



ACADEMIC PERSONNEL

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

August 21, 2015

To: All faculty, Department Chairs, and Business Officers (Via SBFACU-L, SBCHR-L, and SBADM-L)

From: Cindy Doherty, Director
Academic Personnel

Re: Academic Personnel Policy Issuances

ACADEMIC PERSONNEL POLICY ISSUANCES

Issued by Provost and Executive Vice President Aimée Dorr, the following revised sections of the Academic Personnel Manual will be effective September 1, 2015.

APM-133-17-g through i, Limitations on Total Period of Service with Certain Academic Titles

APM 210-1-c, Review and Appraisal Committees

APM 220-18-b, Professor Series

APM 760-30-a, Family Accommodations for Childbearing and Childrearing

The revisions strengthen long standing University policies and clarify a range of reasons for which faculty may request and receive approval to extend the tenure clock. Campus policy outlining the local application of these changes will be updated within the next few months.

The revised policies and issuance letter are attached for your convenience. These documents can also be found online at: <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>.



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

August 20, 2015

**CHANCELLORS
LABORATORY DIRECTOR ALIVISATOS
ACADEMIC COUNCIL CHAIR GILLY
ANR VICE PRESIDENT HUMISTON**

RE: Revision of Academic Personnel Policy Sections of the Academic Personnel Manual: 133-17-g-i (APM - 133), Limitation on Total Period of Service with Certain Academic Titles; 210-1-c-4 (APM - 210), Review and Appraisal Committees; 220-18-b (APM - 220), Professor Series; and 760-30-a (APM - 760), Family Accommodations for Childbearing and Childrearing

Dear Colleagues:

I am formally transmitting the revised Academic Personnel Manual Sections 133-17-g-i (APM - 133), Limitation on Total Period of Service with Certain Academic Titles; 210-1-c (APM - 210), Review and Appraisal Committees; 220-18-b (APM - 220), Professor Series; and 760-30-a (APM - 760), Family Accommodations for Childbearing and Childrearing. The policies, which are effective September 1, 2015, can be found online at: <http://ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>. The revisions to four separate APM sections strengthen these important and longstanding University policies and clarify a range of reasons for which faculty may request and receive approval to stop the tenure clock.

There has been consultation on these sections of the APM for more than three years, with the Academic Senate and campus administration. During the 2012-13 academic year, the University Committee on Faculty Welfare (UCFW) recommended that APM - 133-17-h, Stopping the Clock for the Care of a Child or Children, be amended to expand the permissible reasons to stop the eight-year service limitation clock due to exceptional personal circumstances beyond the faculty member's control which may impede timely progress. In spring 2014, proposed language was circulated for Management Consultation (January – March 2014) followed by Systemwide Review (May – July 2014) and Final Review (May – June 2015). Language was refined at each stage of the review process.

While current policy provides for an automatic exclusion from service limitations when leave is related to childbearing and childcare, a faculty member may now request to stop the clock for a serious personal health condition, for illness of or for bereavement of a family member, or other significant circumstance or event.

August 20, 2015

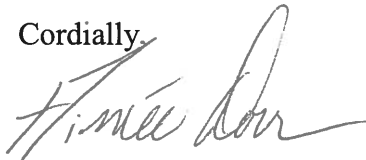
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There are two different kinds of approval procedures described in policy: 1) an automatic approval when the request is related to childbearing and childrearing, and 2) an application process accompanied by appropriate documentation when the request is related to a serious health condition (including disability) or bereavement or other significant circumstance or event.

Other changes to policy include new language confirming that all evidence produced during the probationary period, including the period of extension, counts in the evaluation of a candidate's review file. Language removes from APM - 760-30-a the child's five-year age limit for an academic appointee to qualify for an extension of the eight-year rule. New language permits stopping the clock when any child becomes part of the faculty member's family and when an assistant professor who is newly hired arrives on campus with a child.

I wish to thank all members of the University for their efforts to revise these important sections of the APM. Your contributions are deeply appreciated.

Cordially,



Aimée Dorr, Provost

Executive Vice President for Academic Affairs

Enclosures: Revised APM - 133-17-g-i (pages 10-13)
Revised APM - 210-1-c-4 (page 3)
Revised APM - 220-18-b (page 7)
Revised APM - 760-30-a (page 7)

cc: President Napolitano
President's Advisory Group
Executive Vice Chancellors/Provosts
Vice President Duckett
Vice Provost Carlson
Vice Provosts for Academic Affairs/Academic Personnel
Academic Personnel Directors
Deputy General Counsel Friedlander
Deputy General Counsel Woodall
Executive Director Baxter
Executive Director Fox
Executive Director Tanaka
Director Chester
Director Henderson
Director Lockwood
Chief of Staff Grossman

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Deputy Compliance Officer Lane
Human Resources Policy Analyst Bello
Policy and Compensation Analyst Fauroat
Analyst Jordan
Senior Administrative Analyst Rupert

*The revisions to APM - 133-17-g-i appear on the following
pages 10-13 of the full policy*

Limitation on Total Period of Service with Certain Academic Titles

g. Applicability of Periods of Leave

The applicability of periods of leave toward the eight-year period shall be as follows:

- (1) Temporary transfers or changes of status from Assistant Professor (or any other title listed in APM - 133-0) to any other title or title series shall be regarded as periods of academically-related leave under this rule and shall be included as service toward the eight-year period.
- (2) A leave of absence, with or without salary, taken in the year in which the promotion review of an Assistant Professor is otherwise scheduled shall not provide a basis for postponement of that review.
- (3) Periods of leave, whether with or without salary, shall be included as service toward the eight-year period unless, upon the basis of a petition filed at the time leave is requested, the Chancellor determines that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career and that the period of the leave shall not count toward the eight-year service period.

A period of leave, with or without salary, which is based on a serious health condition or disability, shall be included as service toward the eight-year period, unless, upon the basis of a petition normally filed within one quarter or semester after the leave is taken, the Chancellor determines that the leave shall not be included as service toward the eight-year period. In each case, the Chancellor shall report such a decision in writing to the individual.

However, any childbearing or parental leave, provided for in APM - 760-25 and 760-27 which is equal to or exceeds one semester or one quarter and which is not greater than one year, whether with or without salary, shall be excluded from service toward the eight-year period unless the faculty member informs the department chair in writing before, during, or within one quarter or semester after the leave that it should not be excluded from service toward the eight-year period. (See APM - 133-17-a, -b, -c, -d, and -i.)

Note: Exclusion of one or two quarters or one semester will not necessarily delay the timing of a review.

Limitation on Total Period of Service with Certain Academic Titles

Any other approved leave provided for in APM - 133-17-h also is excluded from service toward the eight-year period.

- (4) For determining years toward the eight-year limitation of service, the combined total of periods of leave unrelated to academic duties and time off the clock may not exceed two years.

h. Stopping the Clock

A faculty member may request to stop the clock during the probationary period for personal reasons (see below), including childbearing, childrearing, serious health condition, disability, bereavement, or significant circumstance or event that disrupts a faculty member's ability to pursue his or her duties. Extensions are normally granted for a period of up to one year for each event, automatically for some reasons, and upon request and approval for other reasons. For those extensions needing approval, such approval will be at the discretion of the Chancellor.

A faculty member may be granted no more than two years of extension during the probationary period. A faculty member is eligible to stop the clock even if the faculty member does not take a formal leave or have a modification of duties. A request to stop the clock should be made as soon as the need becomes apparent.

(1) Childbearing or Childrearing (See APM - 760)

A faculty member may stop the clock during the probationary period to care for any child who is, or becomes part of the faculty member's family. To be eligible to stop the clock, a faculty member at the Assistant level must be responsible for 50 percent or more of the care of the child. The birth or placement of one or more children at the same time constitutes a single event of birth or placement. (See also APM - 760-30.)

For a faculty member who takes childbearing and/or parental leave and who has provided the appropriate documentation supporting the need for the leave, the period of approved leave will be automatically excluded from service in accordance with APM - 133-17-g(3).

Limitation on Total Period of Service with Certain Academic Titles

(2) Serious Health Condition Including Disability or Bereavement

A faculty member may request to stop the clock during the probationary period, when his or her ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or by the death of a close family member. This provision also covers other persons residing in the faculty member's household or cases involving close personal connection or interdependence.

For a faculty member with a serious health condition or disability who has provided the appropriate supporting medical documentation and for whom stopping the clock would be a reasonable accommodation as determined by the University, an appropriate period (which may include periods of leave provided as a reasonable accommodation) will be excluded from service upon the request of the faculty member. A faculty member's request to stop the clock by the need to care for a close family member who is seriously ill or by the death of a close family member must provide supporting documentation as required by campus procedures.

A faculty member's request to extend the tenure clock for a period longer than an approved sick leave or extended illness leave may be appropriate in certain circumstances, although the two-year extension limit still applies.

(3) Significant Circumstance or Event

A faculty member may request to stop the clock during the probationary period, for reasons due to a significant circumstance or event beyond the faculty member's control that disrupts the faculty member's ability to pursue his or her duties. Examples of significant circumstances or events beyond the faculty member's control for which the faculty member may request to stop the clock include the effects of a natural disaster or the effects of significant delays in the provision of research space, facilities, or resources committed to the faculty member and necessary for his or her research activities.

GENERAL UNIVERSITY POLICY
REGARDING ACADEMIC APPOINTEES

APM - 133

Limitation on Total Period of Service with Certain Academic Titles

The faculty member must provide appropriate supporting documentation, as determined by established campus procedures.

- i. Faculty members shall not be arbitrarily disadvantaged in their promotion, advancement, or compensation because they have elected to take a childbearing or parental leave, to stop the clock for reasons listed in section (h) above, or to defer a personnel review. Personnel reviews that are deferred due to a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. The file shall be evaluated without prejudice as if the work were done in the normal period of service and so stated in the department chair's letter.

133-20 Notice of Non-Reappointment

The schedule for the Professor series set forth in APM - 220-20 applies also to notice not to reappoint individuals with titles listed in APM - 133-0-a except for individuals with Acting or Visiting appointments. Appointments of these latter types are self-terminating with specified ending dates, and no further notice is required.

133-96 Reports

See APM - 200-96.

*The revisions to APM - 210-1-c(4) appear on the following
page 3 of the full policy*

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

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

If in assessing all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-1-d below, the committee should recommend accordingly. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement. If there is evidence of sufficient achievement in a time frame that is extended due to stopping the clock for reasons as defined in APM - 133-17-g-i or a family accommodation as defined in APM - 760, the evidence should be treated procedurally in the same manner as evidence in personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of extension, counts in the evaluation of the candidate's review file. The file shall be evaluated without prejudice as if the work were done in the normative period of service and so stated in the department chair's letter.

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

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

*The revisions to APM - 220-18-b appear on the following
page 7 of the full policy*

220-18 **Salary**

- a. Authorized salary scales established for this series are issued by the Office of the President.
- b. **Normal Periods of Service**

The normal periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit, or more gradual advancement when warranted. Personnel reviews that are deferred due to stopping the clock for reasons as defined in APM - 133-17-g-i or a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of the extension, counts in the evaluation of the candidate's review file. The file shall be evaluated without prejudice as if the work were done in the normal period of service and so stated in the department chair's letter.

- (1) Instructor: Service in the rank of Instructor is limited to two years.
- (2) Assistant Professor: The total period of University service in the title Assistant Professor, or in this and certain other titles (see APM - 133-0) shall not exceed eight years, except as provided in APM - 133-12. The normal period of service at a given step in this rank is two years. The first four steps in rank and corresponding salary levels are for normal use. Steps V and VI may be used in exceptional situations and with proper justification. Service at Assistant Professor, Step V, may be in lieu of service at Associate Professor, Step I, for which the published salary is slightly higher. Likewise, service at Assistant Professor, Step VI, may be in lieu of service at Associate Professor, Step II.

In those instances of service at Assistant Professor, Step V, followed by service at Associate Professor, Step I, the normal period of combined service with both titles at the steps indicated is two years. The same normal two-year period of combined service applies when service at Assistant Professor, Step VI, is followed by service at Associate Professor, Step II.

- (3) Associate Professor: The normal period of service in rank of Associate Professor is six years. The normal period of service at any one of the first three steps of the rank is two years. Steps IV and V may be used in exceptional situations and with proper justification. Service at Associate Professor, Step IV, may be partly or entirely in lieu of service at Professor, Step I, for which the published salary is slightly higher.

*The revisions to APM - 760-30-a appear on the following
page 7 of the full policy*

duties to enable her to recover fully from the effects of pregnancy and childbirth and to prepare for and/or care for the newborn child may be approved in accordance with campus policies. During a period of active service-modified duties, a Health Sciences Compensation Plan faculty member will receive pay no less than his or her approved base monthly salary. Any additional compensation under the Health Sciences Compensation Plan shall be paid in accordance with campus policies.

760-29 Part-Time Appointment and Reduction in Percentage of Time of an Appointment to Accommodate Family Needs

Academic appointees may be eligible for appointment to a part-time position or may be eligible to reduce their percentage of time of an appointment from full time to part time for a specified period of time or permanently to accommodate family needs. The Chancellor has authority to approve such appointments. Members of the Health Sciences Compensation Plan who reduce the percentage of time of their appointment remain under the same terms of the Plan during the period that their appointment is reduced (see APM - 670). For provisions regarding part-time appointments in the Professor series, see APM - 220-10, -16-c, -16-d, -18-b, and Appendix B.

760-30 Stopping the Clock for Child Care

- a. An academic appointee may stop the clock during the probationary period to care for any child who is, or becomes part of a faculty member's family. To be eligible to stop the clock, an appointee at the Assistant level must be responsible for 50 percent or more of the care of a child. The birth or placement of one or more children at the same time constitutes a single event of birth or placement. An appointee is eligible to stop the clock even if the appointee does not take a formal leave or have a modification of duties. (See APM - 133-17-g-i.)
- b. An academic appointee must provide notice of his or her intent to stop the clock within two years of a birth or placement and before July 1 of the academic year in which a promotion review is to occur. Each notice must include a written statement by the appointee certifying that he or she is responsible for 50 percent or more of the care of the child or children.