret ballot.
- g. The tenured faculty members of a Unit shall establish the method by which personnel matters other than those listed above are determined. The method adopted must have the approval of the Academic Senate Committee on Academic Personnel (CAP) or its equivalent.

EXTENSION OF VOTING PRIVILEGES

Emeriti/ae as a class may be accorded the right to vote on all non-personnel matters within a Unit from which they have retired upon a majority vote by secret ballot of the total non-emeritus/a Academic Senate

VOTING PROCEDURES

membership of that Unit. Voting privileges on personnel matters within any Unit may be extended to emeriti/ae as a class and/or to other Academic Senate members (e.g., Assistant Professors) of that Unit upon at least a two-thirds majority vote by secret ballot of those faculty entitled to vote on the cases in question under the provisions of Article B of **Bylaw 55** (summarized above). Any extensions of the voting privilege must remain in effect for at least one year; thereafter, any faculty member entitled to a vote under the provisions of Article B may request reconsideration. Votes to reaffirm or to withdraw extensions of the voting privilege shall be taken by the appropriate procedure just specified above. Neither emeriti/ae nor other Academic Senate members to whom voting privileges have been extended shall participate in any vote to extend or to withdraw voting privileges with respect to personnel matters.

Emeriti/ae on Recall status retain voting rights on all academic matters except personnel matters. Voting on personnel matters may be extended to Recalled Emeriti/ae as a class by the procedures described above.

UC MERCED POLICY AND PROCEDURES

Statements made or positions taken by individual faculty members regarding personnel matters are deemed confidential. Faculty members should not reveal to anyone, whether through inadvertence or by design, any matters expected to be confidential, including the opinions of others in the Unit and the identities of external evaluators.

Unit Chairs should review Unit voting procedures as filed on the Statement of School/Unit Voting Procedures form (available from the Dean's Offices). A new form should be submitted to the Academic Personnel Office prior to the beginning of the review cycle annually.

The method of taking votes is at the discretion of the Unit. It is important that this be done in a way that will result in a clear picture of faculty opinion about the proposed action. That opinion must be reported in such a way that those who review the case will be able to understand it without having to send the case file back to the Unit for clarification.

Physical presence of faculty members in Academic Units is required in discussions intended to lead to a vote of the Unit on all academic personnel actions, including appointments, merits, promotions, and appraisal reviews. [Each Unit should be able to determine what is "physical presence" via their voting procedures.] Physical presence (in addition to attending the meeting in person) can be defined as: participation in real time by phone, Skype, video-conferencing, or any other technology that allows the faculty member's voice to be "present and counted" for the deliberations, discussions, decisions, and/or voting.

Emails, written letters, or other non-real time modes of "participation" submitted after the faculty discussion should not be attached to the transmittal letter. They are allowed, however, to be submitted beforehand, when a faculty member requests that the Chair of the committee approve an exception due to circumstances preventing the faculty member from being physically present for the discussion (e.g., faculty member cannot attend the meeting wherein the personnel action is to be discussed and voted upon for work-related or family emergency reasons). In these cases, the Chair of the committee or proceeding will determine the accepted mode of "participation" (for example, the Chair could read the absent faculty member's email to those "physically" present in real time).

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Pam Moody
Thursday, 9:58 AM
Replaced: LAST REVISED ON
July 2, 2013

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

2011: GENERAL GUIDELINES

A. FUNDING (APM 220-16)

It is the policy of the University of California that no appointment shall be made to a title in the Professor series unless there is an appropriately budgeted provision ("FTE") for the appointment. No appointment should be forwarded for review unless such a provision, funded at the proposed salary level, is available.

B. AFFIRMATIVE ACTION

A thorough and determined search must be made both inside and outside the University for candidates, including candidates who are minorities, women, handicapped persons, disabled veterans, and Vietnam-era veterans. Unit Chairs must ensure compliance with the letter and the spirit of the **affirmative action policy**. Formal paperwork documenting the search is required for all appointments to Senate titles.

C. EMPLOYMENT ELIGIBILITY (APM 530)

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

During recruitment, special attention must be given to the employment eligibility of any foreign nationals in the pool to be sure that such candidates obtain visas which allow compensation for services. Appropriate visas can take several months to obtain, and the Search Chair should ensure that the School staff and Academic Personnel Office are notified as early as possible of a potential visa case. While an application for a visa cannot be finalized until the appointment is approved, preliminary inquiries can in some cases help in starting the visa process. Questions should be referred to the **Office of International Affairs** (OIA).

D. TIMING OF OFFER

Following University policy, UC Merced policy requires that offers be made before April 1 to candidates from other UC campuses (**APM 510-80.c**) and by April 30 to all candidates holding faculty positions at other institutions that are members of the AAU and/or are in California (**APM 500-16.c** and **APM 501-80.a**) if they are to be effective in the following academic year (i.e., an offer must be made no later than April 30, 2011 for an appointment starting July 1, 2011). These dates are the deadlines for formal offers to be made by the University.

E. RECRUITING FROM ANOTHER UC CAMPUS (APM 510-0 and 510-80)

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

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

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

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

The salary offered by the recruiting campus can be no more than one step, or the equivalent of one step, above the faculty member's current salary. If the faculty member's salary is already an off-scale salary, the recruiting campus may offer the next higher step along with the same off-scale increment. If the home campus is in the process of granting a salary increase to become effective July 1, the recruiting campus may offer one step above that increase, pending approval by the home campus. The home campus is permitted to make a counter offer equivalent to that of the recruiting campus. If both the home and the recruiting campuses agree, higher salary offers may be made. An offer which includes a promotion is permitted if the salary offer is no more than one step above the current salary rate, including off-scale, as described above.

If the faculty member being recruited by another UC campus is also 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 above in order to compete with the outside offer.

In any proposed intercampus recruitment, either Chancellor may request mediation or intervention by the Office of the President.

F. COMPETING OFFERS TO AN OUTSIDE CANDIDATE FROM TWO OR MORE UC CAMPUSES (APM 500-16-g)

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

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

2012: RECRUITMENT

PROCEDURES**A. FTE REQUESTS**

Before recruiting can begin, the Academic Unit's FTE request must be approved by the Provost and Executive Vice Chancellor.

B. SEARCH COMMITTEE

The Search Chair is appointed by the Unit Chair in consultation with the Dean (or designee) of the School in which the Unit resides. The Unit Chair then nominates the Search Committee members in consultation with the Search Chair. Each Unit should make provisions for soliciting input on the membership of the Committee from the faculty of the Unit. Following **best practices for faculty recruitment**, the Dean should verify that the composition of the Search Committee represents a diverse cross-section of the faculty.

In cross-Unit searches, the Provost/EVC will develop a process to select a Committee made up of members from appropriate Units, in consultation with Deans and Chairs.

C. ADVERTISING

After consultation with the Chair of the Academic Unit, the Search Committee develops the Search Plan, creates advertisements, and develops an external job advertisement list that fulfills diversity goals. All Professor series appointments must be advertised nationally in suitable academic or professional publications and must allow at least 30 days following the appearance of the advertisement for interested applicants to apply.

If the Search Committee wishes to extend the position beyond the original closing date, the Search Chair must inform APO of the new closing date prior to the date the position closes. In exceptional cases, a closed search may be reopened for a period of 15 days at the request of the Search Chair, with approval from the Vice Provost for Academic Personnel.

Generally, advertisements should contain the following: program or Academic Unit name, position level, teaching duties (if appropriate), preferred research area, and necessary qualifications and experience as well as the following affirmative action statement:

The University of California, Merced is an affirmative action/equal opportunity employer with a strong institutional commitment to the achievement of diversity among its faculty, staff and students. The University is supportive of dual-career couples.

The Academic Personnel Office is responsible for approving all ads and posting on the UC Merced website. Approved ads will be posted in external journals and websites by School staff. The Dean's Office submits the signed and completed form **AP101: Academic Search Plan and Job Posting Request**, **AP 103: Advertising Request Form**, and a narrative Diversity Plan, to APO.

D. POOL OF CANDIDATES

As the search progresses, the Search Chair, Unit Chair and Dean review statistical applicant pool data throughout the search and pursue additional diversity search methods as needed. At the end of the recruiting period and prior to the beginning of the selection process, it is important to determine that the pool of candidates contains women and minorities in reasonable proportion to their availability and that appropriate affirmative action search measures have been taken. The authority to postpone, extend, or cancel a search for reasons of inadequate diversity lies with the Dean. Please consult the University of California Diversity **website**.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**E. SELECTION PROCESS**

After the closing date of the search has passed, the formal application review process can begin when the Search Committee, in consultation with the Dean and the Unit Chair, determines that the pool composition is appropriate. Following this, the Search Committee selects a short list of candidates for campus interviews. This group of candidates should demonstrate: 1. strong qualifications consistent with the call for applications, and 2. reasonable diversity based on availability in the field or subfield. This short list is forwarded to the Dean for formal approval. The Dean, after consultation with the search committee, has the authority to postpone, extend, or cancel a search for reasons of inadequate diversity on the short list. In this event, the Dean shall provide a written justification describing the process leading up to the decision to close the search.

After the campus interviews, the Search Committee recommends a final candidate. After review of the application file, the Bylaw 55 Unit votes on the proposed appointment according to the Unit's approved voting procedures. The approved recommendation is then forwarded to the Dean for review and recommendation. The Appointment File is forwarded to APO for preparation for review by the Committee on Academic Personnel, according to procedures outlined in **MAPP 2013** below.

F. RETENTION OF RECORDS

Complete records of the search, including applicant files and any Search Committee reports, must be maintained for a minimum period of two years after the close of recruitment. The Search Committee Chair completes the Affirmative Action Summary with information regarding the list of finalists and the reasons for non-selection, and forwards it to the Unit Chair and the Dean for signature. The Academic Personnel Office is the office of record for the Affirmative Action Summaries.

G. WAIVER OF RECRUITMENT

Occasionally, an opportunity to hire someone of outstanding ability, or under a special circumstance, will arise. It may not be possible to comply with all affirmative action procedures. If this is clearly the case, an exception to affirmative action procedures may be requested from the Provost/EVC. Such a request may be granted if a strong case can be made that there is a unique and very important opportunity for UCM at hand (e.g., a highly distinguished faculty member, spousal hire, President's Postdoc). Care should be exercised in requesting exceptions in order that their value does not become eroded by too-frequent use. The Chair of the Academic Unit proposing the appointment shall consult the Dean to determine if an FTE may be allocated. A vote of the Unit's faculty on the waiver of recruitment shall then take place and a Transmittal memo recording the vote is sent forward to the Provost/EVC. If there is approval from the Provost/EVC, the appointment process follows the standard procedures outlined in **MAPP 2013**.

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PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**2013: APPOINTMENT**

An appointment (as distinguished from a reappointment, merit increase, or promotion) occurs when a person is employed with the University for the first time, or when a University employee is appointed to a title in a different personnel program or academic series. This section will cover some of the University and campus policies pertaining to the appointment of members of the Academic Senate; however, all persons involved in the appointment review process must also refer to policies contained in the **Academic Personnel Manual (APM)** and pertinent sections of this manual for more detailed statements of policies affecting use of titles, criteria for appointment, affirmative action, the review process, etc.

GENERAL GUIDELINES FOR PREPARATION OF ACADEMIC APPOINTMENT FILES**A. SALARIES (APM 600)****Academic Salary Scales**

Academic salaries are based upon salary scales. These are published and issued through the University of California Office of the President Academic Personnel Office and can be found [here](#).

Rank and Step

When establishing the rank and step for a proposed appointee, a Unit should give due consideration to the candidate's experience, accomplishments, and standing relative to others at the same level in the same discipline at other UC campuses.

Off-Scale Salaries

Off-scale salaries may be used when necessary to meet competitive conditions. (See **APM 620-14** for a complete list of eligible titles) Off-scale salaries for acting appointees are determined administratively in the same manner as for regular ranks. If counter offers arise during the course of negotiations, the Unit should document these offers.

Effective Date of Employment

The effective date of an appointment for purposes of payroll and other record keeping is the first day on which salary commences. The beginning date of service for a new appointee, or of service in a new title for a continuing appointee, is the first day on which the appointee is required to be on duty under the terms of the appointment. The effective date is always either July 1 or January 1. An academic-year appointment is also known as a nine-month appointment and refers to the period in which an academic appointee renders services, i.e., the academic year, from the beginning of the fall term through the end of the spring term (**APM 600-4-b**).

B. POTENTIAL CONFLICT OF INTEREST

If the Search Chair and the candidate proposed for appointment are close collaborators, the Search Chair should not participate in the preparation of the appointment case file. Another independent senior faculty member should oversee the process and prepare the Case Analysis and Transmittal Letter.

If a recommended appointment will result in a near relative being employed in the same Academic Unit as an existing faculty member, the existing faculty member may not participate in any academic review actions affecting the near relative. (For the definition of "near relative," refer to **APM 520: Appointment of Near Relatives**.) The Transmittal Memo for the appointment case should state that the existing faculty member did not participate in the recruitment or vote on the appointment of the near relative, and will not participate in any future academic review decisions for the candidate if he or she is appointed.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

If the Unit Chair or any faculty member contributing to the file has a financial interest in a company employing a potential faculty member, that information should be included in the file, and such individuals should recuse themselves from contributing to the appointment case file.

APPOINTMENT FILE DOCUMENTATION & PROCEDURES

The documentation required to support a recommendation for appointment to an Academic Senate title includes recruitment data, candidate's documents, extramural letters of reference, the Case Analysis, the Dean's Letter, the Salary Justification memo and the Transmittal Letter.

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

A. RECRUITMENT DATA

Detailed recruiting and equal opportunity and diversity procedures are described in **MAPP 2012**.

- Affirmative Action Summary form
- Diversity Plan
- Advertisements

Note: CAP finds it useful when the Unit includes in the Case Analysis a statement about the scope of the search..

B. CANDIDATE'S DOCUMENTS

The candidate provides the following key documents:

1. Curriculum Vitae
2. Publications - Publications should be listed on the Curriculum Vitae and should be numbered in sequence to the extent possible. Copies of the most significant publications, reviews, and/or exhibits, should be included whenever possible, in either printed or electronic form. For easy reference, each publication should be numbered as it is numbered on the Curriculum Vitae.
3. Student Evaluations - Copies of individual student evaluations should be included if possible.
4. Other documents requested by the Unit (e.g., Statement of Teaching Philosophy, Statement of Research).

C. EXTRAMURAL LETTERS

Extramural letters of evaluation should be from qualified and distinguished authorities.¹ When letters are handwritten, the Unit is asked to prepare a typed version. Letters in foreign languages should be translated into English.

a. Soliciting Extramural Letters

¹ **Suggestions for Increasing Response Rate for Letters of Reference**

- a) Start soliciting letters as early as possible
- b) Informal requests are encouraged
- c) Send request from known personage (i.e., Dean or Unit Chair)
- d) Do not wait until case materials are perfect

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

The solicitation of letters for appointments is done by the School staff working with the Search Committee Chair and the Unit Chair. For appointments at the level of Assistant Professor, Steps I-III, three to five letters from candidate-suggested reviewers are required. For appointments at the levels of Assistant Professor, Step IV and above (including all Associate and Full Professor levels), three to four letters from candidate-suggested reviewers and at least five letters from School-suggested reviewers are preferred. Of the School-suggested letters, two to three should be from a UC campus whenever possible. In rare cases, candidates may identify individuals whom they prefer not be solicited. Should the Unit decide to solicit from any individual whom the candidate has requested not be contacted, the Case Analysis should explain why that individual was contacted despite the candidate's request (e.g., best or most knowledgeable in the field).

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

Opinions from colleagues at other institutions where the candidate has served and from other qualified persons having first-hand knowledge of the candidate's attainments should be included. For candidates just completing degree or postdoctoral work and being proposed for entry-level positions, letters from supervisors are appropriate. For appointments at higher levels, however, it is desirable to avoid excessive use of external referees whom the reviewers may not regard as objective evaluators either because they are too close to the candidate professionally (e.g., close collaborators, doctoral supervisors), or because they have a personal relationship with the candidate. Contact between the Chair and individuals from whom letters are being solicited is permissible in order to encourage response after the formal request has been sent, but great care must be taken not to bias or influence the judgment of the referee.

Letters soliciting such external evaluations must contain the following:

- A description of the nature of the position to be filled; e.g., probationary or tenured professorship,
- An explanation of the significance of the level of the position so that the referee can evaluate achievement in relation to UC criteria for appointments, especially at the top steps of the series (VI, VII, VIII and Above Scale),
- A request for analytical review of the candidate's performance under the applicable criteria and comparison to other scholars in the field at similar rank, and
- The following confidentiality statement:

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

Referees should be urged to provide critical evaluation and analysis. The letter soliciting evaluations must not contain leading suggestions (e.g., "we need your help to persuade our reviewers that our candidate...").

b. Sample Letters of Solicitation

Include a sample of the letter sent soliciting outside evaluations in the Case File. If the letters soliciting evaluations from different sources (i.e., for candidate-suggested vs. School-suggested letters) are substantially different, include samples of all such letters.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

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

c. List of Reviewers

Extramural reviewers who have provided confidential letters of evaluation should not be identified in the case materials except by means of a coded list which indicates the names and qualifications of all those from whom letters were solicited. It is also important to list letter writers who were asked to supply an evaluation but did not respond. It should not be assumed that non-response means non-support for the candidate. When referring to a particular letter in the Case Analysis or any other case materials, the letter writer should only be identified by the code assigned on the list (e.g., "Reviewer A"). Sample Lists of Reviewers may be found [here](#) and [here](#).

D. CASE ANALYSIS

The Case Analysis is prepared by the Search Committee, all of whose members must sign it to certify agreement. Before preparing the Case Analysis, writers should consult the "Instructions to the Review Committee" for the appropriate series ([APM 210](#)).

The Case Analysis should 1) set out and explain the recommendation of the Search Committee for appointment, and 2) should support the recommendation by evaluating analytically, not merely describing, the candidate's performance and/or potential in each of the areas of responsibility expected from UC faculty: teaching; research and creative activity; professional competence and activity; and University and public service. The Case Analysis should be professional, objective, balanced and concise. The assessment put forth in the Case Analysis should be supported by evidence from extramural letters, although excessive quotation, as well as rhetorical statements, should be avoided.

The candidate's scholarly and/or creative activities should be critically evaluated. The evaluation should provide a careful assessment of the craftsmanship, originality, significance and impact of the candidate's work. The assessment should not merely state that the work is significant or has had impact. It should indicate what is significant about the work and the nature and extent of impact. Writers should also indicate the relative stature of the candidate in his or her field.

Performances or other creative activities should not merely be listed, they should be evaluated by the Committee. In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, the Committee should attempt to define the candidate's merit in light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama and dance, distinguished performance, including conducting and directing, is evidence of the candidate's creativity ([APM 210.1.d.2](#)). Reviews of the work and publications or other outside evaluation should be discussed and copies included in the Case File.

The placement of publications should be addressed. The quality of journals or presses in which work appears can be an important measure of the impact and quality of the candidate's work. Where the placement is unusual, or may seem so to reviewers outside the Unit, the Case Analysis should discuss the implications of this. For those works that appear in conference proceedings, information about the publication is needed as there is large variation within and amongst disciplines. The information may include, as appropriate, the conference's acceptance and publication rates, whether the paper was accepted on the basis of title or abstract only, and the archival status of the conference proceedings.

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In assessing the types of contracts, grants, or fellowships awarded to the candidate, the Case Analysis should address the importance and the expectations of such support for the particular discipline.

Any Case Analysis proposing Professor, Step VI or above must include a discussion of the candidate's impact and stature, including national and/or international honors received, election to distinguished societies, and other evidence of the individual's outstanding leadership in the profession.

E. FACULTY VOTE

The Case Analysis and supporting materials are made available for faculty review for a length of time determined by the Unit, after which the Search Chair (or designee) presents the Case Analysis to the faculty and allows for a full discussion. The discussion should focus on the academic merits of the case, and not on any extraneous issues. Affirmative action policies should be adhered to. [**UCM AA Policy** and **UC AA Policy**]. At the conclusion of this discussion, a vote is taken according to the Unit's bylaws and voting procedures. Comments are not permitted on the ballots, as all points of discussion should have been raised beforehand during the group meeting.

Academic Units should develop policies that encourage the maximum number of faculty members to participate in the evaluation of candidates. Excessive abstentions or a small number of votes relative to the total number of faculty eligible to vote are likely to raise concerns for other reviewers evaluating the file.

F. TRANSMITTAL LETTER

The vote and the faculty discussion are recorded in the Transmittal Letter.

The Transmittal Letter is a critical component of the appointment case file as it is the record of faculty opinion and should include any pertinent discussion of the strengths and weaknesses of the case, as well as a recommendation for the step and effective date of the proposed appointment.

In cases of abstentions or recusals, the Transmittal Letter should provide a reason for these actions whenever possible.

G. DEAN'S RECOMMENDATION LETTER

The Dean assesses the Transmittal Letter, Case Analysis and other evidence provided in the Case File to ensure that the Unit's review is fair and rigorous in maintaining University standards. The Dean's Letter should be an independent assessment of the case. In the Letter, the Dean puts forth his or her recommendation regarding the appointment and provides additional analysis as needed.

H. SALARY JUSTIFICATION

In a separate memo, the Dean provides a recommendation as to the salary associated with the proposed appointment, based on the University of California **Academic Salary Scales** plus any off-scale increment.

OTHER APPOINTMENTS**A. SPLIT APPOINTMENTS**

Whenever a candidate has a split appointment (with the FTE split between two Academic Units), a joint committee comprised of faculty from both Units decides which will be the lead Unit. The lead Unit will write the single Case Analysis. The Case Analysis covers the candidate's research, teaching, professional activity, and University and public service from both Schools' perspectives. Each Academic Unit will vote separately and prepare separate Transmittal Letters. Each School Dean will write a separate Dean's Recommendation Letter and Salary Justification Letter.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**B. APPOINTMENTS WITHOUT SALARY**

An individual appointed to a faculty title in one Unit may be invited to hold a joint appointment without salary in another Unit. Such appointments, while easily renewable, are made on a year-to-year basis.

C. TRANSFER TO ANOTHER UNIT THROUGH FTE REASSIGNMENT

Instances may arise in which a faculty member requests that his or her position be transferred from one Unit to another on campus. Cases of requests to transfer an FTE will be addressed on an *ad hoc* basis, and decisions will be made by the Provost and Executive Vice Chancellor after thorough examination of the request and the potential impact on each Unit. The process of reviewing the request will minimally include:

- Consent of the Unit and Dean that would be receiving the transfer conveyed via Dean's memo and Transmittal memo to Provost/EVC via APO.
- Consultation with the Dean of the Unit from which the individual is transferring, if in a different School. Dean's memo conveyed to Provost/EVC via APO.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**2014: MERIT, PROMOTION, APPRAISAL REVIEW**

The following policies and procedures have been developed to support the University's goal of retaining high quality faculty. It is the policy of the University to evaluate objectively and thoroughly each candidate for promotion or merit increase.

In 1977 (revised in 1992), the University adopted policies to ensure fairness in the academic review process. These policies are contained in **APM 160**, including Appendices A and B; **APM 200**, **APM 220**, and in the UC Merced **Procedural Safeguard Statement**. Unit Chairs are responsible for adherence to these policies and procedures and should provide copies of the pertinent APM and MAPP sections to each candidate. Unit Chairs are required to complete the Procedural Safeguard Statement with each candidate.

ELIGIBILITY FOR REVIEW

Faculty members are eligible for advancement or promotion each year; however, advancement usually occurs in conjunction with completion of "normal" time in step (see **Chart 2014-I** below). Throughout this document, the term "eligible" refers to the completion of normal time in step with the understanding that nothing precludes submission of a file during any review cycle.

The Academic Personnel Office maintains the Eligibility List, which indicates the time at rank and step for each faculty member. On or about March 1st of each year, APO sends out notification letters to those faculty members who are eligible for an Academic Personnel action.

The Unit Chair is responsible for making certain that there is an annual informal review of the status and performance of each faculty member in the Unit with regard to her or his time at rank and step (**APM 220-80.b**). Each faculty member is required to submit a current academic record (e.g., curriculum vitae, Bio-bibliography form, etc.) to her or his Dean's Office each July 15, which will in part form the basis for this review.

Units are encouraged to review each faculty member who is at normal time in step and to make a recommendation for or against advancement. Tenured faculty members may request to defer review, but a deferral request will not be considered as fulfilling the mandatory quinquennial review (see section F below). Such requests must be approved by the Dean. Assistant Professors may not defer.

*Note: **Appendix 2014-A** provides a description and information regarding the Mid-Career Appraisal (MCA), also known as the Formal Review, which is an assessment of an Assistant Professor's progress toward tenure and is separate from the merit or advancement review. See **Appendix 2014-B** for information regarding Career Equity Reviews, which do not fall under the category of normal advancement actions.*

A. SPECIAL CONSIDERATIONS

Service in an "Acting" or a "Visiting" title does not technically count toward years at rank and step, though it does count in determining years toward the eight-year limit to tenure (**APM 133**). This service, however, should be considered in any full-career review.

Regarding periods of leave, the issue of whether or not a particular leave counts towards time at rank or step, and/or towards the eight-year limit, needs to be resolved in consultation with APO and the Provost/EVC at the time the leave is requested. (**MAPP 2015, APM 200-19**) Relevant information regarding approved leaves will be recorded on the Faculty History Cards provided to the School and CAP by APO.

B. NORMAL TIME AT STEP

"Normal" time refers to the standard rate at which the majority of faculty will progress through the ranks and steps. Normal merit increases within Assistant Professor, Associate Professor and Professor I-V ranks, although

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

less critical than promotions, are not automatic and do require demonstrated merit. See **Appendix 2014-C** below for information regarding use of the **Short Form for Normal Merits**.

Chart 2014-I - Normal Time in Step					
Assistant Professor	Associate Professor	Full Professor		Distinguished Professor Above Scale	Normal Period of Service at Step
Step	Step	Step	Step	Step	Period
I					2 years
II					2 years
III					2 years
IV*					2 years
V	I				2 years
VI	II				2 years
	III				2 years
	IV	I			3 years
	V	II			3 years
		III			3 years
		IV			3 years
		V			3 or more years
			VI		3 or more years
			VII		3 or more years
			VIII		3 or more years
			IX		4 or more years
				No Steps/just merits	4 or more years between merit advancements

*See Section E below "Postponement of Tenure Review" below for timing of the tenure review. Visiting Assistant Professor and Acting Assistant Professor appointments count toward the eight-year rule.

C. ACCELERATION

Advancement to a higher step before normal eligibility constitutes an "acceleration." The campus encourages Units to put forward deserving candidates for acceleration. Advancement to a higher rank must meet the appropriate criteria for promotion (**APM 210-1 and APM 220-18-b**). The minimum criterion for acceleration within rank is excellence in all areas of review during the abbreviated review period. In addition, for one-year acceleration within rank, the record for the abbreviated review period must reflect a level of accomplishment commensurate with the normal on-time merit.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

For multiple-year accelerations within rank, the record for the abbreviated review period must reflect excellence in all areas of review commensurate with the proposed step, as well as performance deemed to be especially outstanding in at least one area as the driving force for the acceleration.

The Unit and Dean are expected to explicitly address the acceleration recommendation in their letters. Multiple-year accelerations and those at the senior Professor and Above-Scale steps should be particularly well justified.

A promotion is not considered an acceleration, regardless of years at rank or step when a candidate is advancing to the “normal” step in the next rank.

Chart 2014-II: Promotion from Assistant Professor to Associate Professor (Tenure)					
		To Associate Professor			
		I	II	III	IV
From Assistant Professor	Steps				
	I, II, III, IV	Normal	2-year acceleration	4-year acceleration	6-year acceleration
	V	Lateral	Normal	2-year acceleration	4-year acceleration
	VI		Lateral	Normal	2-year acceleration

Chart III: Promotion from Associate Professor to Full Professor					
		To Full Professor			
		I	II	III	IV
From Associate Professor	Steps				
	I, II, III	Normal	3-year acceleration	6-year acceleration	9-year acceleration
	IV	Lateral	Normal	3-year acceleration	6-year acceleration
	V		Lateral	Normal	3-year acceleration

D. OVERLAPPING STEPS

The normal periods of service are described in **APM 220-18-b**. Overlapping steps are those in which the published salaries vary by \$100. The following are overlapping steps in the Professorial series:

- Assistant Professor V → Associate Professor I
- Assistant Professor VI → Associate Professor II
- Associate Professor IV → Professor I
- Associate Professor V → Professor II

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**E. POSTPONEMENT OF TENURE REVIEW**

Per **APM 133-0.a** (the so-called "**Eight-Year Rule**"), an Assistant Professor shall not be continued after the eighth year of service unless promoted to the rank of Associate Professor with tenure. **How to calculate eight years of service.**

The following UC Merced policy shall be applied beginning with those candidates who are eligible for formal appraisal ("Mid-Career Appraisal" or "MCA," see **Appendix 2014-A** below) during the academic year 2011-12:

In the latter half of an Assistant Professor's fifth year, the Academic Unit should determine whether the tenure review should take place, as normal, in the sixth year or whether circumstances exist which warrant postponement of the tenure review until the seventh year. Postponement of the tenure review is rarely granted, but may be justified if the candidate has significant work in progress which will be evaluated within a year but not in time to be included in a sixth-year review.

To request postponement, the Assistant Professor should provide tangible evidence to his or her Dean that the record will change significantly during the sixth year. The Academic Unit should discuss the evidence and vote for or against the postponement of tenure review. The postponement file should be accompanied by the candidate's full merit or reappointment file, which will normally be required for continuation beyond the sixth year. Form **UCM-AP47** itemizes the documentation required for the postponement of tenure request. Requests for postponement of tenure are due to APO by **September 15** of each year.

F. MANDATORY QUINQUENNIAL REVIEW

All faculty members must be reviewed at least every five years (**APM 200-0**) if not reviewed at normal time in step. The purpose of this mandatory quinquennial review is to ensure that the performance of a faculty member is appraised at regular intervals, to assess the faculty member's productivity, and to identify what more needs to be accomplished for advancement. The focus of this review should be to provide constructive feedback aimed at supporting the candidate's future success in all areas of assessment.

Quinquennial Reviews will follow the general procedures outlined in **APM 220-80** and MAPP 2014. Candidates will be notified of the requirement to undergo review via a Letter of Eligibility issued by APO on or about March 1 of the fourth year of service since the last review, and will follow the **Schedule for AP Actions** in preparing and submitting review materials. The review is to take place **during** the fifth year. If the candidate does not provide materials upon request, the review will proceed with the documentation available to the Unit and contained in the faculty member's personnel file, as assembled and submitted by the Unit Chair. It is acknowledged that this documentation might not be current and could therefore affect the outcome of the review.

Based on review of the submitted materials, the reviewing entities will recommend one of three outcomes:

- **Advancement** (merit or promotion): Performance Satisfactory
- **No Advancement:** Performance Satisfactory
- **No Advancement:** Performance Unsatisfactory

If the Quinquennial Review outcome from the Committee on Academic Personnel (CAP) is Performance Unsatisfactory, the faculty member is considered to be not in good standing for the duration of the performance improvement period, and will not be eligible for any academic leaves until the final outcome of the review has been determined by CAP to be Satisfactory. In the case of an outcome of Performance Unsatisfactory, CAP will provide information on the area(s) in which the performance is not consistent with the series, rank and step of the candidate. The Unit Chair and the candidate will be required to submit a Performance Improvement Plan (PIP) that sets forth performance expectations to address those areas which have been identified as unsatisfactory. It is assumed that satisfactory performance will be maintained in all other areas. The PIP shall

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generally be one year in duration, and must be submitted to the Vice Provost for Academic Personnel (VPAP) within thirty calendar days of notification of the review outcome.

The candidate under review must submit a progress report to his or her Unit Chair one year after the PIP is approved. The Chair prepares an assessment of the progress to date and submits the entire report to the Dean's Office. The Dean provides an assessment and submits the report to CAP via APO. CAP shall make a summary recommendation based on the accomplishments and activities during the improvement plan period. CAP's recommendation shall consider whether the candidate, upon re-review, should be given a rating of Performance Satisfactory or Performance Unsatisfactory. CAP's recommendation will be forwarded to the VPAP who will make a recommendation to the Provost/EVC, who has final authority on all Quinquennial Reviews. If performance is Satisfactory, then the Quinquennial Review is considered complete and the candidate will be eligible for academic review in the next appropriate review cycle for his or her rank and step. If performance is Unsatisfactory, then further action that is consistent with **APM 075** will be undertaken.

Upon discussion between the Unit Chair and the candidate, a change in series may be considered during the review period or subsequent period of improvement if it is determined that the candidate's performance would satisfactorily meet the criteria in a different series (**APM 075-II.A**). A change of series must meet all of the relevant policy requirements such as faculty vote and academic search as appropriate. Upon approval of this request by the Provost/EVC, a Case File for the new appointment would be prepared and submitted for review.

PREPARATION OF THE CASE REVIEW FILE

*Note: For "normal" merit reviews, use of the so-called **Short Form** is permissible. See **Appendix 2014-C** below for information.*

Once a faculty member has been informed of her or his eligibility for an Academic Personnel action, he or she is expected to assemble a file of documentation supporting the proposed action. (In some cases the faculty member may be permitted to defer review; see **Eligibility for Review** above). This file includes: summary bio-bibliographies from the period to be reviewed; curriculum vitae; self-statement; publications or other creative work; and teaching evaluations and syllabi.

It is the candidate's and the Unit Chair's responsibility to prepare a file that presents the scholarly and intellectual contributions of the candidate in each area of review. Review will be based only on what is contained in the file. It is in the candidate's interest to provide all pertinent material and information to the Unit and to be certain that the file is complete.

It is the expectation of the Deans, CAP and the VPAP that all faculty having advancement cases will provide their updated material to the Unit/Dean's Office as early as possible. Deadlines for submission of materials are established by the Schools and must be adhered to in order to meet Academic Personnel **deadlines**. Cooperation in providing information for one's personnel file is a professional obligation without which the review process cannot be initiated.

A. BIO-BIBLIOGRAPHY AND DIGITAL MEASURES

Digital Measures is an online faculty database which assists faculty in tracking teaching, research and service activities. Once a faculty member's data are entered into the system, she or he can extract from the database a subset of information to produce a Bio-bibliography in the format required by CAP. Use of Digital Measures, while not mandatory, is strongly encouraged. In any case, **use of the CAP-approved format is required**.

The Bio-bibliography should clearly indicate which new activities and publications should be credited since the last review. Articles "in press" are credited as accepted for publication and cannot be counted in later reviews as

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new activities. If there are joint publications, it is important that the role of the faculty member in the research be described and defined.

B. PUBLICATIONS AND OTHER SUPPORTING DOCUMENTS

Copies of all publications, reviews and/or exhibits, including work in press, should be included for the period under review. Abstracts, book reviews, and letters published in professional journals should be grouped separately. In the case of “in press” or “accepted” work, an acceptance letter from the publisher should be included. For easy reference, publications must be numbered the same on the bio-bibliography as on the curriculum vitae.

For actions that do not require a career review, the general rule is that evidence may only be counted once and only in the review period to which the evidence pertains. In some instances, determining the review period is fairly straightforward; for example, a grant should be included in the review period in which it was awarded. For publications, the relevant review period can be less apparent because a research manuscript can be described in four stages: “in preparation,” “submitted,” “accepted (or in press),” and “published (or in print).” The Case File should never pay attention to or count manuscripts that are in the “in progress” or “submitted” status. Both “accepted” and “published” statuses can be relevant to a review period, but any given manuscript can only be referred to or counted in one review period. In other words, if a Case Analysis or other materials in the Case File refer to or count a manuscript when it is “accepted” in one review cycle, it may not be referred to or counted in the next, even if its status has changed to “published.”

For actions that require a career review, all scholarly, teaching and service evidence are pertinent to the review and may be addressed in the Case File. This includes materials prior to an individual’s appointment at UC Merced as well as research that has not yet been published or grants that are not yet funded. Candidates should be cautioned, however, that individual items may only be counted in one review and may not be submitted for evaluation in subsequent reviews (until the next career review). Careful consideration, therefore, should be given when determining whether to put forth materials that are in the “submitted” or “in progress” stages. Should the status of these items change to “in press,” “published,” or “funded” during the next or subsequent review period, the items will not be viewed as new work by CAP and thus will not be given any credit until the next full career review.

C. SELF-STATEMENT

The self-statement is a narrative summary of the candidate’s accomplishments in the four evaluative areas (teaching, research or creative activity, professional activity and University and public service, including faculty mentoring) (APM 210-1.d) during the review period. It should be viewed as a supplement to or enhancement of the information contained in the Bio-bib and curriculum vitae, not merely a recap of material provided elsewhere.

D. TEACHING MATERIALS

Student evaluations and course syllabi for the period under review should be included in the Case File. Other evidence of teaching such as peer evaluations, assessment of learning outcomes, or other assessments may be included.

E. EXTRAMURAL LETTERS

If the proposed action requires solicitation of extramural letters of reference from experts in the candidate’s field, the eligible faculty member should submit a list of proposed referees to the School’s AP staff early in the process. Letters of reference are required for all appointments and promotions, and for advancement to Professor, Step VI and Professor, Above Scale. The School staff shall then solicit letters from the candidate-

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suggested list as well as from a list of School-suggested reviewers. Schools should obtain, at the very least, three letters from the candidate's list of potential external reviewers and three letters from the School's own list of potential external reviewers. [Note: letters from School-suggested reviewers are not required for appointments to Assistant Professor I-III]

Extramural reviewers should be selected from academic or research institutions with standards comparable to the University of California. Preferably, at least two to three letters should come from individuals at UC campuses. The reviewers should normally be full Professors or of equivalent stature, although occasionally it may be appropriate to ask an Associate Professor to provide a letter for an Assistant Professor coming up for tenure. For promotions to the highest levels, such as Professor Step VI and Above Scale, as well as for accelerations, it is helpful to have some letters from within the UC system that speak directly to the issue of the appropriateness of the step and/or the magnitude of the acceleration proposed. Individuals outside the system may not be familiar with the criteria for the highest levels in the UC system. Of course, non-UC letters are also expected because the highest levels require distinction at the national and international level. For normal merit increases up to Professor Step V, the Case Analysis is the primary source of essential evaluative information and letters of reference are generally inappropriate and unnecessary.

Letters soliciting such external evaluations, sent from the School, should contain the following: 1) explanation of the proposed action (essential with Step VI and Above Scale); 2) request for analytical review of the candidate's performance under the applicable criteria and comparison with other scholars in the field at similar rank; and 3) the following confidentiality statement:

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

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Questions regarding gaps of time in the academic record may arise in cases of leaves of absence or time "off-the-clock." Although specific circumstances regarding a candidate's time away from work should never be referenced in any case materials (except for the Self-Statement if the candidate so chooses), the following statement should be included in letters soliciting reviews for advancement or promotion:

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UC Merced encourages its faculty members to consider extensions of the (pre-tenure/review) period under circumstances that could interfere significantly with development of the qualifications necessary for (tenure/ advancement). Examples of such circumstances may include birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment forms the basis of your evaluation. Time since appointment is not a factor in this review.

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Samples of all solicitation letters sent should be included in the case materials forwarded to APO. **Sample Solicitation Letters - Attached.**

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The selection of extramural referees for candidates above the Assistant Professor level requires considerable care. Initiators should keep in mind that letters from former mentors, collaborators, or other persons with whom the candidate has had close associations tend to carry less weight than those from less closely-tied persons. Reviewers should not be individuals who are known family members or who are business or professional partners. Candidates may suggest current mentors from other institutions, but that relationship should be detailed in the List of References. Contact between the Unit Chair and individuals from whom letters are being solicited is permissible in order to encourage response, but care must be taken not to bias or influence the judgment of the referee.

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Extramural reviewers who have provided confidential letters of evaluation should not be identified in the case materials except by means of a coded list, included in the Case Review File, which indicates the names and qualifications of all those from whom letters were solicited. It is important to also list potential letter writers who were asked to supply an evaluation but did not respond. When a particular letter is evaluated in the Case Analysis or any other case materials, the letter writer should only be identified by the code assigned on the list (e.g., "Reviewer A"). Sample Lists of Reviewers may be found [here](#) and [here](#).

F. UNSOLICITED LETTERS

Unsolicited letters of evaluation that are added to the file by the candidate are not considered confidential and should be classified as "supplemental material." Unsolicited letters not submitted by the candidate shall not be part of the case discussion nor placed in the appointment case file. In rare instances where unsolicited letters may be viewed as relevant to the case, they shall be reviewed by the Vice Provost for Academic Personnel on a case-by-case basis.

G. REQUESTS TO EXCLUDE REVIEWERS

The UC Merced **Procedural Safeguard Statement** allows candidates for review to request the exclusion of certain persons who might not provide objective evaluations. According to **APM 220-80-c**, "any such statement provided by the candidate shall be included in the personnel review file." Due to UC Merced's small faculty base and unique campus climate, however, the following directives are to be followed on this campus with regards to this process:

In the vast majority of cases, the Unit honors the request to exclude a certain number of potential letter writers or reviewers. In rare circumstances, when the Unit is not able to honor this request, the list will be forwarded to CAP. For example, a faculty member may be in a field of research represented by a small nationwide community, and the Unit may have no option but to request an evaluation from a person on the list. The list provided by the faculty member would become part of the review file and would go to CAP for information.

A request to exclude an internal faculty member will be sent to the next highest level of review. For example, if the faculty member lists his or her Unit Chair as a person who may not provide an objective evaluation, then the request is shared with the school Dean or EVC. The list would not become part of the review file or go to CAP but, depending on the circumstances, the EVC may decide to discuss the list with the CAP Chair.

H. CASE ANALYSIS

The Case Analysis is prepared by the AP Review Committee, whose members should consult the **"Instructions to the Review Committee"** (**APM 210**) for the appropriate series.

The Case Analysis should 1) set out and explain the recommendation of the Review Committee for action on a personnel case, and 2) support the recommendation by evaluating analytically, not merely describing, the candidate's performance in each of the areas of responsibility: teaching; research and creative activity; professional competence and activity; and University and public service. The Case Analysis should be objective, professional, balanced, and concise, avoiding the use of rhetorical statements. The assessment put forth in the Case Analysis should be supported by evidence from the extramural letters, if any, as well as from all of the materials submitted by the candidate, although excessive quotation is to be avoided.

The candidate's scholarly and/or creative activities should be critically evaluated. The evaluation should provide a careful assessment of the craftsmanship, originality, significance and impact of the candidate's work. The Analysis should not merely state that the work is significant or has had impact; it should indicate what is significant about the work and the nature and extent of the impact. Writers should also indicate the relative stature of the candidate in his or her field. **APM 210-1-d-2** provides specific guidance on discussing and evaluating creative works in particular.

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If there is collaborative research, the Case Analysis should describe the relative contributions of the person under review. In addition, the placement of publications should be addressed. The quality of journals or presses in which work appears can be an important measure of the impact and quality of a candidate's work. In cases in which the placement is unusual, or may seem so to reviewers outside the discipline, the Case Analysis should discuss the implications of this. For those works that appear in conference proceedings, information about the publication is needed as there is great variation within and amongst the disciplines. The information may include, as appropriate, the conference's acceptance and publication rates, whether the paper was accepted on the basis of title or abstract only, and the archival status of the conference proceedings.

In assessing the types of contracts, grants or fellowships awarded to the candidate, the Case Analysis should address the importance and the expectations of support for the particular discipline.

Any Case Analysis proposing Professor, Step VI or above must include a discussion of the candidate's professional impact and stature, including national and/or international honors received, election to distinguished societies, and other evidence of the candidate's outstanding leadership in the profession. Proposals for accelerated actions must likewise explicitly address the grounds for the acceleration.

I. TRANSMITTAL LETTER

The Case Analysis and supporting materials are made available to the appropriate Unit's faculty for a length of time specified in each Bylaw 55 Unit's voting procedures (typically five days). At the conclusion of this review period, the Unit Chair (or designee) presents the Case Analysis to the faculty and allows for a full discussion. This discussion should focus only on the merits of the case materials provided. The discussion culminates in a vote of all eligible voting members, according to the Unit's bylaws and voting procedures.

The vote and the faculty discussion are recorded in the Transmittal Letter. The Transmittal Letter is a critical component of the Case File and should include any pertinent arguments regarding the strengths and weaknesses of the case, as well as a recommendation for the step and effective date of the proposed action.

When appropriate, the Transmittal Letter may make reference to the fact that the tenure clock or review period has been extended due to approved leaves. Specific circumstances leading to leaves should never be discussed nor recorded in the Letter. Dissenting Bylaw Unit members have the right to have a minority report included with the Transmittal Memo; however, a minority report should not be submitted unless, after good-faith efforts by all parties, the minority believes that its views are not accurately represented in the Transmittal Memo.

Academic Units should develop policies that encourage the maximum number of faculty members to participate in the evaluation of candidates (See **MAPP 1005** for policy on physical presence for voting). Participation in shared governance is a primary expectation of University of California faculty members, and excessive abstentions or a small number of votes relative to the total number of faculty eligible to vote are likely to raise concerns in other reviewers evaluating the file. In cases of abstentions or recusals, the Transmittal Letter should provide a reason for these actions whenever possible.

J. DEAN'S RECOMMENDATION LETTER

After the faculty vote, the Dean assesses the Transmittal Letter, Case Analysis and other evidence provided in the Case File to ensure that the Unit's review is fair and rigorous in maintaining University standards. The Dean's Letter should be an independent assessment of the case. In the Letter, the Dean provides his or her recommendation regarding the proposed action and supplies additional analysis as needed.

K. SALARY JUSTIFICATION

In a separate memo, the Dean provides a recommendation as to the salary associated with the proposed appointment or advancement, including any off-scale increment, based on the **University of California**

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Academic Salary Scales. This salary should be justified in terms of prevailing norms within the Unit, School, University and discipline. Proof of any competing offers should be provided with the case.

L. HIGHER LEVELS OF REVIEW

Upon completion of the Case File, it is forwarded to the Academic Personnel Office where it is reviewed for completeness, accuracy, and compliance with policy. APO then routes the File to the Committee on Academic Personnel (CAP) via the Academic Senate Office. After careful and rigorous review, CAP prepares a recommendation regarding the proposed action, which is then forwarded to the VPAP and Provost/EVC. Should the Provost/EVC disagree with CAP's recommendation, he or she will consult with CAP before issuing a final decision. The Provost/EVC has final authority on all merit, promotion and appraisal actions except for non-reappointment of an Assistant Professor (see section A. Non-Reappointment below) and advancement to Above Scale salary beyond the Regental compensation threshold (see **APM 220-85.d**).

UNFAVORABLE OUTCOMES**A. NON-REAPPOINTMENT**

A proposal for non-reappointment of an Assistant Professor may originate with the Unit Chair as a result of Unit review during consideration of reappointment or promotion to tenure (**APM 220-84**). Should the Unit vote for non-reappointment:

1. The candidate will be apprised of the Unit's recommendation by the Unit Chair during the second **Procedural Safeguard** meeting.
2. The candidate will have five business days to notify the Unit Chair of his or her intention to appeal the decision, and an additional five business days to submit the written appeal to the Unit.

Should the recommendation for non-reappointment be issued by the Dean after a positive or negative recommendation by the Unit:

1. The Dean shall notify the Unit Chair and the candidate and provide redacted copies of all confidential materials, if any, added to the candidate's personnel file after the Unit's recommendation.
2. After receipt of the notice of a negative recommendation from the Dean, the candidate will have five business days to notify the Unit of his or her intention to appeal the decision, and an additional five business days to submit the written appeal to the Dean's Office.

Should the recommendation for non-reappointment be issued by CAP after a positive or negative recommendation from the School and the preliminary assessment by the Provost/EVC is for non-reappointment:

1. The Dean shall be notified of the CAP recommendation and preliminary assessment by the Vice Provost for Academic Personnel.
2. The Unit Chair and the candidate will be notified in writing by the Provost/EVC of the CAP recommendation and preliminary assessment and redacted copies of all confidential materials, if any, added to the candidate's personnel file after the School's recommendation will be provided.
3. After receipt of the notice of a negative CAP recommendation and preliminary assessment, the candidate will have five business days to notify the Provost/EVC or Unit Chair of his or her intention to appeal the decision, and an additional ten business days to submit the written appeal to the Provost/EVC.

In cases in which non-reappointment is considered, the appeal, if any, shall be considered by CAP. An *ad hoc* committee shall be appointed if the Provost/EVC or CAP requests it.

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The Chancellor is responsible for a decision not to reappoint an Assistant Professor. This authority may not be redelegated.

B. NEGATIVE MERIT REVIEW

Should a merit review have an unfavorable outcome, the next review will consider all materials from the review periods since the most recent successful advancement review. The Case Analysis should address the most recent CAP recommendation as well as the record from the latest review period.

After a negative merit review, a new letter of eligibility will not be issued by APO until the normal period of service has passed for another merit review. Should the faculty member choose to put forward a case for advancement before the normal period has elapsed, this will not in itself be considered an acceleration.

C. DENIAL OF TENURE

Should promotion to Associate Professor with tenure be denied in an Assistant Professor's sixth or seventh year, this decision is final and no further tenure reviews will be allowed. Those who do not achieve tenure are given a final year notice, during which they may pursue an appeal of the decision. The appeal process is the same as that detailed in A. Non-Reappointment above.

APPENDIX 2014-A: MID-CAREER APPRAISALS

The **Mid-Career Appraisal (APM 220-83)**, or "MCA," is a formal evaluation, which is conducted in order to arrive at a preliminary assessment of an Assistant Professor's prospect for eventual promotion to Associate Professor with tenure. Normally occurring in the fourth year of service to the University under the **Eight-Year Rule**, the purpose of the MCA is to provide the Assistant Professor with a careful, considered analytical evaluation of his or her performance to date in the areas of teaching, research and creative work, professional competence and activity, and University and public service, and to make a candid prediction concerning the probability or improbability of a favorable promotion decision based upon the evidence.

The list of case materials for the MCA is analogous to that provided for other types of personnel actions, although the MCA is a substantially different type of assessment from that done for the normal merit review and this should be reflected in the content of the documents prepared. All scholarly, teaching and service evidence pertains to the MCA and all relevant materials may be included, regardless of status. Confusion on the part of reviewers may result, however, when materials for a merit review and an MCA are submitted together, as is typically the case since these reviews normally occur simultaneously. In the case of a merit review, only work published or in press is counted. Maintaining a distinction between the MCA and merit reviews will allow Units/Deans/CAP to properly consider the full range of ongoing research activities as part of the mid-career assessment, and to make recommendations on merit increases based on review of in-press and published papers. Outside letters may be obtained for the MCA but are not required if members of the Unit have sufficient expertise to make the assessment.

The case for the MCA, therefore, should examine the complete record-to-date (including work in progress), and it should carefully and frankly assess the prospects for the individual to achieve promotion based on continuation of the current trajectory. The appraisal should note specific areas of weakness, if any, and should recommend actions to be taken by the individual and/or the Unit and Chair.

The MCA should clearly designate an outcome of "Good," "Fair" or "Poor." These categories are broadly defined as follows:

- **Good:** promotion is likely, contingent on maintaining the current trajectory of excellence and on appropriate external evaluation
- **Fair:** promotion is likely, if identified weaknesses, deficiencies, or imbalances in the record are corrected

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- **Poor:** substantial deficiencies are present; promotion unlikely

Because the MCA is directed primarily toward the candidate, it is in the best interest of the candidate and the Unit that the appraisal be careful, cautious and candid, addressing problems where they exist while there is still time for adjustment and improvement. It is important that the faculty member is made thoroughly aware, in a formal way, of her or his situation with regard to eventual promotion.

The MCA file should be forwarded to the Academic Personnel Office through the appropriate Dean's Office. The Committee on Academic Personnel will review the file and forward its recommendation to the Provost/EVC for final approval.

Checklist for Career Equity Review**APPENDIX 2014-B: CAREER EQUITY REVIEWS**

Career Equity Reviews (CERs) permit tenured faculty members to request a special review to determine whether they are correctly calibrated at rank and step. They are intended to supplement regular academic reviews, and they neither replace nor affect existing procedures for regular reviews.

A. OBJECTIVE

On rare occasions, a Senate faculty member may be at a rank and step seriously inconsistent with his or her attainments. For example, an appointment may have been made at a rank or step lower than suggested based on merit, and/or accomplishments that would warrant accelerated advancement may not have been identified. The CER is designed to examine those cases in which normal personnel actions, from the initial hiring onward, may have resulted in an inappropriate rank and/or step, and, when warranted, to allow placement of faculty members at the appropriate rank and step consistent with prevailing UCM standards.

A significant discrepancy between the faculty member's existing rank and step and that of his or her peers within the same discipline must be identified. In order to allow for an appropriate assessment of equity, the Unit or School shall provide the faculty member with copies of data summaries (and other supporting documentation such as bio-bibliographies when not included in the data summary) for a relevant number of faculty in the Unit who have sought the same advancement. These data summaries and supporting documentation must be provided to the applicant within one month of the applicant's request.

The applicant will supply a written analysis that compares her or his record of achievement in the areas of research/creative attainment, teaching, and service with that of colleagues who have attained what the applicant believes to be the appropriate rank. [This comparative information could include, for example, a table containing some or all of the following information: year of Ph.D. or highest degree(s), rank and step of comparable faculty members, career publications, amount of extramural funding as appropriate, average number of courses taught per year and the average instructor score for the past five years, and major prizes, awards, or recognitions received.] Typically these analyses will consist of both quantitative and qualitative descriptions of the differences among the faculty members' scholarly contributions.

A CER is not a substitute for a normal merit, promotion, or acceleration review. It functions as a supplemental process to correct a substantial inequity, typically a product of multiple past actions, not as a means of appeal for, or expression of disagreement with, a single personnel decision. A CER may not be used as a mechanism to grieve a negative action that has occurred in the current or prior academic year.

Because the purpose of a CER is to assess rank and step, recommendation of a bonus off-scale salary award in lieu of recalibration is inappropriate.

B. ELIGIBILITY FOR AND INITIATION OF REVIEW

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PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

A Senate faculty member who has held an eligible title (e.g., an academic employee in the Professor, In Residence, or Lecturer SOE series, excluding those at the LPSOE, Assistant, or Above Scale levels) for at least four years may initiate a CER one year in advance of his or her normal, on-cycle academic personnel review (i.e., advancement or promotion) by submitting a written request [Draft Form Attached], to the appropriate Unit Chair or Dean. (For example, newly tenured Associate Professors should be at this rank for at least four years before requesting a CER.) If the request is submitted to a Unit Chair, a copy should also be submitted to the Dean. The decision to initiate a CER rests with the candidate.

C. CONTENT AND CRITERIA

A request for CER must contain justification for recalibration. Possible justification for a CER may include, but is not limited to, the following assessments: 1) the cumulative record warrants higher placement on the academic ladder even though no one review period did; 2) the rank/step was inappropriately low at the time of initial hiring; 3) particular work and contributions have been overlooked or undervalued by the Unit and/or other reviewing bodies.

The candidate must identify the specific area(s) of the record that he or she believes were not previously evaluated properly, or the area(s) of the record that indicate that he or she was not hired at a rank and step commensurate with his or her accomplishments. This process will be supported by an “expanded file” in which the candidate’s entire record, up to and including the last review, may be considered. As the CER is intended to rectify an inequity occurring in the past, “new,” materials (i.e., those not yet reviewed by CAP or the administration) would not be relevant to the review. The candidate may submit selected publications or other materials from earlier review periods that he or she considers relevant to the CER request.

The Unit Chair will develop an academic review file that will address the candidate’s entire academic record. The file will include the request for a CER. If the CER request involves advancement to or through a “barrier” step (promotion to Full Professor or advancement to Professor, Step VI, or to Professor, Above Scale), the Unit must seek external letters addressing the barrier step advancement for inclusion in the file. **[Sample Solicitation Letter - Attached]**

D. TIMING OF THE CAREER EQUITY REVIEW

The CER review will typically proceed in parallel with the normal review, but will address the candidate’s overall record using the University’s established criteria for the rank and step requested.

- **Regular Merit:** In the case of a merit review that is combined with a Career Equity review, the candidate should specify what step is to be considered in the CER. The expanded file will be used for the CER. The merit increase based on new material will be considered separately and will follow the decision on the CER.
- **Promotion or Advancement to Step VI:** If a candidate requests a Career Equity Review in conjunction with a promotion review, the promotion file should be documented as normal with new material, external letters, etc. After the decision on the promotion has been made, reviewers will consider the CER request to help determine the appropriate step at the new rank.

E. FILE REVIEWERS

The appropriate Dean and CAP will consider all CERs. There are two ways in which consideration of a CER may proceed:

- If the candidate submits the request for a CER to a Unit Chair, following Unit review/analysis and vote, the Chair (or designee) will write the Unit Transmittal Memo regarding the CER request. It will

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subsequently be forwarded to the Provost/EVC via the Academic Personnel Office, which will refer the file to CAP for its recommendation.

- If the candidate submits the request for a CER to the Dean, the Dean may recommend someone other than the Unit Chair to interact with the Unit Reviewers and write the Case Analysis. The Provost/EVC must approve the Dean's selection. Further review of the file will then proceed as described above. (In rare cases, if it is believed that there is insufficient expertise at any level of review, the Provost/EVC may recommend to CAP that an *ad hoc* committee be formed to advise CAP.)

F. FREQUENCY

A CER may be requested once at the Associate Professor level, once at the Full Professor level prior to advancement to Professor, Step VI, and once after advancement to Professor, Step VI, up to Above Scale, but no more than once every six years.

G. FINAL DETERMINATION

Because the CER is processed in conjunction with a merit/promotion case, two decisions will be made at the conclusion of the review; one based on the request for the CER and one based on activity during the current review cycle. If the CER decision leads to an adjustment of rank and/or step, the candidate's salary at the new rank and/or step will include the same off-scale increment as the salary before the review. Any decision for an adjustment to rank and/or step will be effective the following July 1. Another possible outcome is the confirmation that the candidate has been appropriately placed at rank and step. This outcome will in no way affect current or future actions proposed during the regular academic personnel process. A CER decision by the Provost/EVC is not subject to appeal, and no retroactive action will be approved. All CER actions become part of the academic personnel file.

APPENDIX 2014-C: SHORT FORM FOR NORMAL MERIT REVIEWS

Normal merit increases within Assistant Professor, Associate Professor and Professor I-V ranks, although less critical than promotions, are not automatic and do require demonstrated merit.

For many merit reviews where the record seems clear and there is expected to be essentially unanimous agreement in the Unit regarding the proposed action, UC Merced has adopted the "**Short Form for Normal Merit Review**" to simplify the preparation of the Case File. It should be noted that a Case File that reveals issues of concern or potential controversy regarding the proposed action will not be indicative of a "normal merit," and thus is ineligible for use of the Short Form. The Short Form should likewise not be used for accelerated actions. Use of the Short form is not mandatory and is subject to the discretion of the AP Chair.

The Short Form may be used for the following normal merit reviews:

Assistant Professor: First and second merit reviews (does not include MCA)

Associate Professor: Every other merit review within rank, exclusive of promotion

Full Professor: Every other merit review within rank, exclusive of barrier steps or promotion

Above Scale: Every other merit review

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**2015: SABBATICAL AND OTHER LEAVES****A. SABBATICAL LEAVE**

Please refer to **APM 740** for comprehensive information about sabbatical leaves, including special appendices for calculating credits.

PURPOSE

A sabbatical leave is a privilege accorded to qualified faculty members to enable them to engage in intensive programs of research and/or study, and thus to become more effective teachers and scholars and enhance their service to the University (**Standing Orders of the Regents 103.4**).

TYPES OF SABBATICAL

There are two types of sabbatical leave:

- **Regular Sabbatical** is leave from all regular University duties to enable the individual to devote her- or himself full-time to research and/or study.
- **Sabbatical in Residence** requires the individual to teach in addition to engaging in a program of research and/or study at UC Merced or another University of California campus. The individual is expected to teach a regularly scheduled class that meets at least three hours per week. In exceptional cases significant University service may be substituted for all or part of the instructional requirement. Service must be at the campus or University-wide level and must require a time commitment equivalent to teaching a regularly scheduled class. Such exceptions are granted by the Provost/EVC.

ELIGIBILITY & ACCRUAL

Appointees in the following titles are eligible for sabbatical leaves, providing they have accumulated enough credits:

- Assistant Professor
- Associate Professor
- Professor

Credit toward eligibility to apply for sabbatical leave is earned through each semester of half-time or more service in a ladder-rank faculty title at the University. Credit is earned during service as an Acting or Visiting ladder-rank faculty member if such service is followed immediately by appointment to a regular ladder-rank title.

*Note: Refer to **APM 740-11** for information regarding qualifying academic administrative and Senior Management positions. See also **Senior Management Personnel Policy II-50**.*

An individual in an eligible title accrues one sabbatical credit for each full semester of service at 50% time or more. Service must be continuous, with no break in University employment. The maximum number of credits that may be accrued is equal to the number of credits required for a maximum sabbatical leave (one year at full salary), plus one year of credit; e.g., twenty credits (**APM 740-16.a**). Once the maximum accrual is reached, the balance will be capped until some credits are used for a leave. Faculty members may contact personnel in the Dean's Office or Academic Personnel Office with questions regarding sabbatical credit accrual.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

Sabbatical credits are not accrued during periods of:

- Sabbatical leave
- Leave without pay
- Leave with pay for one semester or more
- Appointment to a university-sponsored research program at more than 50% time
- Summer research or Summer Session teaching

RESTRICTIONS

Sabbatical leaves will be granted only when they will not disrupt the teaching program or operation of the University. A faculty member should not commence a sabbatical leave until the Dean and the Provost/EVC have granted formal approval.

Immediately following a sabbatical leave, the faculty member must return to active service at UC Merced for a period at least equal to the period of the leave. Failure to return from sabbatical leave will create an obligation on the part of the individual to refund to the University the entire salary received during the leave. In case of a return to regular University employment for a period less than that of the sabbatical leave, the refund requirement will be reduced in proportion to the length of time served.

A sabbatical leave for an academic-year appointee shall be timed so that it starts and ends on dates established in the academic calendar for the beginnings and endings of semesters.

A sabbatical leave shall not be approved for an appointee who has been issued a notice of non-renewal or termination of appointment. For individuals who have had two or more reviews resulting in non-advancement, a sabbatical leave should only be granted if the leave is part of the individual's plan for re-engaging in research or creative activity.

Sabbatical leave shall not be used as a means of augmenting personal income. Except as provided in **APM 740-18** and **APM 025**, an individual shall not accept gainful employment during a sabbatical leave. This restriction does not apply to acceptance of a fellowship, personal grant, or government-sponsored exchange lectureship for the period of the leave, if such acceptance promotes the accomplishment of the purpose of the leave and is approved in advance by the Dean and the Provost/EVC; or to acceptance of nominal honoraria in connection with lectures delivered as part of the sabbatical leave project.

REQUESTING SABBATICAL LEAVE

Application for sabbatical leave requires submission of a completed Leave of Absence Request Form (**UCM-AP 50**) and a project statement providing information outlined in **APM 740-94**. These documents must be reviewed and approved by the Dean, and then forwarded to the Academic Personnel Office for review and submission to the Provost/EVC for final approval.

SABBATICAL LEAVE REPORT

Within ninety calendar days of returning from leave, the faculty member will submit to the Dean a concise report of the results of the leave, including an account of progress made and plans for the completion of research and publication of the results. Detailed information regarding the required elements of the report can be found in **APM 740-97**. The report will become a part of the supporting documentation included in the next academic personnel review file; the review file will not be processed unless the report is included.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**2016: DISCIPLINE****GENERAL GUIDELINES**

The following serves to implement the **University Policy on Faculty Conduct and the Administration of Discipline** at UC Merced. While the **Faculty Code of Conduct** applies to all faculty members, both Senate and non-Senate, these procedures apply exclusively to members of the Academic Senate (as identified in the **Standing Order of the Regents 105.1**). No disciplinary sanction for professional misconduct of a member of the Merced Division of the Academic Senate shall be imposed except pursuant to the procedures specified herein and consistent with **Academic Senate Bylaw 336**. No faculty member's right to a hearing before the **Committee on Privilege and Tenure** under Academic Senate Bylaws **335, 336, and 337**, or Standing Orders of the Regents **103.9 and 103.10**, shall be abridged in any way by these procedures.

With respect to the imposition of disciplinary sanctions, the Faculty Code deals only with professional conduct or misconduct. Faculty members, however, in common with all other members of the University community, are subject to the general rules and regulations of the University, such as those pertaining to parking, library privileges, health and safety, and use of University facilities. Faculty members are subject to appropriate sanctions for failure to comply with such rules and regulations. Senate faculty members holding administrative appointments may be subject to disciplinary action under the Faculty Code for professional misconduct that falls within the types of unacceptable conduct set forth in the Faculty Code. In addition, the Chancellor and Provost and Executive Vice Chancellor may take administrative actions (e.g., removal from the administrative position), which need not adhere to the disciplinary procedures outlined herein.

The authority to discipline faculty members derives from The Regents. The Regents have made the Chancellor of each campus responsible for administering discipline on that campus, and there is to be no re-delegation of the Chancellor's authority to impose disciplinary sanctions; however, in any case of discipline of a Senate faculty member, the Chancellor will normally delegate to the Provost/EVC the authority to initiate disciplinary action (i.e., to initiate and monitor the investigation of the complaint and the process to determine probable cause). In the event that the Provost/EVC recuses him- or herself from a disciplinary case at any stage, the Chancellor may delegate his or her authority to a person or persons whom the Chancellor judges to be appropriate. The Chancellor will discuss the selection of this person or persons with the Chair of the Academic Senate.

University procedures afford safeguards against arbitrary or unjust disciplinary actions, including provisions for hearings and appeal. Senate faculty members may accept the disciplinary sanctions as proposed by the Chancellor, or they may request a hearing before the **Committee on Privilege and Tenure of the Merced Division of the Academic Senate**. The role of this Committee is to take under consideration complaints against or by members of the Academic Senate. The Committee holds hearings and advises the administration. The Chancellor will not appoint any current member of the Committee on Privilege and Tenure as an investigator.

Discipline is defined to include the following actions: written censure; reduction in salary; demotion; suspension; denial or curtailment of emeritus status; and dismissal from the employ of the University (**APM 16 Section II**). More than one disciplinary sanction may be imposed for a single act of misconduct; e.g., a demotion and a suspension. Any disciplinary action must begin within three years of the time when the Chancellor knew or should have known about the alleged violation of the Faculty Code.

When a complaint has been made, all faculty members, campus officers and agencies shall treat the identities of the complainant and the faculty member against whom the complaint is made (herein referred to as "respondent") as a matter of utmost confidentiality.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)**INITIATING THE COMPLAINT PROCESS**

A complaint may be brought under these procedures by any student, staff member, or faculty member of the University of California. Systemwide policy statements clearly indicate that the investigation of faculty misconduct should be an administrative function, while holding hearings on such charges is an Academic Senate function to be carried out by the Committee on Privilege and Tenure.

A. INFORMAL COMPLAINT

In some circumstances, informal means of resolution may be appropriate as a first resort. Such efforts may include discussion with the faculty member as well as the pursuit of all available administrative actions. Informal complaints may be heard by the relevant Dean; Associate or Assistant Dean; Human Resources; Academic Personnel Office; or the complainant's immediate supervisor. The informal complaint may also be referred to the Provost/EVC to assist in the informal resolution of the complaint.

Any recipient of an informal complaint may in all cases listen to the complaint without informing the accused faculty member of it. If the recipient of the complaint, or any campus officer or agency, begins to investigate the merits of the complaint, beyond what can be established by talking to the complainant, the accused faculty member shall at that stage have a right to notification. Should the complaint be resolved informally or not pursued further, all documents, notes, or other evidence shall be destroyed or returned to the complainant.

If the recipient of the informal complaint deems it to be appropriate, and if procedures for informal resolution are either unsuccessful, unacceptable to the complainant, or deemed inappropriate by the campus officer or agency involved, then that officer or agency shall refer the complainant to the Provost/EVC. The Provost/EVC will keep the Chair of the Committee on Privilege and Tenure apprised of all such actions. At this stage of the process, the Provost/EVC is not required to notify the faculty member against whom the complaint has been made.

B. FORMAL COMPLAINT

If the complainant wishes to file a formal complaint, the following procedures must be followed.

Allegations of violations of the **Faculty Code of Conduct** against a Senate faculty member shall be addressed to the Provost/EVC and shall normally be submitted in the form of a written, signed letter from the complainant. The complainant must include a written explanation of any attempts made to resolve the matter prior to the filing of the formal complaint. The complainant should, whenever possible, identify the section(s) of the Faculty Code of Conduct alleged to have been violated. It is important that the complainant submit supporting documentation sufficient to substantiate the allegations of misconduct.

The Provost/EVC shall review the complaint to ensure that it conforms to these requirements, and to a reasonable standard of conciseness and order. The Provost/EVC may also consult with the appropriate School Dean as necessary. The Provost/EVC may, at his or her discretion, reject any complaint that does not meet these requirements. In this event, the complaint will be returned to the complainant who shall have the opportunity to correct the stated deficiencies, and then return the complaint for consideration.

The Provost/EVC will conduct a preliminary inquiry to determine whether there are reasonable grounds to believe that a violation of the Faculty Code of Conduct may have occurred. The Provost/EVC may appoint additional internal or external faculty members or administrators to conduct the informal, preliminary inquiry. The respondent will be notified by the Provost/EVC that a formal complaint has been filed against him or her, and he or she will receive a copy of the complaint with all supporting documentation.

PROFESSORIAL SERIES (PROFESSOR, ASSOCIATE, ASSISTANT)

If there is apparent merit to the complaint, the Provost/EVC shall designate a committee of up to four Academic Senate faculty members as a Charge Committee to investigate and provide a determination as to whether there is probable cause that a violation has occurred (**APM 15, Part III.A.4**).

The Charge Committee will advise the Provost/EVC:

- Whether any of the allegations in the formal complaint, if true, would constitute a violation of of the Faculty Code of Conduct;
- If so, whether there is probable cause to warrant the initiation of disciplinary action by the administration; and
- If there has been a finding of probable cause, what specific disciplinary sanction(s) are recommended by the Charge Committee.

The Charge Committee may discuss procedural and interpretive questions with the Provost/EVC at any stage of the investigation and may seek legal interpretation. In addition, the Charge Committee has the Provost/EVC's authority to seek further information (normally in writing, but also in person as deemed appropriate) from individuals who may have relevant information. The Charge Committee should advise individuals who have been consulted that the University will do all in its power to assure that information will be kept confidential to the extent allowable by law and University policy. Additionally, all parties involved will be instructed of the strict confidentiality of the review.

Following its investigation of the formal complaint, the Charge Committee shall write a final report to the Provost/EVC. The report shall include the Committee's assessment of the evidence, a recommendation to dismiss the complaint or to initiate disciplinary action, and a recommendation of the type of disciplinary sanction(s) proposed, if any. It is expected that the Charge Committee will conclude its work within 90 calendar days from receipt of the complaint, unless an extension is granted by the Provost/EVC.

INITIATING THE DISCIPLINE PROCESS**A. INFORMAL RESOLUTION**

As an alternative to formal disciplinary procedures, the respondent and the administration may explore informal resolutions at any point in the disciplinary process. Upon written agreement by both the Provost/EVC and the respondent, the Provost/EVC may agree to waive the proposed disciplinary sanction(s) on the condition that the respondent performs some specified action(s) designed to address the violation and/or to prevent future harm or continued violation. Such actions may include, but are not limited to, monetary restitution, repayment of misappropriated resources, compliance with a commitment not to repeat the misconduct, or other action to remedy the harm caused by the respondent.

Respondents who are interested in pursuing an informal resolution may negotiate directly with the administration or may request the involvement of the Chair of the Committee on Privilege and Tenure. Respondents should contact the Provost/EVC and/or the Chair of Privilege and Tenure to discuss this option further or to propose an informal resolution.

If an informal resolution is reached with the administration at any point in the disciplinary process (with or without the Chair of the Committee on Privilege and Tenure), the Chancellor shall report to the entire Committee on Privilege and Tenure for informational purposes, and without using the respondent's name, a statement of the charges and the negotiated resolution.

B. INVOLUNTARY LEAVE

The Provost/EVC may initiate involuntary leave with pay prior to the initiation of disciplinary action if it is determined that there is a strong risk that the respondent's continued assignment to regular duties or presence

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on campus will cause immediate and serious harm to the campus community or impede the investigation of his or her alleged wrongdoing, or in situations in which the respondent's conduct represents a serious crime or felony that is the subject of investigation by a law enforcement agency.

Such action does not represent the imposition of a disciplinary sanction; however, the respondent's return to University premises without written permission from the Provost/EVC may create independent grounds for disciplinary action.

The Provost/EVC must mandate such investigatory leave in writing, including the reasons for and expected duration of the leave, to the respondent and must initiate disciplinary procedures by bringing charges against the respondent within ten working days after the imposition of involuntary leave.

C. INFORMING THE RESPONDENT OF THE INTENT TO DISCIPLINE

Upon receipt of the **Charge Committee** report, the Provost/EVC will determine whether there is probable cause for undertaking disciplinary action against the accused faculty member. If so, the findings of the **Charge Committee** will be transmitted to the Chair of the Committee on Privilege and Tenure, together with a written notice of intent to discipline from the Provost/EVC describing the reasons for undertaking the proposed action and the type of sanction(s) that are recommended. The Chancellor may not impose a type of discipline more severe than that set forth in this notice.

At this stage, the name of the respondent, the nature of the charges, and the proposed discipline shall be confidential information, limited to the Chair of the Committee on Privilege and Tenure and not known to the other members of the Committee.

The notice of intent to discipline, along with a copy of the report of the **Charge Committee** shall normally be presented to the respondent in person or, if not feasible, the notice and report shall be sent to the respondent's campus address and last known home address using a proof of service form.

D. DISCIPLINARY HEARING

At the time the notice is personally delivered to the respondent, or within three working days if the notice is mailed, the Chair of the Committee on Privilege and Tenure shall make known to the respondent his or her Senatorial right to a hearing pursuant to **Academic Senate Bylaw 336** before disciplinary sanctions can be imposed. The Chair shall also provide information about the the nature of Privilege and Tenure hearings, as well as information about the options available to the respondent. These options include accepting the proposed discipline or negotiating an informal resolution directly with the administration.

The respondent shall have 21 calendar days from the date of receipt of the notice in which to file a written response with the Provost/EVC indicating that he or she accepts the findings and proposed sanctions, or to inform the Chair of the Committee on Privilege and Tenure that he or she waives the Senatorial right to a formal hearing before the Committee. Absent any such written response, a hearing shall be conducted as specified by Academic Senate Bylaw 336.

In connection with hearings before the Committee on Privilege and Tenure (or any properly constituted hearing panel subcommittee), a respondent will be entitled to all procedural privileges and protections specified in the Standing Orders of the Regents (**103.9** and **103.10**) and in the Academic Personnel Manual (**APM 15** and **APM 16**). All investigations and hearings will be treated as confidential and open only to those persons directly involved.

Every effort shall be made to conform to a reasonable time frame in the implementation of all procedures. Consistent with **Academic Senate Bylaw 336.B.3**, the Committee on Privilege and Tenure shall consider the matter within 21 calendar days after receipt of a response or after the deadline for receipt of a response if none

Elizabeth Soria
Today, 9:39 AM
Replaced: Investigative Officer's

Elizabeth Soria
Today, 9:41 AM
Replaced: Investigative Officer

Elizabeth Soria
Today, 9:39 AM
Replaced: ,Investigative Officer

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is received. Pursuant to **APM 15 Section 3.B.7**, a hearing should commence within 90 days of the date on which the respondent was informed of the intention to initiate a disciplinary proceeding. A hearing shall not be postponed because the respondent is unavailable or unwilling to cooperate.

The Chancellor has final authority to determine and execute appropriate sanctions, except in those cases of dismissal or demotion in which final authority rests with the President or the Regents (**APM 16 Section II**). The Chancellor will inform the accused faculty member in writing of his or her final decision. The complainant shall be informed in writing by the Provost/EVC that the investigation has been concluded and that appropriate action has been taken, but the details of any action shall not be shared with the complainant.

COMPLAINT FILE

Upon final resolution of the formal complaint, the complaint file will be maintained only in the Academic Personnel Office. The complaint file shall include the following:

Elizabeth Soria
Today, 9:40 AM
Replaced: Investigative Officer

Elizabeth Soria
Today, 9:40 AM
Added Text

Elizabeth Soria
Today, 9:40 AM
Deleted: Investigative Officer'

- The original formal complaint and all accompanying documentation;
- The letter from the Provost/EVC forwarding the complaint to the [Charge Committee](#) for its probable cause investigation;
- The [Charge Committee's](#) final report;
- The Provost/EVC's written notice of intent to initiate disciplinary action, if any;
- A copy of the Committee on Privilege and Tenure's hearing report, if any;
- A copy of the Chancellor's letter communicating his or her decision to the respondent; and
- A copy of the Provost/EVC's communication to the complainant notifying him or her of the closing of the investigation.

In the event that the allegations against the respondent are not sustained; all materials related to the claim shall be destroyed after a period of three years. All other files shall be maintained for ten years after separation of the respondent from UC Merced and then destroyed.

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2017: GRIEVANCE PROCESS

See [UC Senate Bylaw 335](#)

05. LECTURERS SOE

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05. LECTURERS SOE

2051: GENERAL GUIDELINES

A. Titles, Description, Eligibility

Titles in this series are:

- Lecturer with Security of Employment (**Lecturer SOE**).
- Senior Lecturer with Security of Employment (**Senior Lecturer SOE**)
- Lecturer with Potential Security of Employment (**Lecturer PSOE**)
- Senior Lecturer with Potential Security of Employment (**Senior Lecturer PSOE**)

Note: Appointments in the titles Lecturer and Senior Lecturer (both Continuing and “pre-six”) are not part of this title series but are part of Unit 18, which is discussed separately in [MAPP Chapter 3 Section 10](#). See also the [Memorandum of Understanding](#) for the Non-Senate Instructional Unit.

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

Full-time appointees in this series are members of the Academic Senate ([Standing Order of the Regents 105](#)). Refer to [Bylaw 55](#) for information regarding the possible extension of voting rights to full-time appointees in this series.

It is the policy of the University that primary responsibility for teaching should rest upon faculty members of the professorial rank who have demonstrated their abilities both in teaching and in research or other creative achievement. Appointment as Lecturer or Senior Lecturer (PSOE or SOE) can be made only to a position which has been allocated for that purpose to the Unit as a permanent FTE, after approval by the Provost/EVC, upon recommendation by the Dean and the Committee on Academic Personnel (CAP). Such an allocation will be made only if it is demonstrated that there is a programmatic need for the allocation because the position is one with functions which cannot be performed by an appointee in the Regular Professor series or by a temporary appointee. Temporary appointments, in the normal circumstances in which there is not such allocation of a permanent FTE, should be made as Lecturer or Senior Lecturer pursuant to the policy describing those titles ([MAPP Chapter 3 Section 10](#)).

Appointees to this series may teach courses at any level. Appointment in this series does not involve responsibilities to engage in research. As members of the Academic Senate, however, appointees in this series are expected to participate in the shared governance of the campus and University.

B. Terms of Service

Typically, an appointment to this series is for full-time service to the University; an appointment made at less than full-time to any title in this series is exceptional and requires approval by the Provost/Executive Vice Chancellor. Such authorization will not normally be granted when the individual’s professional commitment is to be divided between the University and another institution or organization.

Lecturer PSOE or Senior Lecturer PSOE:

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- All appointments to the ranks of Lecturer PSOE and Senior Lecturer PSOE are for specified terms.
- Lecturers/Senior Lectures PSOE are appointed for a period of two years and are subject to the [Eight-Year Limit](#).
- The initial term of appointment of a LPSOE or Senior LPSOE ends on the second June 30th after the effective date of the appointment.
- A new two-year term commences effective with merit advancement.
- Periods of approved leave with or without salary count as part of a two-year term.
- In order to make clear to an appointee that the appointment is for a specified term, all correspondence for such appointees must reflect the specific ending date of the term.

Lecturer SOE or Senior Lecturer SOE:

- Security of employment may be granted only for an appointment at more than half time ([Standing Order of the Regents 103.10](#)).
- Security of employment is not a reward for length of service but is based upon appraised and recognized merit.
- Appointments with SOE are continuous until terminated by resignation, retirement or dismissal

C. Salary

Individuals appointed as a Lecturer (PSOE or SOE) are compensated at a rate on the [Lecturer and Senior Lecturer Salary Scale](#). Senior Lecturers SOE may not receive less than the rate for Professor, Step I. Determination of rate is based on professional qualification.

A normal merit advancement for a candidate on a two-year review cycle will advance the salary by two increments on the salary scale. For candidates on a three-year review cycle, a normal merit will advance the salary by three increments on the scale. Any advancement beyond these levels will be considered an “accelerated merit increase” and requires evidence of exceptional achievement.

Off-scale salaries are not applicable to this series.

2052: RECRUITMENT

All policies and procedures for recruitment in this series shall follow those outlined in [MAPP 2012](#).

2053: APPOINTMENT

Full-time Lecturer titles that have or lead to Security of Employment are faculty positions designed to meet the long-term instructional needs of the University. The full-time appointment of a Lecturer PSOE/SOE will be made only if it is demonstrated that there is a need for curricular duties so specialized in nature that it would be difficult to assure the continuance of the presentation of the subject matter with any other type of appointment. These appointments are subject to the Instructions for Review Committees Which Advise on Actions Concerning the Lecturer with Security of Appointment Series ([APM 210-3](#)) and will follow the policies and procedures detailed in [MAPP 2013](#) except as otherwise indicated in this Section.

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Appointment as a full-time Lecturer/Senior Lecturer SOE/PSOE requires achievement in three areas: teaching, professional competence and activity, and University and public service.

1. The candidate's file must document evidence of outstanding teaching. This shall be measured by command of the subject matter, continuous growth in the subject field, and the ability to organize material and present it with force and logic. The file must provide evidence that the candidate has the capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; to foster student independence and capability to reason; to arouse curiosity in students and to encourage high standards; and to effectively create an academic environment that is open and encouraging to all students. The candidate's case file should show evidence of the extent and skill of the candidate's participation in the general guidance, mentoring and advising of students. Teaching activities may include instruction-related activities such as conducting training, supervision of Teaching Assistants or Unit 18 Lecturers, or course development and/or revision.
2. The candidate's file must provide evidence of professional achievement and activity, and the candidate's professional activities should be reviewed for evidence of achievement and leadership. Intellectual leadership must be documented by materials demonstrating that the candidate has, through publications, creative accomplishments or other professional activity, made outstanding and recognized contributions to the development of her or his special field and/or pedagogy. Making presentations of teaching improvements at professional conferences is one example of this type of professional achievement and activity.
3. The candidate must demonstrate service to the Unit, campus and University, and/or the public. Particular attention should be paid to that service which is directly related to the candidate's professional expertise and achievement. Evidence of suitability for promotion may be demonstrated in services to the community, state and nation, and to student welfare. Both quantity and quality should be assessed.

In addition, full-time Senior Lecturer SOE appointments require qualifications that warrant a salary level no less than that of Professor Step I. These qualifications include demonstrated attributes of senior-level professional achievement and experience; earned distinction in the subject field comparable to that attained by leading members of the professorial faculty in a similar field; and service of exceptional value to the University.

2054: MERIT, PROMOTION, APPRAISAL REVIEW

A. Overview

The academic advancement processes for Lecturers and Senior Lecturers PSOE/SOE follow procedurally those detailed for the Professor series in [MAPP 2014](#) and Lecturers in this series are guaranteed the same rights as ladder-rank faculty. Certain details particular to the Lecturer SOE series are recorded here.

Lecturers with Potential for Security of Employment (LPSOEs) are subject to academic review for reappointment and potential advancement every two years. Similar to the professorial series, in the fourth year of appointment a comprehensive review known as a Mid-Career Appraisal (MCA) is conducted to assess an LPSOE's potential for promotion to Lecturer with Security of Employment (LSOE). The MCA for the Lecturer series will be conducted with the same degree of rigor used in evaluating ladder-rank faculty, modified appropriately to address the

05. LECTURERS SOE

requirements of this series. Promotion to Lecturer SOE will normally occur during the sixth year of appointment as LPSOE.

Review and Appraisal Schedule for LPSOE/SOE Series	
Title and Action	Year
LPSOE	
Appointment	0
Reappointment and Merit Advancement	2
Reappointment, Merit and MCA	4
Promotion Review	6
LPOE	
Normal Merit Review	Every 3 years
Promotion to Senior LPOE*	6
Senior LPOE	
Normal Merit Review	Every 3 years**

*Promotion to Senior LPOE is not normally expected, but may occur when warranted. A Lecturer SOE will become eligible for promotion after not less than six years of service as Lecturer SOE.

**Senior LPOEs should normally be reviewed every three years, until they have reached a salary level equivalent to Professor Step V, after which reviews will not occur after less than four years.

Lecturers/Senior Lecturers SOE are subject to the same quinquennial review requirements as faculty in the professorial series. ([APM 200-0](#))

B. Criteria/Evidence

The three criteria required for appointment to the Lecturer SOE series also apply to all advancement actions. Salary advancement in this series will be based on demonstrated growth in the value of the services the candidate provides; it is recognized that this rate of growth will be more variable, and in some cases slower, than for those in professorial positions. What follows is guidance as to the types of evidence that may be submitted with the case file and/or described in the Case Analysis, Transmittal Memo, and Dean’s Recommendation to support an advancement proposal.

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Teaching

Teaching is the primary area of review in the SOE series. Clear documentation of ability and effectiveness in teaching is required in the review process. Documentation of teaching should include an accounting of the candidate's teaching load for the review period with all available teaching evaluations. Other significant types of evidence include:

1. Opinions of colleagues, particularly if based on class visits, observations of lectures, or knowledge of performance in courses prerequisite to those taught by the referee.
2. Opinions of current and former students.
3. Number and caliber of students the candidate has guided in their studies or attracted to campus
4. Information about the reception of lectures given by the candidate before professional or learned societies.
5. Information about time spent in teaching extra courses, being available to and guiding students outside class, preparing for classes, undertaking courses he or she has not taught before, and improving instructional methods.

Student and peer evaluation of teaching is central to the review process, but evidence will also be sought of significant contributions to university-level teaching through development of superior teaching materials, programs for teaching improvement, and other activities related to teaching.

Professional Competence and Activity

Evidence includes such items as:

1. Election to significant offices of professional or learned societies.
2. Invitations to lecture, present papers, etc.
3. Awards, grants or honors bestowed by organizations or foundations.
4. Requests for consultative service.

University and Public Service

Evidence includes documentation of the candidate's services in Unit, Academic Senate, and administrative capacities (including committee service) as well as of formal service to the community or to public agencies. Recognition should be accorded the candidate for able administrative or faculty governance, and for able service to the community, state or nation when such service rests upon professional expertise. Contributions to student welfare should also be recognized.

2055: SABBATICAL AND OTHER LEAVES

Appointees to this series do not accrue sabbatical credit.

2056: DISCIPLINE

All policies and procedures for discipline in this series shall follow those outlined in [MAPP 2016](#).

01. ACADEMIC STUDENT EMPLOYEES

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01. ACADEMIC STUDENT EMPLOYEES

4011: GENERAL GUIDELINES

This section outlines policies and procedures governing appointment of matriculated students to academic positions related to instruction. At UC Merced, students are most commonly appointed to the following titles:

- Teaching Assistant
- Teaching Associate (Summer Session only)
- Teaching Fellow
- Reader

Which are covered by a [Collective Bargaining Agreement](#) (CBA) with the United Auto Workers. This section should be used in conjunction with the CBA and with [APM-410](#) and [APM- 420](#) as well as the [Graduate Student Handbook](#).

Appointment as an Academic Student Employee (ASE) is intended to provide a qualified student with relevant training experience for academic and academic-related careers. An appointee must be a full-time registered graduate student at the University (12 units) during the entire period of appointment to the titles covered in this section. In exceptional cases, a highly qualified undergraduate student or non-student may be considered for appointment to the Reader title, and in only the most rare and compelling cases, to the Teaching Assistant title. Any request for exception must include evidence that the hiring Unit or School has made a concerted effort to first locate a qualified UC Merced academic graduate student for the position. The hiring Unit must verify the qualifications of the candidate for the position and must request the Dean's approval for an exception to policy.

The [Graduate Division](#) reviews petitions for exceptions to policy regarding academic qualifications and conditions of employment in the hiring of graduate students for academic appointments. Exception request form may be found [here](#).

A student may not serve as a Reader or Teaching Assistant/Associate/Fellow in a course in which he or she is enrolled. Students may not simultaneously serve as a Teaching Assistant and a Reader for the same course.

The Deans of the Schools have responsibility for approving appointments of graduate students to academic positions consistent with all applicable policies. Employing Units shall ascertain that prospective appointees meet the eligibility requirements before allowing the appointee to begin service.

Definitions

Teaching Assistant: Selected for scholarship and promise as a teacher. No teaching experience necessary. The primary duty of appointees in this title is assistance in all aspects of instruction (grading, advising, sectional teaching, laboratory sectional teaching, field work teaching, limited lecturing). These duties are performed under the general supervision of faculty "Instructors of Record" who are vested with the sole and final responsibility for course content, work assignments, performance evaluations and grading in the assigned course. These appointees may not be given sole responsibility for the content of the course, selection of assignments, planning of exams, or grading, nor are they to be used exclusively as readers. They may provide input into the development of assignments or exams, and should hold office hours. They may supervise teaching assignments in small sections of undergraduate courses or laboratories.

01. ACADEMIC STUDENT EMPLOYEES

Teaching Associate: Used during Summer Session only, a Teaching Associate is a highly qualified graduate student, normally with at least one academic year of UCM TA experience (or equivalent teaching experience at a comparable institution) but not yet advanced to candidacy for the PhD, who is selected to conduct the entire instruction of a lower-division course. On an exception basis, a Teaching Associate, upon recommendation from the Unit Chair, may be assigned an upper-division course with the written approval of the Dean. All instructional activities of a Teaching Associate are to be supervised by a faculty member. A Teaching Associate with extensive teaching experience may be presumed to require less direct supervision.

Teaching Fellow: a Teaching Fellow is formally advanced to doctoral candidacy, has demonstrated professional maturity and excellence as a scholar and teacher, and has at least two academic years (four semesters) of UCM TA experience (or equivalent teaching experience at a comparable institution). Teaching Fellows are expected to carry more responsibility and perform more advanced duties than Teaching Assistants, with less supervision. They may provide the entire instruction of a lower-division course under the general supervision of a faculty member. On an exception basis, a Teaching Fellow, upon recommendation from the Unit Chair, may be assigned an upper-division course with the written approval of the Dean.

Reader: The primary duty of Readers is assistance in the reading and grading of students' papers and exams. They may also be required to hold office hours. These duties are performed under the guidance and supervision of faculty "Instructors of Record" who are vested with the sole and final responsibility for grading policies and procedures in the assigned course. Readers must have earned at least a grade of "B" in the course for which they are reading and are not to be used as Teaching Assistants or Graduate Student researchers. Service as a Reader does not count as qualifying experience for a Teaching Associate or Teaching Fellow appointment.

Student Status

Academic Probation: Graduate students may not be appointed while on Academic Probation due to low GPA, excessive Incomplete, failing or unsatisfactory grades, or while making unsatisfactory progress towards the degree.

Planned Educational Leave Program (PELP): Appointment to a student academic title while on Planned Educational Leave Program (PELP) is not permitted.

In Absentia status: Graduate students may not be appointed to a teaching title while registered In Absentia.

Leaves/Withdrawals: Students who take a leave of absence or who withdraw from the University must have their appointments terminated.

Summer Registration: Continuing graduate students do not need to be registered during the summer in order to hold an academic appointment. Continuing students who hold Summer Session appointments must either have been registered for the previous Spring or for the following Fall semester. Incoming graduate students may not be hired in ASE titles during the Summer preceding their first fall terms.

4012: RECRUITMENT

01. ACADEMIC STUDENT EMPLOYEES

By March 15th of each year, the University shall begin posting information regarding ASE appointment opportunities for the following academic year on the UC Merced website. Such posting will contain the information contained in [Article 22](#) of the CBA, including the following employment non-discrimination statement:

The University of California, Merced is an affirmative action/equal opportunity employer with a strong institutional commitment to the achievement of diversity among its faculty, staff, and students. The University is supportive of dual career couples.

To initiate a posting the School shall send a completed [UCM-AP204](#), signed by the appropriate Dean, to APO for review and posting.

Special attention should be given to legal requirements regarding the recruitment and hiring of foreign nationals to ensure that they hold visas and employment authorization that allow compensation for services. Questions regarding potential visa cases should be referred to the [Office of International Affairs](#).

Each ASE applicant must apply for the desired position through AP Recruit and submit any requested information and documents via the website. No student may be hired until after completion of the AP Recruit application process.

Schools shall establish procedures for assessment and selection of candidates based on field of study, and experience and/or promise in teaching.

4013: APPOINTMENT

Terms of Appointment

Academic Student Employee appointments are for one year or less and are self-terminating.

The maximum academic student employee appointment limitation is 50% (340 hours of assigned workload) during any academic-year semester. If a graduate student has more than one appointment (including staff appointments), the combination of all campus-wide appointments may not exceed 50% time during any academic semester. This workload includes specific required training (with the exception of required pedagogy courses for which enrollment may be required), time in the classroom, preparation time, grading, proctoring and office hours. Students may be employed up to 100% time during semester breaks and summer.

At UC Merced, a student may hold a combination of academic student titles for up to 12 total semesters. This includes work performed on other UC campuses. Appointments during Summer Session are not counted in calculating semesters of employment.

While Readers may have shorter-term assignments, Teaching Assistants/Associates/Fellows are expected to work from the first day of the semester to the last day of the semester or until all required grading is completed. Note that the semester begins before the first day of instruction, and there may be required orientations and other meetings to attend. Academic year dates are published annually by the [Office of the Registrar](#). Appointees should be aware that late arrival on campus may result in reduced pay.

01. ACADEMIC STUDENT EMPLOYEES

Notification

Appointees shall be notified in writing of their appointments during the Spring semester previous to the effective date of the appointment to the greatest extent possible, and no less than 30 days before the beginning of the appointment. The written notice of appointment shall include all information required by [Article 2](#) of the CBA as well as a completed [Appendix C](#) document and any supplemental documentation prepared by the School.

Documentation

Upon completion of the appointment process, the following documents shall be forwarded to APO as the Office of Record for academic appointments:

1. Completed [AP211](#) form
2. Copy of the signed appointment letter
3. Completed Appendix C
4. Supplemental documentation
5. Curriculum vitae for first-time appointees
6. Documentation of advancement to candidacy if applicable
7. Recommendation of Unit Chair, if applicable

Salary

Academic Student Employees are compensated at rates established by the University of California Office of the President and found on the [Academic Salary Scales](#). Students are not to be appointed to ASE titles, nor are they to assume responsibilities equivalent to those defined by such titles, on a without salary basis. Short-term experiential student teaching for educational purposes may be required in partial fulfillment of course or degree requirements.

Readers are compensated on an hourly basis; all other ASE appointments are made on a 9/9 basis.

4014: MERIT, PROMOTION, APPRAISAL REVIEW

There is no automatic advancement from one title to another in this series. Classification is determined by assigned duties and individual academic level. Advancements to Teaching Fellow are made upon recommendation of the Unit Chair based on performance evaluations by supervising faculty members.

Student assistants who have previously served in ASE positions may be advanced to the titles for which they are qualified no later than the effective dates of their appointments. No advancement can occur for a given semester after the beginning of that semester.

4015: LEAVES

01. ACADEMIC STUDENT EMPLOYEES

In accordance with [APM-710](#) and [APM-730](#), appointees in these titles do not accrue vacation or sick leave, but may be eligible for leaves of absence as allowed by the [Collective Bargaining Agreement](#).

4016: DISCIPLINE

Disciplinary actions regarding appointees in this series shall in all instances follow processes and procedures described in [Article 8: Discipline and Dismissal](#) of the Collective Bargaining Agreement.

ENDOWED CHAIRS**POLICY FOR THE ESTABLISHMENT AND ADMINISTRATION OF ENDOWED CHAIRS****A. DEFINITION AND AUTHORITY****Policy**

This policy is in accordance with University of California policy (**APM 191**) and shall guide the establishment of all Endowed Chairs. Endowed Chairs are awarded to honor extraordinary academic achievement and to recruit and retain the most distinguished scholars.

Definition

An endowed chair is a perquisite that is supported by income from an endowment fund established by a gift or gifts from private sources and is made available to a distinguished faculty member in support of his or her teaching, research, and service activities. An endowed chair may be assigned to a School, Unit or Organized Research Unit (ORU).

Approvals

The establishment and naming of an Endowed Chair is subject to approval by the University of California Office of the President (UCOP) upon recommendation of the Chancellor. No commitment for establishing and naming a Chair shall be made to a prospective donor prior to Presidential approval.

B. REQUIRED MINIMUM LEVELS FOR ENDOWED CHAIRS**Minimum Endowment Principal**

The endowment principal shall be received and maintained as set forth in the endowment-required minimum levels approved by the Chancellor. This minimum will be adjusted periodically to reflect changes in costs due to inflation or other factors, including changes to systemwide policy.

Faculty and Salary Provision

Prior to any commitment on the part of the University, the campus must have available and must commit, if necessary, the general fund faculty provision and salary for the holder of the Chair. [Note: University policy allows for use of endowment payout to support base salary unless expressly prohibited by the gift agreement. **APM 191.D.2,5**]

C. ESTABLISHMENT, NAMING, AND FUNDING OF THE ENDOWED CHAIR

An Endowed Chair will be established only upon acceptance by the Chancellor of either :

1. Cash or a binding pledge that immediately or within a reasonable period of time will create a corpus in an amount sufficient to provide income adequate for meeting the purposes of the chair, or
2. A legally binding commitment to provide appropriate income at the end of each fiscal year from an equivalent corpus held inviolate by a trustee.

In the latter case, see UC policy, **APM 191, B.7**. Following approval by the President, the Chair will be deemed “conditionally established” until full funding is achieved. [Note: UC policy provides for contingent approval of Chairs to be funded through a bequest for deferred gift. See **APM 191.B.6,7**]

Associate Vice Chancellor for Development or designee shall coordinate all contacts and discussions with prospective donors.

The subject area of the Endowed Chair must be consistent with the mission of the University of California and the academic plan of the campus. The gift instrument shall permit appropriate alternative distribution of the

ENDOWED CHAIRS

income by the campus if the subject area of the Endowed Chair ceases to be consistent with the University's mission or the academic plan of the campus. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.

A Chair may be named in honor of the donor or an honoree proposed by the donor, subject to approval by the President.

Income from an Endowed Chair is to be made available to the faculty member appointed to the Chair in support of teaching and research. In addition, unless expressly prohibited by the gift instrument, fund payout may be used for all, or for a portion, of base salary, off-scale component of salary, sabbatical supplement, summer salary, additional compensation under a campus-approved compensation plan in accordance with applicable policies, or other additional compensation permitted by University policy **(APM 191.D.2,5)**.

D. ADMINISTRATION OF ENDOWED CHAIRS

Income from an Endowed Chair is to be made available to the faculty member appointed to the Chair in support of teaching and research. In addition, unless expressly prohibited by the gift instrument, fund payout may be used for all, or for a portion, of base salary, off-scale component of salary, sabbatical supplement, summer salary, or other additional compensation permitted by University policy. Use of funds will be reviewed annually by the Provost/EVC, Associate Vice Chancellor for Development, and Alumni Relations.

The budget in any given year will not exceed the income available from the existing endowment.

The terms of the endowment shall be reviewed at least once every five years to ensure that the campus is continuing to fulfill its legal obligations to use Endowed Chair income in a manner consistent with the donor's expressed intent. **(APM 191.D.4)**

During any period in which the Chair is not permanently occupied while the search proceeds for a suitable candidate, the Chancellor or the Provost/EVC may authorize use of the funds, after consultation with the relevant Unit(s), to use the endowment's income for other purposes in support of research and teaching in the designated area of study.

If an established, fully-funded Chair has remained vacant for a period of three consecutive years or more, or if the Chair's accumulated income exceeds five years of payout, the office of the Provost/EVC, in consultation with the Controller's Office, shall review the fund's terms and administrative history to ascertain the reason for the accumulation and take appropriate corrective action consistent with the terms of the gift agreement or consistent with the terms of the administrative allocation.

Provision shall be made in the gift document for the addition of unexpended endowment income to principal when circumstances warrant such action.

E. APPOINTMENT TO ENDOWED CHAIRS

Unless otherwise provided in the terms of the gift, an individual will be appointed for a period of five years, with the option of reappointment. Appointments to endowed chairs shall be made in accordance with regularly established procedures for faculty appointments **(MAPP 2013)**. All appointments must be reviewed at least once every five years. The Chair appointee will be informed of this policy during recruitment. An Endowed Chair may be filled successively by a series of individuals appointed for prescribed periods, unless otherwise provided in the terms of the gift. An individual may simultaneously occupy more than one Endowed Chair at any given time.

The Chancellor (or designee) has final approval authority for appointment to an Endowed Chair. If the proposed salary is above-scale, Regental authority is required to approve the salary.

ENDOWED CHAIRS

F. APPOINTMENT PROCESS

An Endowed Chair may be used as a recruitment tool during the faculty appointment negotiation process, in which circumstance the case materials for the Endowed Chair appointment recommendation may come to APO in tandem with the faculty appointment case file, though they will be distinct from the faculty appointment documents and specific to the proposed Chair. The Endowed Chair recommendation will be supported by the additional faculty appointment documents (Statement of Research, letters of reference, etc. The materials required for the Endowed Chair recommendation will include:

- Case Analysis
- Transmittal Memo with Faculty vote
- Dean’s Recommendation

Endowed Chair appointments may also be made available to existing UC Merced faculty. The case file for such a recommendation would include the three documents listed above as well as:

- Current Curriculum Vitae
- Self-Statement describing the alignment of candidate’s research interests with the Endowed Chair

The file will be submitted by APO to CAP for recommendation, and then to the Provost/EVC for consideration and final decision. If the decision is a positive one, the appointment letter for the Chair will be issued separately from the faculty appointment letter.

G. REAPPOINTMENT/RENEWAL PROCESS

The Dean of the relevant School, following consultation with Development Services to verify continued funding, the appropriate Unit Chair, and the Endowed Chairholder, will make a decision whether to recommend reappointment of the incumbent to the Endowed Chair or to seek a new Chairholder. If the recommendation is for reappointment, a case file with the following documents will be prepared and submitted, no later than April 1, to APO which will forward it to CAP for recommendation and then to the Provost/EVC for consideration and final decision:

- Self-Statement, including analytical description of accomplishments during the previous period
- Case Analysis
- Transmittal Memo with Faculty Vote
- Dean’s Recommendation
- Current Curriculum Vitae
- Biobibliography for the previous five-year period
- Materials such as publications and creative works may be submitted. These should be dated from the five-year period in which the Chair has been held, and may include “new” materials (i.e., those not yet administratively reviewed as part of a regular faculty review). Such “new” materials will be allowed to “count” in any upcoming faculty reviews as appropriate to the academic review process.

Should the need to renew an Endowed Chair appointment happen to coincide with the Chairholder’s faculty advancement review, these shall be treated as entirely separate actions and two distinct case files shall be prepared.

ENDOWED CHAIRS

If the recommendation is for non-reappointment of the incumbent, the Dean will provide written notice, with copies to the Provost/EVC and APO, to the faculty member notifying him or her of the reasons for not seeking reappointment (limitations of funding, service limits imposed by the endowment agreement, performance issues, diversity concerns, etc.).

If a new Chairholder is to be sought, the processes under “Appointment Process” above shall be followed.

EXHIBIT A

SAMPLE SOLICITATION LETTER: ASSISTANT PROFESSOR

Dear Professor _____:

Dr. _____ is being considered for an appointment as an Assistant Professor* in the School of _____ at the University of California, Merced. Appointment to Assistant Professor within the UC system is made in the expectation that the appointee will meet standards for a tenure appointment by the time a promotion decision is due. Recommendations for faculty appointments at this level must indicate clear evidence of potential excellence in both teaching and research. I would greatly appreciate your evaluation of Dr. _____ work.

I ask that you provide comments that will assist us in our evaluation of Dr. _____ for such a position. In particular, please comment to the extent possible on (1) the quality and significance of his/her research, (2) the quality and quantity of his/her teaching, and (3) his/her overall stature and influence within his/her professional community.

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

UC Merced encourages its faculty members to consider extensions of the review period under circumstances that could interfere significantly with development of the qualifications necessary for advancement. Examples of such circumstances may include the birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment from the basis of your evaluation. Time since appointment is not a factor in this review. Your assistance in this matter would be most appreciated.

It would be most valuable for our evaluation if you could send your evaluation by _____. To facilitate your evaluation, I am enclosing Dr. _____'s curriculum vitae and electronic copies and/or link to Dr. _____'s publications. Your response can be sent via e-mail attachment to: _____@ucmerced.edu with a hard-copy version sent to the following address:

University of California, Merced
Attention: _____
School of _____
P O BOX 2039
Merced, CA 95344

Thank you for your assistance.

Sincerely,

*Should state Step if IV or V but not necessary if below Step IV.

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EXHIBIT B

SAMPLE SOLICITATION LETTER: ASSOCIATE PROFESSOR

Dear Professor _____:

Dr. _____ is being considered for an appointment as Associate Professor in the School of _____, at the University of California, Merced. Appointment to Associate Professor within the UC system includes tenure. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. Reasonable flexibility is used in making personnel judgments, but flexibility does not entail the relaxation of high standards. Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievements, is an indispensable qualification for appointment to tenure positions. I would greatly appreciate your evaluation of Dr. _____'s work.

In asking for your candid review of Dr. _____'s scholarship, we would appreciate an analytical evaluation of his/her specific achievements, the originality of the scholarship, and the influence that scholarship has had on the perspectives and methods within your field. It might also be helpful if you could compare Dr. _____'s research with that of others in the field at a similar stage in their careers. In particular, please comment to the extent possible on (1) the quality and significance of his/her research, (2) the quality and quantity of his/her teaching, and (3) his/her overall stature and influence within his/her professional community.

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

UC Merced encourages its faculty members to consider extensions of the review period under circumstances that could interfere significantly with development of the qualifications necessary for advancement. Examples of such circumstances may include the birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment from the basis of your evaluation. Time since appointment is not a factor in this review.

Your assistance in this matter would be most appreciated. It would be most valuable for our evaluation if you could send your evaluation by _____. To facilitate your evaluation, I am enclosing Dr. _____'s curriculum vitae and electronic copies and/or link to Dr. _____'s publications. Your response can be sent via e-mail attachment to: _____@ucmerced.edu with a hard-copy version sent to the following address:

University of California, Merced
Attention: _____
School of _____
P O BOX 2039
Merced, CA 95344

Thank you for your assistance.

Sincerely,

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EXHIBIT C

SAMPLE SOLICITATION LETTER: PROFESSOR, STEP I - V

Dear Professor _____:

The School of _____ at the University of California, Merced, is currently considering Dr. _____ for appointment as Professor with tenure. For such appointments, the University of California requires letters of evaluation from experts in the field. I would be very appreciative if you would serve as an external reviewer for Dr. _____'s appointment.

The ranks of Associate Professor and Professor within the UC system are tenured. The record of performance in (a) teaching, (b) research or other creative work, (c) professional activity, and (d) University and public service is carefully assessed. A candidate for the rank of Professor is expected to have an accomplished record of research that is judged to be excellent by his peers within the larger discipline or field. Superior intellectual attainment as evidenced both in teaching and in research or other creative achievement is an indispensable qualification for appointment to a Professor rank.

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

[UC Merced encourages its faculty members to consider extensions of the review period under circumstances that could interfere significantly with development of the qualifications necessary for advancement. Examples of such circumstances may include the birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment from the basis of your evaluation. Time since appointment is not a factor in this review.](#)

Your assistance in this matter would be most appreciated. It would be most valuable for our evaluation if you could send your evaluation by _____. To facilitate your evaluation, I am enclosing Dr. _____'s curriculum vitae and electronic copies and/or link to Dr. _____'s publications. Your response can be sent via e-mail attachment to: _____@ucmerced.edu with a hard-copy version sent to the following address:

University of California, Merced
Attention: _____
School of _____
P O BOX 2039
Merced, CA 95344

Thank you for your assistance.

Sincerely,

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EXHIBIT D

SAMPLE SOLICITATION LETTER: PROFESSOR, STEP VI

Dear Professor _____:

The School of _____ at the University of California, Merced, is proposing the appointment of Dr. _____ as Professor, Step **VI**. The University of California salary scale for full professor appointments has nine steps. Steps VI to IX are reserved for Professors of great scholarly distinction, whose work is nationally or internationally recognized and acclaimed and whose teaching performance is excellent. Recommendations for appointment at this level must be supported by external letters from leading scientists. We would greatly appreciate your evaluation of Dr. _____'s scholarship work and his/her position in the field of _____.

In asking for your candid review of Dr. _____'s scholarship, we would appreciate an analytical evaluation of his/her specific achievements, the originality of the scholarship, and the influence that scholarship has had on the perspectives and methods within your field. It might also be helpful if you could compare him/her with other scientists of comparable stature.

Any information you could provide about Dr. _____'s performance as an undergraduate instructor and/or as a supervisor and mentor of graduate students would be most helpful. Similarly, we would appreciate any comments you might have on his/her service contributions to his/her professional field (e.g., reviewing of papers, conference activities, or promotion of collegial sharing among his/her peers).

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

[UC Merced encourages its faculty members to consider extensions of the review period under circumstances that could interfere significantly with development of the qualifications necessary for advancement. Examples of such circumstances may include the birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment from the basis of your evaluation. Time since appointment is not a factor in this review.](#)

Your assistance in this matter would be most appreciated. It would be most valuable for our evaluation if you could send your evaluation by _____. To facilitate your evaluation, I am enclosing Dr. _____'s curriculum vitae and electronic copies and/or link to Dr. _____'s publications. Your response can be sent via e-mail attachment to: _____@ucmerced.edu with a hard-copy version sent to the following address:

University of California, Merced
Attention: _____
School of _____
P O BOX 2039
Merced, CA 95344

Thank you for your assistance.

Sincerely,

Elizabeth Soria 3/10/14 12:19 PM

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EXHIBIT E

SAMPLE SOLICITATION LETTER: PROFESSOR, ABOVE SCALE

Dear Professor _____:

The School of _____ at the University of California, Merced, is proposing the appointment of Dr. _____ as Professor, Above Scale. This designation is reserved for scholars of the highest distinction whose work is internationally recognized and acclaimed and whose teaching performance is excellent. Recommendations for appointment at this level must be supported by external letters from leading scientists. We would greatly appreciate your evaluation of Dr. _____'s scientific work and his/her position in the field of _____.

In asking for your candid review of Dr. _____'s scholarship, we would appreciate an analytical evaluation of his/her specific achievements, the originality of the scholarship, and the influence that scholarship has had on the field. It might also be helpful if you could compare him/her with other scientists of comparable stature.

Any information you could provide about Dr. _____'s performance as an undergraduate instructor and/or as a supervisor and mentor of graduate students would be most helpful. Similarly, we would appreciate any comments you might have on his/her service contributions to his/her professional field (e.g., reviewing of papers, conference activities, or promotion of collegial sharing among his/her peers).

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

UC Merced encourages its faculty members to consider extensions of the review period under circumstances that could interfere significantly with development of the qualifications necessary for advancement. Examples of such circumstances may include the birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment from the basis of your evaluation. Time since appointment is not a factor in this review.

Your assistance in this matter would be most appreciated. It would be most valuable for our evaluation if you could send your evaluation by _____. To facilitate your evaluation, I am enclosing Dr. _____'s curriculum vitae and electronic copies and/or link to Dr. _____'s publications. Your response can be sent via e-mail attachment to: _____@ucmerced.edu with a hard-copy version sent to the following address:

University of California, Merced
Attention: _____
School of _____
P O BOX 2039
Merced, CA 95344

Thank you for your assistance.

Sincerely, _____

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UCM Career Equity Review Authorization Form

The Career Equity Review (CER) provides the opportunity to pay special attention to equity in relation to the standards in the discipline and to determine if current placement on the academic ladder is consistent with the application of those standards as they relate to rank and step.

If you wish to request a Career Equity Review, complete this form and submit it to your Unit Chair or to your Dean. Please include a statement that indicates how and why you believe your current rank and/or step may have been undervalued and may warrant recalibration. Also, indicate the rank and or step for which you wish to be considered.

Name: _____ Unit/School: _____

I wish to request a Career Equity Review by my Unit.

- OR -

I wish to request that the Dean's Office initiate a Career Equity review and designate a confidential *ad hoc* committee to provide an analysis and recommendation to me on whether to proceed with the CER. I understand that a positive outcome will be forwarded to my Unit for consideration under the regular Career Equity Review process. The Dean will hold any regular review that is submitted by the unit until completion of the Dean's *ad hoc* committee review. The Dean will forward a redacted copy of the *ad hoc* committee recommendation to me and I will have 10 working days to continue the CER portion of the review.

- AND -

I hereby give permission to my Unit and other review levels to examine my previous academic personnel review files for the purposes of this Career Equity Review.

I have attached a Self-Statement identifying areas of my record that should be evaluated. I understand that this statement will become part of the review file.

Signature

Date

Name _____

UC MERCED CAREER EQUITY REVIEW CHECKLIST

Use this checklist when assembling a documentation file for a **Career Equity Review** for a candidate in one of the following Senate series:

Professor Series
Sr./Lecturer with Security of Employment

- A. The original and eight copies of the Career Equity Review file. Each file should include:
 - 1. Signed UCM CER Authorization Form (#XX)
 - 2. Table of Contents
 - 3. Dean's Memo
 - 4. Transmittal Memo with Faculty Vote
 - 5. Case Analysis
 - 6. Self-Statement
 - 7. Bio-bibliography dating up to and including last formal review
- B. Extramural letters (optional if proposed action does not require letters).
 - 1. List of Candidate-Suggested Reviewers
 - 2. Letters from Candidate-Suggested Reviewers
 - 3. List of School-Suggested Reviewers
 - 4. Letters from School-Suggested Reviewers
- C. One copy of the expanded dossier, containing entire record of reviews at UCM, including:
 - 1. CAP Reports
 - 2. Case Analyses
 - 3. Transmittal Memos
- D. Signed Procedural Safeguard Form

Sample Solicitation Letter for Career Equity Review

Dear _____:

The University of California, Merced is conducting a Career Equity Review (CER) of Professor _____. The purpose of the Career Equity Review is to determine the level within the professoriate the Professor _____'s record warrants.

A very critical part of the process is the analysis and evaluation of Professor _____'s scholarly achievement and creative activity by leading professional colleagues in the field. Your contribution and judgment are critical to our ability to maintain the high scholarly standards of the University of California. We in the School of _____ will be most grateful if you will assist us in this important assessment.

Professor _____ is currently at Step _____ of the Rank of _____. This review is to assess whether Professor _____ should in fact be at rank _____ Step _____.

Your assessment of Professor _____'s scholarly achievement and creative activity is critical to our evaluative process. Your response will be most useful to the process if it addresses these matters directly and in analytic detail. We would also appreciate your evaluation of Professor _____'s teaching and service with particular reference to their originality and significance, if you have the basis for such evaluation.

In addition, we would appreciate your comments on Professor _____'s standing within his or her discipline, both nationally and abroad, and on any other aspect of his or her professional competence with which you may be familiar. It would be particularly helpful if you would compare him or her with others in the field.

For your convenience, I am enclosing copies of Professor _____'s complete bibliography and a sample of representative publications.

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

UC Merced encourages its faculty members to consider extensions of the review period under circumstances that could interfere significantly with development of the

qualifications necessary for advancement. Examples of such circumstances may include the birth or adoption of a child, extended illness, care of an ill family member, significant alterations in appointment. Please note that under this policy the overall record of productivity and scholarly attainment form the basis of your evaluation. Time since appointment is not a factor in this review.

Your assistance in providing this analysis will be greatly appreciated.

Sincerely,

UNIVERSITY OF CALIFORNIA, MERCED

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



SANTA BARBARA • SANTA CRUZ

ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION
ANNE KELLEY, CHAIR
amkelley@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95344
(209) 228-4369; fax (209) 228-7955

March 13, 2014

To: Jay Sharping, Chair, Undergraduate Council

From: Anne Kelley, Chair, Committee on Academic Planning and Resource Allocation *Anne Kelley*
(CAPRA)

Re: Request to Review Proposed Public Health Major

At the request of the Undergraduate Council, CAPRA reviewed the SSHA proposal to establish a major in Public Health.

The space and resource implications appear minimal. The Public Health minor already exists and many of the required courses are currently being offered. The proposal shows that the existing faculty (those already here and faculty lines already allocated) are sufficient to offer a basic program with each required course being offered once per year and each elective course at least every other year. The Public Health major would likely draw many of its students from the currently very popular majors of Biological Sciences and Psychology, and moving students from those heavily impacted majors would be helpful in balancing teaching loads across the campus and perhaps reducing the strain on our laboratory facilities. It appears that approval of this major might allow the campus to use its existing space and resources somewhat more efficiently than it currently does.

CAPRA recommends approval of the Public Health major.

cc: CAPRA Members
Fatima Paul, Senate Assistant Director and UGC Analyst



SCHOOL OF SOCIAL SCIENCES, HUMANITIES AND ARTS

UNIVERSITY OF CALIFORNIA, MERCED
5200 N. Lake Rd. Building A
MERCED, CA 95343
(209) 228-SSHA
FAX (209) 228-4007

February 28, 2014

To: Undergraduate Council

Re: Major in Public Health Proposal

On February 5, 2014, the School of Social Sciences, Humanities and Arts Curriculum Committee unanimously voted to approve the *Major in Public Health* proposal.

On February 26, 2014, the voting period to consider the *Major in Public Health* concluded with the proposal being approved by the SSHA faculty. Therefore, on behalf of the School of Social Sciences, Humanities and Arts, I submit to you the *Major in Public Health* proposal (40 votes for; 2 vote against*; 0 abstention; 39 ballots not returned**).

A copy of the *Major in Public Health* proposal is enclosed for your review. We request that the proposal be approved effective Fall 2014. The SSHA assessment specialist supported the faculty efforts in the creation of the PLOs, curriculum map and corresponding multi-year assessment plan, ensuring compliance with campus [guidelines](#).

Thank you for your consideration.

A handwritten signature in black ink, appearing to read 'Mark Aldenderfer'.

Mark Aldenderfer
Dean, SSHA

CC: Sholeh Quinn, Chair, SSHA Curriculum Committee
James Ortez, Assistant Dean, SSHA
Megan Topete, Manager of Instructional Services, SSHA
Morghana Young Alfaro, Manager of Student & Program Assessment

Enclosure

* Reasons for 2 votes against will be sent as an appendix to this packet for UGC members only.

**Faculty were notified that a lack of response would be considered implicit approval.



Jan 27, 2014

To: Sholeh Quinn, SSHA Curriculum Committee

Re: Proposal for a BA in Public Health

Dear Sholeh,

Attached is our proposal to introduce a Major in Public Health beginning in Fall 2014. Also attached is the Transmittal Memo from Jan Wallander (APC of Psychological Sciences) describing the results of the vote.

In developing the proposal, we have been careful to ensure that it could be provided with existing resources. As you will see in the proposal, we outline the faculty who are able to teach each of the required and optional courses. In addition, I have also included (below) our course schedule for the 2014/15 year. We have several new faculty joining us in the coming year, so there are places where we list 'lecturer' but the course will actually be taught by ladder ranked faculty. The list of courses with instructors is below, with lecturers currently required for PH 100 (Epidemiology, taught currently by Paul Mills at UCSF-Fresno and Derry Ridgway), and Healthcare Ethics (currently taught by Derry Ridgway).

There are also several new courses that are listed, and we will submit the CRFs for those in the next few weeks.

Thank you again for considering this and please let me know if you would like any additional information.

Paul Brown
On behalf of the Public Health Advisory Committee

cc. Megan Topete, James Ortez

	Course	Instructor	Title
Fall	Ph 01	PS1	Introduction to Public Health
	PH 05	Gonzalez	Global and International Public Health
	PH 100	Ridgway	Epidemiology
	PH 102	PS1	Health promotion and behavior
	PH 110	Cisneros	Environmental Health
	PH 115	Cisneros	Research Methods: GIS
	New Course	Gonzalez	Latino/a Health
	PH 104	Ramirez	Health and the Media
	New Course	Joyce	Insects and Public Health
	PH 108	Brown	Health care in the SJV
	New Course	Wooding	Public Health Genetics
Spring	PH 01	Cisneros	Introduction to Public Health
	PH 100	Mills	Epidemiology
	PH 103	Ramirez	Health Communication
	PH 111	Gonzalez	Research Methods: Social Epi
	New Course	Wooding	Public Health Research Internship
	PH 185	Ridgway	Healthcare Ethics
	PH 105	Brown	Introduction to the US Healthcare system
	New course	Brown	Research methods
	New Course	Joyce	Insects and Public Health

PS1 = Prevention Sciences hire



**JAN L. WALLANDER, PH.D.,
PROFESSOR AND CHAIR OF PSYCHOLOGICAL SCIENCES**

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<http://faculty1.ucmerced.edu/jwallander/>
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5200 NORTH LAKE RD
MERCED, CA 95343

(209) 756-5731
FAX (209) 724-4424

12 February 2014

RE: Vote to recommend proposal for public health B.A.

The proposal for public health B.A. was discussed in a faculty meeting on 22 Jan 2014 followed by an email vote submitted to the Chair. From the 16 eligible faculty in the bylaw unit of Psychological Sciences, containing the faculty affiliated with Public Health, the vote as of 27 Jan 2014 was:

15 Yes, in favor
0 No
1 Unreturned

Sincerely,

A handwritten signature in blue ink, appearing to read "Jan L. Wallander".

Jan L. Wallander, PhD

Professor and Chair of Psychological Sciences
University of California, Merced

Mailing Address: 5200 North Lake Rd, Merced, CA 95343

Physical/Delivery Address: 317 COB, UC Merced, 5200 North Lake Rd., Merced, CA 95343

Proposal for a Public Health B.A.

1. Program Description and Rationale

Public Health is the science of protecting and improving the health of the public through education, promotion of healthy lifestyles, and research regarding disease- and injury-prevention. Public Health professionals analyze the effects of genetics, personal choice and environmental forces in order to track the spread of diseases, understand health-related behaviors, and develop programs and policies that protect the health of families and communities. ¹ Overall, Public Health is concerned with protecting the health of entire populations, from those as small as a local neighborhood to those as large as an entire country or region of the world.

Broadly speaking, the mission of Public Health is to assure people can be healthy in society. Whereas medicine is concerned with understanding individual causes and treatments of diseases and illnesses, Public Health focuses on the community and the health of the population. This means assessing the population's health, understanding the causes and determinants of health challenges and problems and identifying ways to improve the population's health. In some cases, this might mean working to help people gain access to existing medical services, while in other cases it might require introducing population-wide interventions.

Because Public Health is a broad, interdisciplinary field, knowledge of Public Health includes:

- the tools needed to understand the basic science of Public Health,
- familiarity with the biomedical basis of Public Health, (including disease transmission and containment),
- the societal determinants of health and why health and healthcare disparities arise,
- how the environment affects health,
- the role of the medical system in population health,
- population-level interventions aimed at improving health,
- the role of health communication and promotion in improving the population's health, and
- the challenges faced by Public Health officials in the United States, including disaster preparedness.

As a result, Public Health training at the undergraduate level prepares students not only for careers in the field of healthcare and health sciences, but provides students with transferable skill sets that can be taken into other areas like public policy, education, and the general business setting. Public health practitioners are active in a wide variety of settings from healthcare facilities, to government agencies, to non-governmental organizations and for-profit industries. Public health practitioners inform the practices of a wide variety of organizations, and their involvement ranges from developing wellness and ergonomic programs for corporations to developing, implementing, and analyzing the effects public health regulations such as calorie labeling regulations.

¹ www.whatispublichealth.org/what/index.html

Faculty and Growth of Public Health Programming:

1.1 A public health major: Allowing students to make a difference in the San Joaquin Valley while at UC Merced

An undergraduate major in Public Health would benefit the students, the University as a whole, and the communities of the San Joaquin Valley. Since its introduction in 2010, the Minor in Public Health has proven to be extremely popular with students, rising to become the 7th most popular minor at UC Merced. Public Health courses have not only allowed students to develop a theoretical and scientific background to become public health practitioners, but they have focused on teaching students to do public health-related research on health issues in the SJV (many of our courses ask students to examine public health-related SJV issues) and allow students to get hands-on practical experience in direct public health research (e.g., PH 181: Public Health Research). As a result, adding a Public Health major is a natural step to meeting the demand for public health training from not only students and regional public health departments.

As described below, our course of study will provide students with courses in the 5 core areas of Public Health (epidemiology, statistics, health services research, social and behavioral science, and environmental health), with a specific focus in the BA degree on health promotion/health communication and health services research. A companion degree, a BS in Public Health, will be submitted through the Natural Science faculty and will include the core elements of Public Health described above, but aimed at students with an interest in the natural sciences, particularly infectious disease and Public Health genetics.

A Public Health course of study would help fulfill the University's mission of providing interdisciplinary research and courses of study that connect academic disciplines and addresses issues in the San Joaquin Valley. Public Health is an interdisciplinary course of study, with researchers and teachers from a variety of disciplines collaborating to address problems relevant to the region, the state and the larger society. As such, Public Health is consistent with the mission of the university.

Finally, through our research and training of students, Public Health can help to address some of the most significant challenges facing the people of the San Joaquin Valley. One of the major challenges is the high prevalence of most major health conditions (e.g., heart disease, diabetes, asthma, alcohol and drug abuse) and challenges experienced by specific populations defined by socioeconomic, cultural, and linguistic characteristics. A public health curriculum that focuses on the issues of the people of the region will help ensure that a large portion of our college graduates are knowledgeable about and interested in addressing health problems in the region, either professionally or as citizens.

The Public Health major's contribution to the region will be enhanced by our requirement that students engage in either a project with a researcher or a community organization (our service learning requirement). Students will be given the opportunity for service learning via participation in research or an internship with a local health provider. Researchers at UC Merced as well as a number of public, non-profit and private health organizations in the Merced region have been invited to propose projects that require the type of knowledge and expertise students will have gained through their course of study. The students will work with the researcher or host organization to complete the project within the semester. Thus, the internships will benefit the participating organizations while simultaneously utilizing and expanding the skills of the student.

1.1.1. Guiding factors in developing the major

In developing the Public Health major proposal, we have been influenced by three factors.:

The first are the recommendations from the Association of Schools and Programs in Public Health. The association is in the process of developing standards for accrediting undergraduate Public Health degrees.² Although we are not seeking accreditation at this time, we are mindful to develop our course of study so as to be consistent should we choose to seek accreditation in the future.

The second influence was the undergraduate Public Health programs at other University of California campuses. We have been particularly influenced by the model at UC Berkeley, and have had the opportunity to speak with faculty and administrators associated with that program. Thus, the course of study we present has much in common with their successful program.

Finally, we have been mindful of the need to use existing courses and resources on campus whenever possible. This has been done in part for budgetary reasons (e.g., wanting to make efficient use of existing courses), but also for pedagogical reasons as well: Public Health is, by its nature, an interdisciplinary course of study, and thus it benefits students to be exposed to other students and other approaches to addressing Public Health problems. While the core courses in Public Health are taught by our faculty, we have tried to integrate other perspectives where possible and will continue with this approach as the degree progresses.

1.22 How the program will contribute to undergraduate education at UC Merced

The BA degree in Public Health will be an exciting course of study that will prepare students for careers in Public Health or graduate study in a Master/PhD/DrPH of Public Health program. The major in Public Health will be the only health-related undergraduate BA program. At present, students interested in pursuing careers or further study in health are encouraged to study Human Biology. Although a fine course of study for students with an interest in biology, it is less relevant for students who wish to pursue careers in other health related areas. The proposed BA in Public Health will allow students to focus on a number of areas relevant to Public Health, including health promotion and communication as they relate to the preventive of chronic diseases, environmental health with its concentration on the role the physical environment plays in determining the health of the population and interventions that can reduce the negative impacts on human health, and health services research with its focus on the improving access and quality to health care services while reducing the cost of healthcare.

² <http://www.asph.org/document.cfm?page=857>

1.33 Job market demand, graduate education/professional school prospect for majors and expected student demand

1.33.1 Job market demand and graduate education/professional school prospect for majors

Talks with regional Public Health Departments have indicated that there is a shortage of adequately trained public health professionals and practitioners in the SJV. As a result, our major would provide a pool of trained entry- level public health workers for the region.

Currently, Public Health degrees are filling a growing demand in the healthcare job market demand. At present, the health sector constitutes around 16% of GDP, with the expectation that this will grow to nearly 20% in by 2020.³ Nationwide, the healthcare sector is adding around 20,000 jobs per month, with a large percentage of these in California.⁴ While the largest single category of positions are nurses (at approximately 40% of the workforce, with physicians constituting less than 10%), nearly half of all employment in the health sector are in non-clinical positions.⁵ Many of these were positions were traditionally filled by people with clinical degrees who either came back to study Public Health (e.g., epidemiology or health promotion) or a related discipline (e.g., health management). However, the past 20 years have seen a rapid growth in the training and employment of people from both the social and natural sciences into health care and Public Health. This growth first occurred at the graduate level (Masters of Public Health and PhD in Public Health), but more recently has occurred in undergraduate training. For instance, in 2000, only a handful of universities offered undergraduate degrees in Public Health. As of 2008, nearly 20% of all US universities with Public Health graduate programs had an undergraduate minor in Public Health,⁶ and 10% had an undergraduate major. These numbers have continued to rise since the time of that survey to the point where undergraduate minors in Public Health are now commonplace.

A similar trend has occurred in graduate programs in Public Health. The rise in graduates has been due primarily by an increase in demand for graduates,⁷ making the MPH one of the most attractive courses of study for students interested in finding rewarding careers after graduation. The reasons for this trend are varied, but underlying the growth in non-clinical degrees in healthcare is a realization that the only way to control the cost, improve access, improve quality, and improve the health of the population long term is to focus on prevention of disease and improving the efficiency of our healthcare system. These areas are the focus of Public Health.

1.33.2 Expected student demand

Projecting student enrollment for a new major is an inexact science, but we would note since its introduction in 2010, the Minor in Public Health has proven to be extremely popular with students, rising to become the 7th most popular minor at UC Merced. To gauge the level of interest in UC Merced offering PH as a undergraduate Major and as a Graduate Degree, we polled 150 Social Science and Natural Sciences students who were taking their first Public Health course (e.g., none had taken any Public Health courses), asking them to indicate their interest in pursuing a Minor in PH, a Major in PH, and/or a Graduate Degree PH. As shown in the table below, there

³ <http://www.bloomberg.com/news/2012-06-13/health-care-spending-to-reach-20-of-u-s-economy-by-2021.html>

⁴ http://www.huffingtonpost.com/2012/12/07/health-care-jobs_n_2257872.html

⁵ <http://www.bls.gov/news.release/pdf/ecopro.pdf>

⁶ http://www.aacu.org/public_health/catalog_scan.cfm

⁷ <http://www.bls.gov/ooh/community-and-social-service/health-educators.htm>

is a high level of interest in the Minor in PH, but increased interest in having an Undergraduate major and Graduate degree.

Table 1: Interest in Minor, Major and Graduate Study in Public Health

	Minor in Public Health?	Major in Public Health?	Graduate study in Public Health?
Overall	58%	68%	71%
Social Science	54%	61%	67%
Natural Science	69%	90%	83%

Though the demand is particularly high among Natural Science students, it was also high among social science students as well. Given that the students were taking their first Public Health course, it suggests that student demand is likely to be robust.

The students were also asked to indicate their level of interest in different areas of graduate study. As shown below, students expressed a high level of interest in each of the four areas polled, with Natural Science students showing a particular interest in Environmental Health. However, interest was high in all areas of Public Health.

Table 2: Interest in Graduate Study in Public Health

	Health promotion /communication	Epidemiology	Environmental Health	Health policy
Overall	88%	82%	90%	83%
Social Science	89%	84%	89%	84%
Natural Science	86%	79%	93%	83%

Finally, we would note the experience of UC Berkeley. Personal communication with the program coordinator and major advisor indicated that the degree has been tremendously popular, to the point where they have capped the number of majors at 300. Anecdotal evidence from other universities around the US suggest a similar level of student demand.

1.44. Relation to existing undergraduate programs/B.A.s

1.44.1 Relation to existing programs at UC Merced

Because BA in Public Health will be the only health-related BA on campus, it will not be in direct conflict with any other undergraduate major.

1.44.2 Relation to programs at other UC campuses

The UC Campuses offer the following training in Public Health:

- UCLA
 - Graduate - MPH and PhD in Public Health
 - Undergraduate - Minor in Public Health; only 25 slots per year are available each year.
- UC Irvine

- Graduate - MPH and PhD in Public Health
- Undergraduate - Minor in Public Health, a BA in Public Health Policy, and a BS in Public Health Sciences.
- UC San Diego
 - Graduate - MPH and PhD in Public Health in conjunction with San Diego State University
 - Undergraduate - BS in Public Health.
- UC Riverside
 - Graduate - MPH and PhD in Public Health
 - Undergraduate - No undergraduate program in Public Health.
- UCSF
 - Graduate - No graduate program in Public Health
 - Undergraduate - No undergraduate program in Public Health
- UC Santa Barbara
 - Graduate - No program in Public Health
 - Undergraduate - No undergraduate program in Public Health
- UC Santa Cruz
 - Graduate - No program in Public Health
 - Undergraduate - No undergraduate program in Public Health
- UC Davis
 - Graduate - MPH and PhD in Public Health
 - Undergraduate - Undergraduate courses in Public Health, but no formal program
- UC Berkeley
 - Graduate - MPH and PhD in Public Health
 - Undergraduate - Minor in Public Health, a BA in Public Health Policy, and a BS in Public Health Sciences.

Note that UC Berkeley's enrolment is capped at 300 due to a high demand among undergraduates, and UCLA has capped enrolments as well.

1.55. Availability of suitable preparatory courses at community colleges.

Transfer students who wish to major in Public Health should complete the Intersegmental General Education Transfer Curriculum (IGETC) at their community college. In addition, students should complete at least one full-year UC-transferable introductory course sequence selected from their intended concentration as well as introductory courses in anthropology, art history, economics, history, political science and/or sociology.

2. Program Requirements (See Appendix A for course descriptions)

2.1 Lower division and upper division course requirements

- **Requirements (56 units in all):**

A. Lower-division courses: (16 units)

1. PH 001: Introduction to Public Health
2. BIO 003: Molecular basis for health and disease,
3. Statistics course: MATH 18 or PSY 10
4. PH 005: Global and International Public Health

B. Upper-division courses: (24 units)

1. PH 100: Introduction to epidemiology
2. PH 102: Health promotion and behavior
3. PH 103: Health communication
4. PH 105: Introduction to the US Healthcare System
5. PH 110: Environmental Health
6. Research methods for Public Health (1 course)
 - a. PH 111: Social epidemiology
 - b. PH 112: Health services research
 - c. PH 115: GIS Mapping

C. Service/Research requirement (8 units)

1. PH 108: Introduction to healthcare in the San Joaquin Valley
2. PH 181: Public Health research

D. Two Electives (8 units)*:

1. PH 104: Health and the media
2. PH 113: Latino and immigrant health
3. PH 125: Emerging Public Health threats
4. PH 135: Public Health genetics
5. PH 137: Insects and Public Health
6. PSY 124: Health disparities
7. PSY 147: Health psychology
8. PH 185: Healthcare ethics
9. ANTH 120: Introduction to Medical Anthropology
10. ANTH 121: Ethnomedicine
11. BIO 010: Genetics, Stem Cells and Development
12. BIO 060: Nutrition
13. BIO 140: Genetics
14. BIO 161: Human Physiology
15. ECON 145: Health Economics

*(Please Consult a SSHA Advisor, the SSHA Advising website (ssha-advising.ucmerced.edu) or [MyAudit](#) for the most updated list.)

Total: 56 Units

2.2 Program Learning Goals and Outcomes

2.2.1 Program learning goals

The Public Health major learning outcomes illustrate the ideals that the faculty members will work towards to support students' academic experience at UC Merced. Faculty will strive to realize the following goals:

1. Expose students to the theories and principles of Public Health to explore to a new Public Health problem.
2. Develop students' scientific literacy to assess complex Public Health challenges with special consideration of strategies for health promotion at the individual, community, and policy levels as appropriate.
3. Engage students with assignments that include rigorous research on contemporary Public Health challenges.
4. Support students in effectively and persuasively, orally and in writing, communicating complex concepts and information in a clear and concise manner.
5. Expose students to causes and risk factors in the major areas of focus in Public Health including but not limited to determinants of mortality and morbidity; leading causes of health disparities among regional, national, and global populations; and, transmission for infectious and chronic diseases.
6. Explore with students the roles and responsibilities of government, non-governmental organizations, and private citizens in maintaining Public Health.

2.2.2 Program learning outcomes and how course requirements address intended learning outcomes

The outcomes make explicit the learning goals (above) for all audiences; they communicate the specific skills and knowledge-base that students will demonstrate upon completion of the major in Public Health. Students who complete the major in Public Health will be able to:

1. Define public health and describe the roles and responsibilities of government, non-governmental organizations, and private citizens in maintaining public health.
2. Use the theories and principles of Public Health to explain a Public Health problem.
3. Apply public health research methods to conduct rigorous research on public health issues.
4. Describe causes and risk factors in the major areas of focus in public health, including but not limited to determinants of mortality and morbidity; leading causes of health disparities among regional, national, and global populations; and transmission for infectious and chronic diseases.
5. Identify and analyze scientific data and other information to assess complex Public Health challenges, with special consideration of strategies for health promotion at the individual, community, and policy levels, as appropriate.
6. Communicate effectively and persuasively, orally and in writing, particularly to convey complex concepts and information in a clear and concise manner.

2.2.3 Goals across coursework, PLOs, SSHA, and UC Merced

In the Curriculum Chart below, we note that in many of the Public Health courses, all of the PLOs are addressed to great extent. The following Curriculum Chart illustrates the relationship between

PLOs and program courses (I=Introduction, D=Develop, M=Mastery at a level appropriate for graduation from the major program).

Courses	Program Learning Outcomes					
	1	2	3	4	5	6
PH 01	I	I	I	I	I	I
PH 05	I	I	I	I	I	I
PH 100	D	D,M	D,M	D,M	D,M	I
PH 102	D,M	D,M	D	D,M	D,M	D,M
PH 103	D,M	D,M	I	I	D,M	D,M
PH 105	D,M	D,M	D	D,M	D,M	D
PH 110	D,M	D,M	D	D,M	D,M	D
PH 111	D	D	D,M	D,M	D,M	D
PH 112	D	D	D,M	D	D,M	D
PH 115	D	D	D,M	D	D,M	D
PH 108	D,M	D	D	D,M	D	D,M
PH 181	M	M	M	M	M	D,M

The Public Health PLOs align with the goals of the University of California, Merced in several ways. Below we outline how the degree and its PLOs link with each of the *Eight Guiding Principles of General Education*.

Table I: Curriculum Map representing the alignment between the major in Public Health PLOs and the *Eight Guiding Principles of General Education*.

PLOs	Scientific Literacy	Decision Making	Communication	Self & Society	Ethics & Responsibility	Leadership & Teamwork	Aesthetic Understanding Creativity	Development of Personal Potential
1	X	X		X	X	X	X	X
2	X	X	X	X	X			
3	X	X		X	X	X	X	
4	X	X	X	X	X	X		X
5	X	X		X	X			
6	X	X	X	X	X	X	X	X

2.3 Assessment

The Public Health faculty members have developed a full assessment plan that will satisfy the requirements for WASC accreditation. We describe the principal components of the plan below.

2.3.1 *Timeline & Goals*

AY 2014/15: The goal will be to assess PLO#1

Define public health and describe the roles and responsibilities of government, non-governmental organizations, and private citizens in maintaining public health.

AY 2015/16: The goal will be to assess PLO#2

Use the theories and principles of Public Health to explain a Public Health problem.

AY 2016/17: The goal will be to assess PLO#3

Apply public health research methods to conduct rigorous research on public health issues.

AY 2017/18: The goal will be to assess PLO#4

Describe causes and risk factors in the major areas of focus in public health, including but not limited to determinants of mortality and morbidity; leading causes of health disparities among regional, national, and global populations; and transmission for infectious and chronic diseases.

AY 2018/19: The goal will be to assess PLO#5

Identify and analyze scientific data and other information to assess complex Public Health challenges, with special consideration of strategies for health promotion at the individual, community, and policy levels, as appropriate.

AY 2019/20: The goal will be to assess PLO#6

Communicate effectively and persuasively, orally and in writing, particularly to convey complex concepts and information in a clear and concise manner.

2.3.2 *Evidence - how it will be analyzed and how we will use it to improve student learning*

Outcome 1 Define public health and describe the roles and responsibilities of government, non-governmental organizations, and private citizens in maintaining public health.

Direct evidence: In upper division courses where students are expected to demonstrate a mastery of this outcome and where the assessment approach includes multiple choice or essay questions (PH 102,103, 105 and 110), we will include questions that are determined by the faculty to indicate mastery of this outcome. For courses where the assessment approach includes a research paper or report (PH 108 and 181), we will assess by including this dimension as part of their course requirement and the faculty will randomly select and review 10 students reports to assess the extent to which they are demonstrating a mastery of the role of government, non-governmental organizations, and private citizens in maintaining public health

To ensure that all seniors are held to a common set of expectations for executing the PLOs, we will implement the following procedures. First, in those courses where multiple choice and short answer questions are used to collect samples of student performance on a specific PLO, the faculty agree on the set of questions to be used in all of their courses. The questions help to assess students' readiness to perform on the same PLO, and therefore the questions need to be uniformly applied in the target courses.

Second, where student papers are used for evidence, a program-level rubric will be designed for the specific PLO with criteria outlined. The criteria is agreed upon by the faculty and

represents the standards of the program for meeting the PLO. No matter the course, the students (generally seniors) will be expected to perform on the same criteria.

Indirect evidence: Exit interviews for graduating seniors will ask the students to reflect on his/her understanding of the role of government, non-governmental, and private organizations in maintaining public health.

Outcome 2 Use the theories and principles of Public Health to explain a Public Health problem.

Direct evidence: In upper division courses where students are expected to demonstrate a mastery of this outcome and where the assessment approach includes multiple choice or essay questions (PH 100, 102, 103, 105 and 110), we will include questions that determined by the faculty to indicate mastery of this outcome. For courses where the assessment approach includes a research paper or report (PH 108 and 181), we will assess by including this dimension as part of the their course requirement and the faculty will randomly select and review 10 students reports to assess the extent to which they are demonstrating a mastery of theory as it applies to public health.

Indirect evidence: Exit interviews for graduating seniors will ask the student to discuss how theories impact the practice of Public Health and the role that theory is used by government, non-governmental, and private organizations.

Outcome 3 Apply public health research methods to conduct rigorous research on public health issues.

Direct evidence: In upper division courses where students are expected to demonstrate a mastery of this outcome and where the assessment approach includes multiple choice or essay questions (PH 100, 111, 112, and 115), we will include questions that determined by the faculty to indicate mastery of this outcome. For courses where the assessment approach includes a research paper or report (PH 181), we will assess by including this dimension as part of the their course requirement and the faculty will randomly select and review 10 students reports to assess the extent to which they are demonstrating a mastery of public health research methods.

Indirect evidence: Exit interviews for graduate seniors will ask the student to discuss how the different types of research methodologies that are used by government, non-governmental, and private organizations.

Outcome 4 Describe causes and risk factors in the major areas of focus in public health, including but not limited to determinants of mortality and morbidity; leading causes of health disparities among regional, national, and global populations; and transmission for infectious and chronic diseases.

Direct evidence: In upper division courses where students are expected to demonstrate a mastery of this outcome and where the assessment approach includes multiple choice or essay questions (PH 100, 102, 105, 110, and 111), we will include questions that are determined by the faculty to indicate mastery of this outcome. For courses where the assessment approach includes a research paper or report (PH 108 and 181), we will assess by including this dimension as part of the their course requirement and the faculty will randomly select and review 10 students reports to assess the extent to which they are demonstrating a mastery of an understanding of the causes and risk factors of mortality and morbidity.

Indirect evidence: Exit interviews for graduate seniors will ask the student to describe the risk factors and causes of mortality and morbidity in the San Joaquin Valley.

Outcome 5 Identify and analyze scientific data and other information to assess complex Public Health challenges, with special consideration of strategies for health promotion at the individual, community, and policy levels, as appropriate.

Direct evidence: In upper division courses where students are expected to demonstrate a mastery of this outcome and where the assessment approach includes multiple choice or essay questions (PH 100, 102, 103, 105, 110, 111, 112, and 115), we will include questions that determined by the faculty to indicate mastery of this outcome. For courses where the assessment approach includes a research paper or report (PH 108 181), we will assess by including this dimension as part of the their course requirement and the faculty will randomly select and review 10 students reports to assess the extent to which they are demonstrating a mastery of this outcome.

Indirect evidence: Exit interviews for graduate seniors will ask how government, non-governmental, and private organizations in the SJV should use scientific data and other information to assess complex Public Health challenges.

Outcome 6 Communicate effectively and persuasively, orally and in writing, particularly to convey complex concepts and information in a clear and concise manner.

Direct evidence: In upper division courses where students are expected to demonstrate a mastery of this outcome and where the assessment approach includes multiple choice or essay questions (PH 100, 102 and 103), we will include questions that determined by the faculty to indicate mastery of this outcome. For courses where the assessment approach includes a research paper or report (PH 108 181), we will assess by including this dimension as part of the their course requirement and the faculty will randomly select and review 10 students reports to assess the extent to which they are demonstrating a mastery of this outcome. In addition, PH 181 will require the students to develop and present a research presentation to the faculty.

Indirect evidence: Exit interviews for graduate seniors will assess the extent to which they feel they were given the opportunity to develop written and oral communication skills.

2.3.3 *Analysis and participants*

Evidence will be collected as detailed in Part D by instructors and the *SATAL* program. Data will be analyzed by instructors, program coordinator, and the Program Assessment Committee. Findings will be disseminated to all instructors teaching courses that are part of the major curriculum. Discussions about potential revision of the curriculum and/or PLOs will involve all faculty with an interest in this major.

Assessment Plan Activity	Who
Evidence collection	Faculty Accreditation Officer (FAO) and at least one additional faculty member (rotates depending on which course[s] are included in the assessment plan)
Data entry	Faculty and SSHA Staff
Data analysis	FAO
Dissemination of results	FAO will distribute to all instructional staff (faculty, lecturers, TAs)
Implementation of findings to improve student learning	All faculty

2.3.4 *Use of findings*

These findings for the PH minor have been used to improve student learning in several ways and we will continue in this tradition for the assessment of the major. First, we will disseminate findings to all instructional staff, including faculty, lecturers, and teaching assistants so that they can identify areas of strength and weakness. Second, all faculty will participate in a discussion at least once a year about whether the results from the assessment suggest ways in which we may be able to improve our curriculum, alter the curriculum content, enhance students' skill development, or change our pedagogy. Third, we will share the results with students via the website and in informal gatherings.

2.4 Sample plan of study for a BA degree in Public Health

SEMESTER 1

PH 01	Introduction to Public Health	4
Statistics	MATH 18	4
	CORE 1	4
	Optional Course	4
Semester units		16

SEMESTER 2

PH 05	Global and International Public Health	4
WRI 10		4
Bio 003	Molecular Basis of Health and Disease	4
	Elective	4
Semester units		16

SEMESTER 3

PH 100	Epidemiology	4
PH 112	Research Methods: Health Services Research	4
PH 102	Health promotion	4
	Upper Division General Education 1	4
Semester units		16

SEMESTER 4

CORE 100	The World at Home	4
PH 105	Introduction to the US Healthcare system	4
	Upper Division General Education 2	4
	Elective	4
Semester units		16

SEMESTER 5

PH 103	Health communication	4
PH 110	Environmental Health	4

	Humanities General Education PH Elective 1	4
Semester units		16
SEMESTER 6		
	PH elective 2	4
	Social Science General elective	4
	Elective	4
	Elective	4
Semester units		16
SEMESTER 7		
PH 108	Introduction to healthcare	4
	Upper Division General Education 3	4
	Elective	4
	Elective	4
Semester units		16
SEMESTER 8		
PH 181	Public Health research	4
SPAN 141	Upper Division General Education 4	4
	Elective	4
	Elective	4
Semester units		16
Total Program Units		128

2.5 Catalog Description

Public Health Major
School of Social Sciences, Humanities and Arts

Public Health aims to promote health, prevent disease, prolong life and improve quality of life through organized efforts of society. Focusing on the health and wellbeing of populations, Public Health complements medicine’s concern for individuals with diseases. Through activities ranging from basic research, to frontline efforts such as vaccination programs, promotion of healthy lifestyles and environments, disease control, and leadership on health policy formation, Public Health issues and outcomes touch the lives of people throughout the world. Public Health is an interdisciplinary field drawing on the natural and social sciences as well as the humanities. One of the most important themes in Public Health is the disparities in health observed in different groups, for example related to economic resources and race/ethnicity, which is a focus in this curriculum.

3. Accreditation

The Public Health major will be subject to WASC substantive change review. The application will be developed in a timely manner.

4. Resource Needs and Plan for Providing Them

4.1 Faculty

As of AY 2013-2014, the Public Health faculty consists of four full-time ladder-ranked faculty members (Prof. Paul Brown, Assistant Professor Susana Ramirez, Assistant Professor Ricardo Cisneros, and Assistant Professor Mariaelena Gonzalez), and one half-time ladder ranked faculty member (Assistant Professor Andrea Joyce). In addition, two new full-time ladder-ranked faculty members are expected to join UC Merced in Fall 2014 (Steven Wooding, Public Health Genetics, and a new hire in Prevention Sciences).

In addition, Public Health is supported by a larger, interdisciplinary group of faculty. The Public Health Advisory Committee consists of:

UC Merced

Paul Brown (Chair)	Public Health
Ricardo Cisneros	Public Health
Susana Ramirez	Public Health
Mariaelena Gonzalez	Public Health
Andrea Joyce	Public Health
Jan Wallander	Health Psychology
Anna Song	Health Psychology
Linda Cameron	Health Psychology
Deb Wiebe	Health Psychology
Zulema Valdez	Sociology
David Ojcius	Natural Sciences
Jinah Choi	Natural Sciences
Rudy Ortiz	Natural Sciences
Macros Garcia-Ojeda	Natural Sciences
Miriam Barlow	Natural Sciences
Steve Roussos	Blum Center and HSRI
Derry Ridgway	Medical Education

External Advisors

Paul Mills	UCSF – Fresno
Nancy Young	Community government
Kathleen Grassi	Merced Country Department of Public Health
Erica Robbins	Pre-Health Advisor (Natural Sciences)
Alisha Kimble	Public Health Minor Advisor (SSHA)

We are currently in the process of applying to become a Bylaw Unit, with members having either full or partial appointments in Public Health.

4.1.1 Teaching rotation

The teaching rotation below allows us to offer all of the required courses every year and most of our elective upper division courses every two years. In the event that a faculty member takes a

leave of absence, has a course release, or teaches a graduate course, the repeat courses may be dropped or taught by a Lecturer. In the chart below, the primary person responsible for course teaching and content is given by 'P,' and others with the expertise to teach the course (secondary) are indicated by 'S.'

	<u>Paul Brown</u>	<u>Ricardo Cisneros</u>	<u>Susana Ramirez</u>	<u>Mariaelena Gonzalez</u>	<u>Steve Wooding</u>	<u>Andrea Joyce</u>	<u>Prevention Sciences</u>	<u>Lecturer</u>
<u>LOWER DIVISION</u> <i>(Required)</i>								
PH 01: Introduction to Public Health	S	P	S	S	S	S	S	S
BIO 003: Molecular Basis of Health and Disease	NATURAL SCIENCE FACULTY							
Statistics Course: MATH 18 or PSY 10	NATURAL SCIENCE FAULTY/SSHA FACULTY							
PH 05 Global Public Health	S	S	S	S			P	S
<u>UPPER DIVISION</u> <i>(Required)</i>								
PH 100: Introduction to Epidemiology				S			P	S
PH 102: Health behavior and promotion			P				S	S
PH 103 Health communication			P				S	S
PH 105: Introduction to US Healthcare System	P			S				S
PH 111 Environmental Health		P						S
Research Methods								
• PH 111 Social Epidemiology	S		S	P			S	S
• PH 112 Health services research	P			S			S	S
• PH 115 GIS Mapping		P						
PH 108: Introduction to Health Care	S	S	S	S	S	P	S	S
PH 181: Public Health Research	S	S	S	S	P	S	S	S

	<u>Paul Brown</u>	<u>Ricardo Cisneros</u>	<u>Susana Ramirez</u>	<u>Mariaelena Gonzalez</u>	<u>Steve Wooding</u>	<u>Andrea Joyce</u>	<u>Prevention Sciences</u>	<u>Lecturer</u>
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<u><i>ELECTIVE COURSES</i></u>								
PH 104: Health and the media			P					
PH 113: Latino and immigrant health			P	P				
PH 125: Public Health Threats								P
PH 135: Public Health genetics					P			
PH 137: Insects and Public Health						P		
PH 185 Health care ethics								P
ANTH 120: Intro to Medical Anthropology	SSHA FACULTY							
PSY 124: Health disparities	SSHA FACULTY							
PSY 147: Health psychology	SSHA FACULTY							
ANTH 121: Ethnomedicine	SSHA FACULTY							
BIO 010: Genetics, Stem Cells and Development	NATURAL SCIENCE FACULTY							
BIO 060: Nutrition	NATURAL SCIENCE FACULTY							
BIO 140: Genetics	NATURAL SCIENCE FACULTY							
BIO 161: Human Physiology	NATURAL SCIENCE FACULTY							
ECON 145: Health Economics	SSHA FACULTY							

4.2 Needs for specialized staff (FTE)

The present number of faculty is sufficient to teach the requirements for the major in Public Health. In addition, lecturers are readily available in the San Joaquin Valley with expertise in specific areas, such as epidemiology, health promotion, and health systems. Additional hires will target specific areas of expertise, including epidemiology, health policy, and health communications and promotion.

4.3 Specialized space needed

The major in Public Health does not need specialized space.

4.4 Library resources

The interlibrary loan system will facilitate students and faculty the needed materials for teaching, learning, and research that the UC Merced library may lack.

5. Potential for Non-Majors to Participate

There are many opportunities for non-majors to participate in the Public Health program. Several of our introductory classes, such as PH 05 Global Public Health, are listed as general education classes and we are currently requesting that PH 01 and PH 05 be categorized as GE classes. We are also in the process of cross-listing classes, for example, Social Epidemiology (PH 111) will be cross-listed with the Genders Studies minor, if it is approved, and Latino and Immigrant Health (PH 113) will be cross-listed with the Chicana/o and Latina/o Studies Program. . We are also in the process of starting an undergraduate Public Health Association, which will be open to all students on campus, and PH 181: Public Health Research (in which students sign up to work with individual faculty or conduct public health- related internships in the community) will be open to non-majors. The inherent interdisciplinary nature of Public Health will create a vibrant and interesting venue for students from across campus to interact and work together to improve their community.

6. Timetable for Implementation

Current staffing and resources are adequate to service the Public Health major. We propose implementation of the major in Fall 2014. The following list outlines the implementation plan per grade level:

Students with Freshman, Sophomore, or Junior standing as of Fall 2014 would be allowed to change their major to a Public Health Major, per the UC Merced Change of Major Policy.

Students with Senior standing as of Fall 2014 will not be able to declare Public Health as a major.

Transfer students will not be allowed to enter the program until Fall 2016 or later, after we have worked with the Admissions, Academic Advising, and other UC Merced departments to determine how to set the criteria for transferring into UC Merced with a Public Health Major.

APPENDIX A: Course description

PH 001: Introduction to Public Health

Provides students with an introduction to Public Health, including i) scientific tools, ii) biomedical basis, iii) societal determinants of health, iv) environmental health, iv) role of the medical care system, v) population level interventions, vi) health communication and promotion, and vii) challenges facing Public Health.

BIO 003: Molecular basis for health and disease

Introduction to the molecular basis of a number of human diseases and molecular-based therapies for disease treatment.

MATH 018: Statistics for Scientific Data Analysis

Analytical and computational methods for statistical analysis of data. Descriptive statistics, graphical representations of data, correlation, regression, causation, experiment design, introductory probability, random variables, sampling distributions, inference and significance.

Prerequisite: (MATH 005 or MATH 011 or MATH 021 or equivalent score on the math placement exam) and (MATH 015 or CSE 020 or CSE 005 or ENVE 105). Course cannot be taken for credit after successfully completing MATH 032. Normal Letter Grade only. Discussion included.

PSY 010: Analysis of Psychological Data

Design and analysis of psychological research including experimental design, correlational research, and descriptive and inferential statistics. Students in the Psychology major or minor must take this course before taking any upper division Psychology courses.

Prerequisite: COGS 001 or PSY 001 Laboratory included.

PH 005: Global and International Public Health

Will provide an overview of the dynamic factors that produce global health challenges, including demographic changes, conflict, human rights abuses, migration, travel, food production and distribution, water resources, and market forces and economic factors. We will also examine their responsibilities towards global health as global citizens.

PH 100: Introduction to epidemiology

Concentrates on the non-random distribution of disease in human populations and demonstrate how disparities in human culture and behavior are related differences in disease risk by characteristics person, place and time. Patterns of disease will be examine from the agent-host-environment paradigm.

Prerequisite: Sophomore standing. Normal Letter Grade only.

PH 102: Health promotion and behavior

Health promotion is the process of enabling people to increase control over, and to improve, their health. This course provides students with an overview of the principles of

health promotion and various theories developed to change health behavior and promote the health of individuals and societies.

Prerequisite: [PH 001](#) or [PH 100](#) or [PH 102](#) or consent of instructor. *Normal Letter Grade only.*

PH 103: Health communication

Provides students with an introduction to the science and practice of health communication. The course will also describe the essentials for effective health communication and social marketing, reaching target audiences, developing and testing effective messages, and evaluating the impact of a communication campaign.

Prerequisite: [PH 001](#) or [PH 100](#) or [PH 102](#) or consent of instructor. *Normal Letter Grade only.*

PH 105: Introduction to the US Healthcare System

Overview of the US Health Care system. Topics include development and organization of US health system, challenges in California and US, how providers and funders work together, current problems, previous attempts to improve coverage and access to health care, and health care in other countries compared to the US.

Prerequisite: [PH 001](#) or [PH 100](#) or [PH 102](#) or consent of instructor. *Normal Letter Grade only.*

PH 110: Environmental Health

Provides an overview of the principles of Environmental Health with particular emphasis on the interaction between people and the environment, including recognizing, assessing and controlling the impacts of people in their environment while gauging the impacts of the environment on the public.

Prerequisite: [BIO 001](#) or [BIO 003](#) or [PH 001](#) or [PH 100](#) or [PH 105](#). *Normal Letter Grade only.*

PH 111: Research methods: Social epidemiology

Social epidemiology is the branch of epidemiology that explores how social forces affect human health and wellbeing. In particular it asks how social interactions, human activities, social conditions, social problems, and other social arrangements affect determinants of health and yield differential health outcomes. Social epidemiologists are concerned with determining the pathways through which social factors affect health, identifying disease-specific risk factors, and understanding health outcomes and risk factors are arrayed across different social conditions and social systems.

Prerequisite: [PH 001](#) or [PH 100](#) or [PH 105](#). *Normal Letter Grade only.*

PH 112: Research methods: Health services research

This course provides an introduction to research in the health services research and evaluation. The course will include both qualitative and quantitative research methods will be covered, using examples of research across a range of areas in health. Specifically, we will discuss the assumptions underlying research methods, the basic tools for conducting research, how to measure health outcomes, qualitative and

quantitative data collection methods and constructing questionnaires. The last part of the course focuses upon evaluation of health initiatives.

Prerequisite: [PH 001](#) or [PH 100](#) or [PH 105](#). *Normal Letter Grade only.*

PH 115: Research methods: GIS Mapping

Designed to provide students with an overview of the theory and application of Geographic Information Systems (GIS) with particular emphasis on Public Health.

Prerequisite: [PH 001](#) or [PH 100](#) or [PH 105](#). *Normal Letter Grade only.*

PH 108: Introduction to healthcare in the San Joaquin Valley

Provides an overview of the health care work force and current health care issues in the San Joaquin Valley. The course will be appropriate for students considering a career in health care delivery or related professions and for students with an interest in valley residents' health.

Prerequisite: [BIO 001](#) or [BIO 003](#) or [PH 001](#) or [PH 100](#) or [PH 105](#) and consent of instructor. *Normal Letter Grade only.*

PH 181: Public Health research

This course provides students with an opportunity for service learning via participation in research or an internship with a local health provider. Researchers at UC Merced as well as a number of public, non-profit and private health organizations in the Merced region have been invited to propose projects that require the type of knowledge and expertise students will have gained through their course of study. The students will work with the researcher or host organization to complete the project within the semester. Thus, the internships will benefit the participating organizations while simultaneously utilizing and expanding the skills of the student.

Prerequisite: [BIO 001](#) or [BIO 003](#) or [PH 001](#) or [PH 100](#) or [PH 105](#) and consent of instructor. *Normal Letter Grade only.*

PH 104: Health and the media

This course will cover the media's influence on health. Special attention will be paid to how health disparities are covered in the media, and the effects these portrayals might have on minority and majority populations. The course will also cover social media and health.

Prerequisite: [PH 001](#) or consent of instructor. *Normal Letter Grade only.*

PH 113: Latino and immigrant health

This course will focus on Latino health and the effects of immigration on health in the US. We will examine the effects of acculturation on health and shifts in behavioral outcomes between immigrant and second and third (and beyond) generations.

Prerequisite: [PH 001](#) or consent of instructor. *Normal Letter Grade only.*

PH 125: Emerging Public Health threats

A multidisciplinary study of the historical, sociological, medical, and biological issues underlying new Public Health threats and the scientific and policy-based approaches to responding to these new threats.

Prerequisite: [BIO 001](#) or [BIO 003](#) or [BIO 110](#) or [PH 001](#) or [PH 100](#) or [PH 105](#) or [PSY 124](#). *Normal Letter Grade only.*

PH 135: Public Health genetics

PH 137: Insects and Public Health

PSY 124: Health disparities

In this course, we will focus on the differential effect of environmental factors and behavior on human health. In our examination of the determinants of health, we will discuss issues related to ethnic, cultural, and gender psychology, risk behavior, behavioral medicine, psychosocial epidemiology, and policy.

Prerequisite: [PSY 015](#) or [COGS 105](#). *Normal Letter Grade only.*

PSY 147: Health psychology

Introduces students to a breadth of topics in health psychology, behavioral medicine, and Public Health. Particular emphasis is placed on the roles of psychological processes in altering physical and mental health, promoting well-being, preventing illness, and treating disease.

Prerequisite: [PSY 001](#). *Normal Letter Grade only.*

PH 185: Healthcare ethics

Designed to provide students with an overview of health and biomedical ethics. The class will discuss the key moral principles that drive ethical reasoning related to health care, with discussions focusing on ethical concerns encountered by practitioners and researchers in fields of clinical medicine and Public Health.

Prerequisite: [BIO 001](#) or [BIO 003](#) or [PH 001](#) or [PH 105](#) or consent of instructor. *Normal Letter Grade only.*

ANTH 120: Introduction to Medical Anthropology

Provides knowledge about medical anthropology, how different cultures understand human physiology and health, definitions of sickness, types of medical systems and practitioners, how cultural practices affect health, issues in gender environmental health, and how medical anthropology influences health policy.

Prerequisite: [ANTH 001](#) or [ANTH 005](#). Normal Letter Grade only.

ANTH 121: Ethnomedicine

Provides knowledge of medical systems cross culturally including the three ancient literary systems (Chinese, Ayurvedic, Greco-Arabic), shamanism, folk medicine, and biomedicine. Readings focus on the beliefs and organization of each system, types of practitioners, types of sicknesses treated, and how anthropologists research and understand these phenomena.

Prerequisite: [ANTH 001](#) or [ANTH 120](#).

BIO 010: Genetics, Stem Cells and Development

Issues associated with genes, stem cells and embryonic development increasingly impact our lives. Integrates an overview of biologic topics such as genetic testing, stem cells and the use of animal models with their bioethical considerations. It places science in the context of personal decisions and ethics.

BIO 060: Nutrition

Introduction to nutrition science that integrates basic concepts of nutrients, human physiology, microbiology, biochemistry, and the psychology of wellness.

BIO 140: Genetics

Includes concepts of inheritance, structure and function of genes and genomes, recombination, genetic mapping, gene regulation, mutations, and recombinant DNA technology including labs and discussions.

Prerequisite: [BIO 002](#) and ([MATH 012](#) or [MATH 022](#), which may be taken concurrently) and ([MATH 018](#) or [MATH 032](#) or [ENVE 105](#) or [PSY 010](#), which may be taken concurrently) or equivalent course accepted by the Biology major. Normal Letter Grade only. Discussion included.

BIO 161: Human Physiology

Understanding the mechanisms underlying function of major human organs. Emphasis includes neural transmission and action potential, cardiovascular, renal and gastrointestinal physiology, metabolism, and endocrinology. Laboratory experiments demonstrating and reinforcing topics covered in lecture with an emphasis on scientific method.

Prerequisite: Senior standing and [BIO 101](#) and ([PHYS 009](#) or [PHYS 019](#)). Normal Letter Grade only. Laboratory included.

ECON 145: Health Economics

An economic analysis of policies and institutions in the U.S. health care sector: supply and demand for health services, conceptual and policy issues relating to health insurance, and

economic analysis of efficient regulatory policies toward the health care sector.

Prerequisite: ECON 100 or MGMT 100.

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February 5, 2014

To: Ignacio López-Calvo, Chair, Division Council

From: Ruth Mostern, Chair, Committee on Research (COR)

A handwritten signature in black ink, appearing to read "Ruth Mostern", is written over the "From:" line.

Re: Review Process for Research Units

The Senate and the Office of Research have repeatedly noted that there is currently no Senate review process for any research unit on campus. This is significant as the Senate has never been involved in decisions that ultimately pertain to funding for any campus research units. In the spirit of shared governance, the Office of Research has requested improved Senate guidance. COR, in consultation with the Vice Chancellor for Research, Sam Traina, has identified this as a top priority and has prepared a complete set of recommendations about evaluating current research units and approving future research units on campus.

These documents are based on the *Policies and Procedures for Centralized Research Units (CRU)* (approved by GRC on May 20, 2009), the *Compendium: University Review Processes for Academic Programs, Academic Units, & Research Units* (January 2011); and the *UCOP Administrative Policies and Procedures Concerning Organizing Research Units* (effective January 1, 2000). These documents are also based on documents which prior Graduate & Research Councils drafted in past years, but which never went through a full Senate review process. COR hopes that this formal review process will now occur.

This complete set of materials for evaluation and approval of research units consists of four documents: (1) a table outlining different types of research units on campus (multi-campus, organized, centralized research units and core facilities), (2) a flow chart of the processes that proposals for establishing a research unit must go through for campus approval, (3) the review criteria for evaluating such proposals, and (4) the criteria for five-year reviews for existing research units.

With the exception of the fourth document, the review criteria we have proposed are intended for centers and institutes seeking approval for the first time. Starting next year, any persisting or long-term

research unit entity seeking funds from the Office of Research should go through this approval process prior to seeking resources from the Office of Research. We do not include in these documents procedures for research entities that are informal, very short-term groups, or groups within one school that are not requesting funding from the Office of Research. As a separate matter, existing research units must go through a 5-year review, with the year of review starting from the date of inception of the unit.

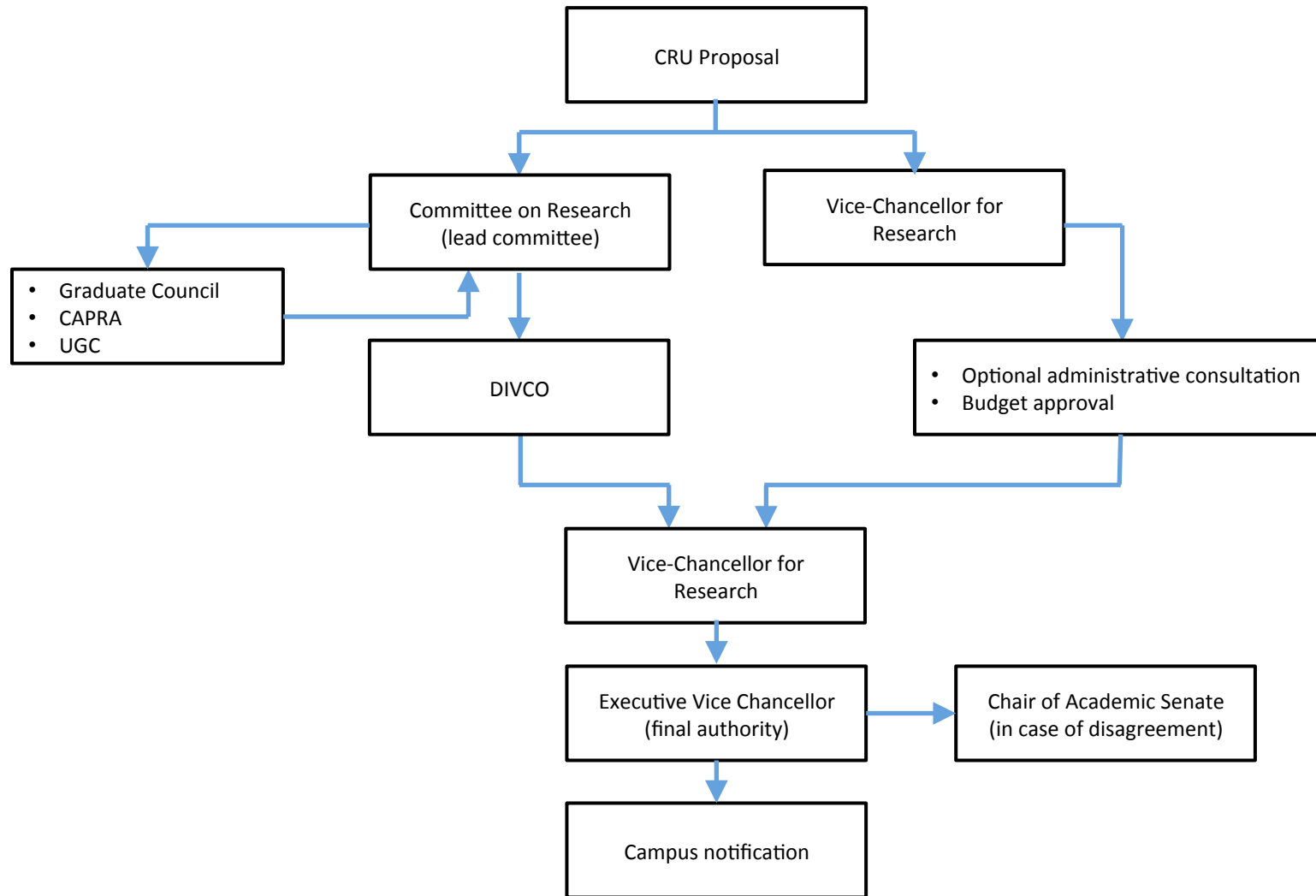
We hope that Division Council acts on these documents in a timely way and transmits a final version to the Provost and VCR for their review. If this is accomplished by the end of this semester, we hope to notify Senate faculty that research units are expected to go through the processes that are outlined in these documents, starting next year, before seeking funding from the Office of Research.

cc: COR Members
DivCo Members
Senate Office

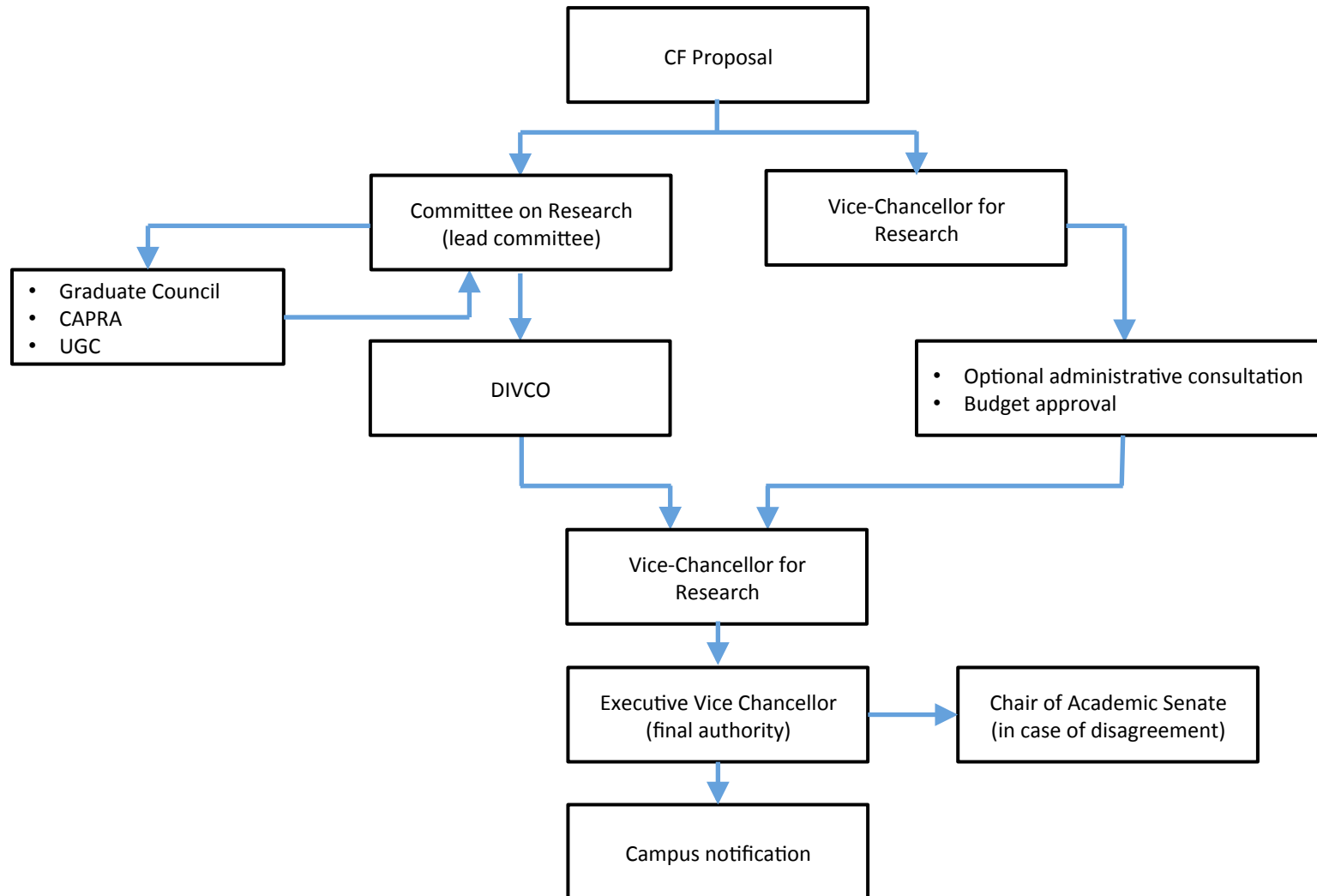
	CRU	Core Facility (CF)	ORU	MRU
Designations	Institute, Laboratory, Center, Station	Institute, Laboratory, Center, Station	Institute, Laboratory, Center, Station	Institute, Laboratory, Center, Station
Lines of Responsibility	CRU responsible to Vice Chancellor for Research (VCR) for administration, budget, space, personnel, and scholarship	CF responsible to VCR for administration, budget, space, personnel, and scholarship	ORU responsible to Chancellor or Chancellor's Designee (CD) for administration, budget, space, personnel, and scholarship	MRU responsible to the President and report through Chancellor or CD at host campus
Administration	Headed by Director who is a faculty member. Aided by Advisory Committee appointed by VCR.	Headed by Director who is a faculty member. Aided by Advisory Committee appointed by VCR.	Headed by Director who is a tenured faculty member. Aided by Advisory Committee Appointed by Chancellor or CD.	Headed by Director who is a tenured faculty member, aided by Associate Director on each campus at which unit is active. Aided by Advisory Committee appointed by President or President designee.
Budgetary Support	Potential funding by Office of Research based on merit review	Funding from recharge and contracts. Potential funding by Office of Research based on merit review	"[P]rovision is made in the campus budget for the unit's core administration support, Director's stipend, ..."	Administrative support from campus or from Office of the President
Proposal for Establishment	Faculty members submit a proposal stating unit's goals and objectives; describing added values and capabilities; explaining how mission extends beyond interests or needs of a single group, department, or school; and making clear how the unit will foster new intellectual collaborations, stimulate new funding, etc. [NB: CRU Policies include Review Criteria] Executive Vice-Chancellor has final authority for approval.	Faculty members submit a proposal stating CF's goals and objectives; describing added values and capabilities; explaining how mission extends beyond interests or needs of a single group, department, or school; and making clear how the unit will foster new intellectual collaborations, stimulate new funding, etc.	Faculty members submit a proposal stating unit's goals and objectives; describing added values and capabilities; explaining why goals cannot be achieved by existing campus structure; and making clear how the unit will foster new intellectual collaborations, stimulate new funding, etc.	Proposal originates at host campus and is submitted to the VCR, who seeks advice from all appropriate divisional Academic Senate Committees and administrative committees. After campus review, proposal is submitted to Vice Provost for Research by Chancellor or CD of host campus. The Vice Provost for Research reviews proposal and refers it to the Chancellor for comment. The Vice Provost for Research also refers the proposal to the Chair of Academic Council for comment by University Committee on Research Policy (UCORP), University Committee on Planning and Budget (UCPB), and CCGA. Vice Provost for Research retains final authority for recommending establishment of MRU to Provost and President. After Presidential approval, Provost informs Chancellors and Chair of Academic Council of the action.
Director	Appointed by VCR after a nomination procedure on which VCR and CoR agree. For new Director for an existing unit, nominates are solicited from Advisory Committee.	Appointed by VCR after a nomination procedure on which VCR and CoR agree. For new Director for an existing unit, nominates are solicited from Advisory Committee.	Appointed by Chancellor or CD after a nomination procedure on which the Chancellor and the Academic Senate agree. For new Director for an existing unit, nominates are solicited from Advisory Committee.	Appointed by the Provost after consultation with appropriate Chancellors and with advice of Search Committee appointed by Vice Provost for Research.

	CRU	Core Facility (CF)	ORU	MRU
Five-year Review	VCR initiates 5-year reviews. VCR in consultation with CoR should assure 5-year reviews are conducted at proper intervals. VCR appoints review committee from a slate nominated by CoR. Review committee's report should be provided to the Director for comment. Justification for continuation must be documented by review committee. The report is reviewed by appropriate Academic Senate committees. VCR decides on continuation and any changes in CRU, upon consideration of the ad hoc and Senate committee's recommendations. Disestablishment of CRU requires Provost's approval. To maintain portfolio campus CRUs, VCR transmits annual report to Chancellor, Executive Vice Chancellor, and the Academic Senate the establishments and disestablishments and a summary of 5-year reviews of CRUs.	VCR initiates 5-year reviews. VCR in consultation with CoR should assure 5-year reviews are conducted at proper intervals. VCR appoints review committee from a slate nominated by CoR. Review committee's report should be provided to the Director for comment. Justification for continuation must be documented by review committee. The report is reviewed by appropriate Academic Senate committees. VCR decides on continuation and any changes in CF, upon consideration of the ad hoc and Senate committee's recommendations. Disestablishment of CF requires Provost's approval. To maintain portfolio campus CFs, VCR transmits annual report to Chancellor, Executive Vice Chancellor, and the Academic Senate the establishments and disestablishments and a summary of 5-year reviews of CFs.	Chancellor initiates 5-year reviews. VCR in consultation with appropriate Senate Committee should assure 5-year reviews are conducted at proper intervals. The Chancellor or CD appoints review committee from a slate nominated by divisional Academic Senate. Review committee's report should be provided to the Director for comment. Justification for continuation must be documented by review committee. The report is reviewed by appropriate Academic Senate committees. The Chancellor or CD decides on continuation and any changes in ORU, upon consideration of the ad hoc and Senate committee's recommendations. Disestablishment of ORU requires Chancellor's approval. To maintain portfolio campus ORUs, the Chancellor or CD transmits annual report to the Vice Provost for Research listing ORU establishments and disestablishments and a summary of 5-year reviews of ORUs.	The Vice Provost for Research should assure that 5 year reviews are conducted at proper intervals. VCR appoints ad hoc review committee from a slate nominated by Chair of the Academic Council and the Chancellor or CD. Review committee's report should be provided to the Director for information. Justification for continuation must be documented by review committee. The 5-Year Review report is submitted to the Vice Provost for Research, who distributes it to the Vice Chancellors for campus comment and the Chair of the Academic Council for comment by UCORP, UCPB, and CCGA. Based on 5-Year Review Report and comments, the Vice Provost for Research approves continuation of unit, implements changes, or recommends disestablishment of unit to President.
Procedure for Disestablishment	Following a 5-year review, Executive Vice Chancellor approves request for disestablishment and informs the Chancellor, VCR, and Academic Senate of action.	Following a 5-year review, Executive Vice Chancellor approves request for disestablishment and informs the Chancellor, VCR, and Academic Senate of action.	Following a 5-year review, the Chancellor approves request for disestablishment and the Chancellor or CD informs the Vice Provost for Research of action.	Following a 5-year review, the Chancellor or CD submits request for disestablishment to Vice Provost of Research after appropriate campus administrative and Senate consultation and consultation with Advisory Committee. The request is referred by Vice Provost for Research to the Chancellors for comment. The Provost recommends disestablishment to the President. After Presidential approval, Provost informs Chancellors and Chair of the Academic Council of action.
Phase-Out Period	At most one full year after the end of the academic year	At most one full year after the end of the academic year	At most one full year after the end of the academic year	At most one full year after the end of the academic year
Procedure for Name Change	Director prepares a proposal to VCR describing rationale. After review by CoR, CAPRA, and appropriate campus administrators, Provost approves and informs Chancellor, VCR, and Academic Senate of action.	Director prepares a proposal to VCR describing rationale. After review by CoR, CAPRA, and appropriate campus administrators, Provost approves and informs Chancellor, VCR, and Academic Senate of action.	Director prepares a proposal describing rationale. After review by Senate and appropriate campus administrators, the Chancellor or CD approves and informs Vice Provost for Research of action.	Director prepares a proposal describing rationale. MRU Advisory Committee endorses requested name change. After review by appropriate host campus administrators and Senate committees of other participating campus, Director submits proposal package to Vice Provost for Research. After consultation with UCORP and favorable review at host campus and participating campuses, the host Chancellor approves name change and submits full documentation to Vice Provost for Research, who notifies other campus and the Chair of the Academic Council of change in name.
Annual Report	Unit should submit a report to VCR and CoR containing specific information.	Unit should submit a report to VCR and CoR containing specific information.	Unit should submit a report to VCR and CoR containing specific information.	Unit should submit a report to VCR and CoR containing specific information.

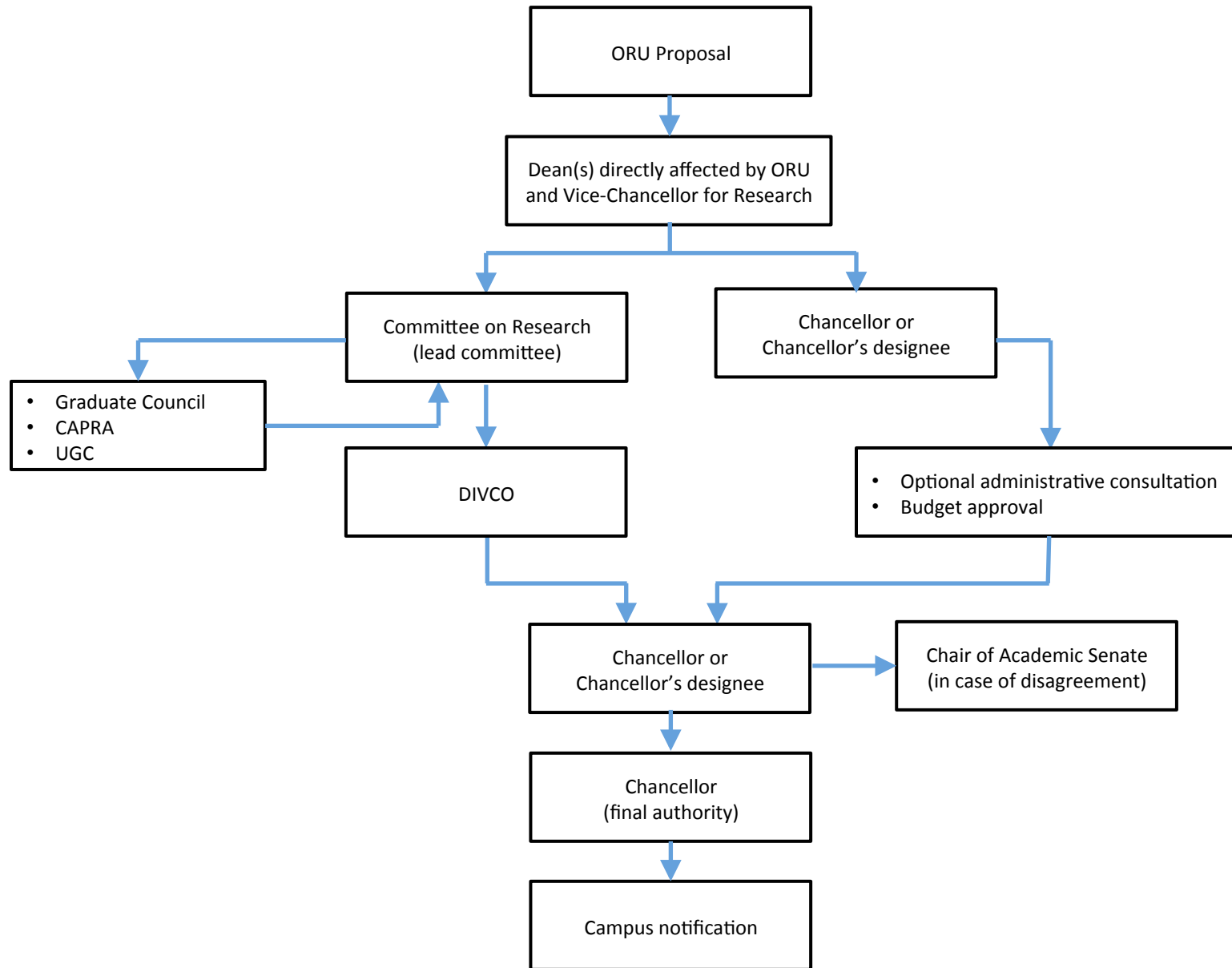
Approval Process for Establishment of a Centralized Research Unit (CRU)



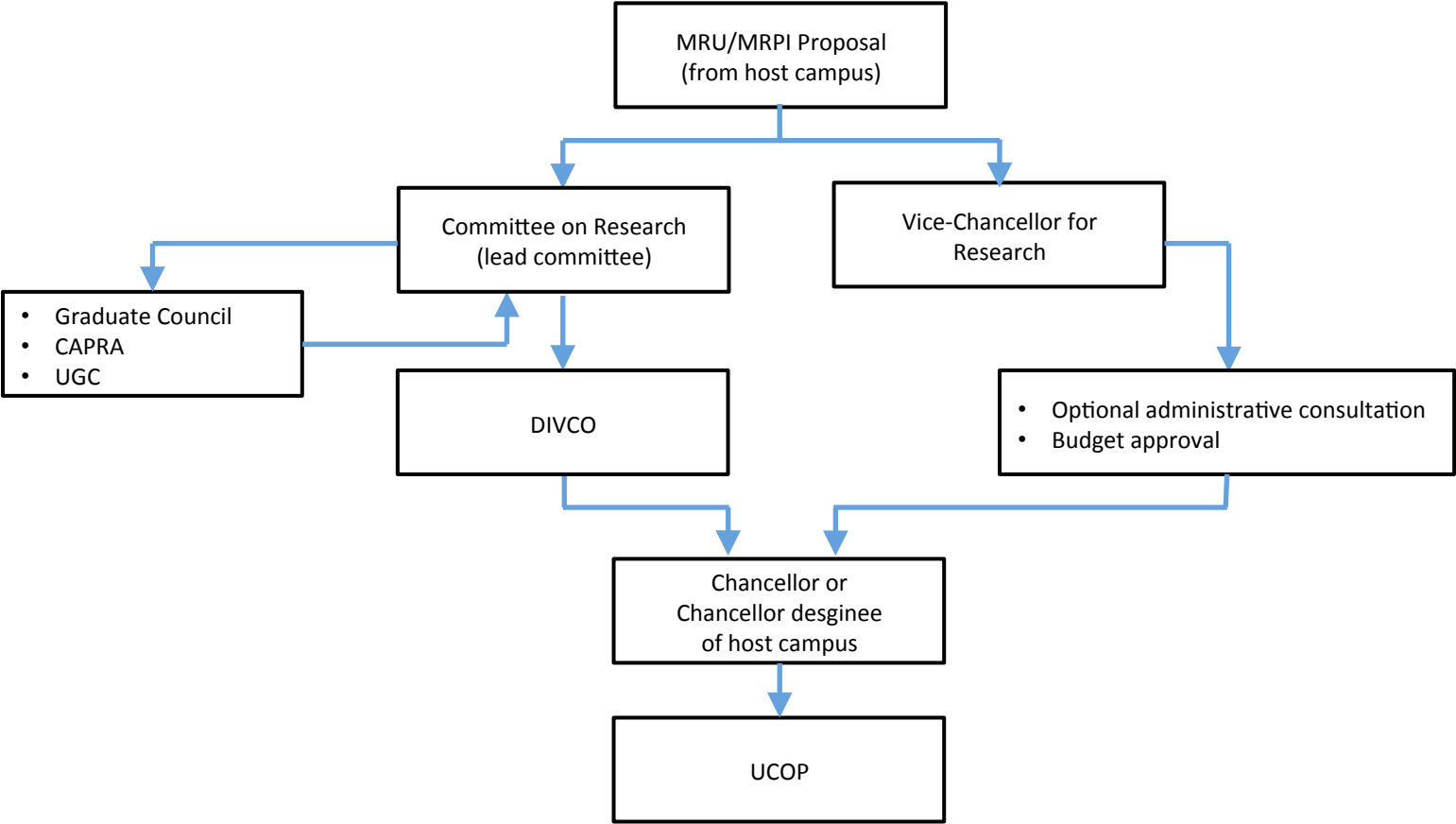
Approval Process for Establishment of a Core Facility (CF)



Approval Process for Establishment of a Organized Research Unit (ORU)



Approval Process for Establishment of an Multicampus Research Unit (MRU)/MRPI



Review Criteria for Establishment of Centralized Research Units

Centralized Research Units (CRU) proposals must address how the proposed unit will:

1. Foster new intellectual collaborations
2. Stimulate new sources of funding
3. Further innovative and original research
4. Support existing funded research
5. Supply research techniques or services to faculty groups
6. Contribute to the instruction mission of the university
7. Perform service and outreach to the public
8. Support a broad array of researchers, graduate group, schools, and the campus
9. Have sufficient faculty and technical expertise to ensure the successful operation of the unit
10. Have a management and financial plan that will ensure sustainability of the unit
11. Have a plan for how immediate and future space needs will be met
12. Procure extramural funds for its establishment and operation

Review Criteria for Establishment of Core Facilities

Core Facility (CF) proposals must address how the proposed facility will:

1. Foster new intellectual collaborations
2. Stimulate new sources of funding
3. Further innovative and original research
4. Support existing funded research
5. Supply research techniques or services to faculty groups
6. Contribute to the instruction mission of the university
7. Perform service and outreach to the public
8. Support a broad array of researchers, graduate group, schools, and the campus
9. Have sufficient faculty and technical expertise to ensure the successful operation of the facility
10. Procure extramural funds for its establishment and operation
11. Have a management and financial plan that will ensure sustainability of the facility
12. Have a plan for how immediate and future space and instrumentation needs will be met
13. Comply with existing safety and operational regulations

Review Criteria for Establishment of Organized Research Units

Organized Research Units (ORU) proposals must address how the proposed unit will:

1. Foster new intellectual collaborations
2. Stimulate new sources of funding
3. Further innovative and original research
4. Support existing funded research
5. Supply research techniques or services to faculty groups
6. Contribute to the instruction mission of the university
7. Perform service and outreach to the public
8. Support a broad array of researchers, graduate group, schools, and the campus
9. Have sufficient faculty and technical expertise to ensure the successful operation of the unit
10. Have a management and financial plan that will ensure sustainability of the unit
11. Have a plan for how immediate and future space needs will be met
12. Procure extramural funds for its establishment and operation

Review Criteria for Establishment of Multicampus Research Units

Multicampus Research Units (MRU) proposals must address how the proposed unit will:

1. Foster new intellectual collaborations
2. Stimulate new sources of funding
3. Further innovative and original research
4. Support existing funded research
5. Supply research techniques or services to faculty groups
6. Contribute to the instruction mission of the UC system
7. Perform service and outreach to the public
8. Support a broad array of researchers, graduate group, schools, the campus, and the university system
9. Have sufficient faculty and technical expertise to ensure the successful operation of the unit
10. Have a management and financial plan that will ensure sustainability of the unit
11. Have a plan for how immediate and future space needs will be met
12. Procure extramural funds for its establishment and operation

Five-Year Review Criteria for Centralized Research Units

Centralized Research Units (CRU) reviews must address the following:

1. CRU's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Future plans
5. Continuing development

CRU reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget, including funds and expenditures

Five-Year Review Criteria for Core Facilities

Core Facility (CF) reviews must address the following:

1. CF's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Future plans
5. Continuing development

CF reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget (including funds and expenditures, and adequateness and appropriateness to support the CF's mission)
5. Compliance with safety and operational regulations

Five-Year Review Criteria for Organized Research Units

Organized Research Units (ORU) reviews must address the following:

1. ORU's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Future plans
5. Continuing development

ORU reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget, including funds and expenditures

Five-Year Review Criteria for Multicampus Research Units

Multicampus Research Units (MRU) reviews must address the following:

1. MRU's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Future plans
5. Continuing development

MRU reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget, including funds and expenditures

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February 5, 2014

To: Ignacio López-Calvo, Chair, Division Council

From: Ruth Mostern, Chair, Committee on Research (COR)

A handwritten signature in black ink, appearing to read "Ruth Mostern", is written over the "From:" line.

Re: Emergency Funding for Faculty

COR and the Vice Chancellor for Research have discussed the lack of an emergency funding source for UC Merced faculty members who face an unexpected shortfall in research funds. The committee notes that there are a number of circumstances that might cause this problem to occur, and that the Office of Research periodically receives requests from faculty who are in this situation.

The Senate is not well positioned to administer an emergency fund source that requires rapid turnaround. Therefore, COR requests that Division Council work with Provost/EVC Peterson and Vice Chancellor for Research Traina to establish, in the next budget allocation cycle, an "emergency" fund source, controlled by the central administration, to be used by faculty members experiencing gaps in funding.

cc: COR Members
DivCo Members
Senate Office

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From: Ruth Mostern, Chair, Committee on Research (COR)

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Re: Funding for Senate Faculty Research Grants

COR is concerned that the amount of funding allocated for Senate faculty grants has not kept up with the growth in faculty numbers. COR requests that Division Council work with Provost/EVC Peterson and Vice Chancellor for Research Traina to develop and implement a mechanism to ensure that future Senate funds grow in proportion to the size of the faculty.

cc: COR Members
DivCo Members
Senate Office