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220-0  **Policy**

The policy on appointments in the professor series is found in The Regents’ Affirmation of *University of California Policy on Appointments in the Professor Series*, November 19, 1971, quoted in part below:

> Appointments in the professor series are for duty in departments of Instruction and Research, or in equivalent administrative units (e.g., colleges and divisions) with combined instruction and research functions. Any exception to this rule must be approved by the President.

(The full text of The Regents’ policy appears at the end of this Section 220.)

220-4  **Definition**

a. The professorial series is used for appointees who are members of the faculty of an academic or professional college or school of the University who have instructional, as well as research, University, and public service responsibilities.

b. Persons appointed to titles in the professor series form the “regular ranks” faculty of the University. This series is distinct from the following series:

- Acting Professor series
- Adjunct Professor series
- Clinical Professor series
- Professor in Residence series
- Visiting Professor series

220-8  **Types**

a. Titles (and ranks) in the professor series are:

1. Instructor
2. Assistant Professor
3. Associate Professor
4. Professor
b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the four ranks above, if the individual’s immediately previous status was:

(1) not in the employ of the University; or

(2) in the employ of the University but not with a title in this series.

c. A *promotion* is an advancement from one rank to a higher rank within this series, usually the next rank as listed above. A change from a title in another series to a title in this series (possibly involving an increase in salary) is not defined as a promotion or merit increase, but as an appointment.

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

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

220-10 **Criteria**

A candidate for appointment, merit increase, or promotion in this series shall be judged by the following criteria:

a. Teaching

b. Research and creative work

c. Professional competence and activity

d. University and public service

An explanation of these criteria is set forth in the *Instructions to Review and Appraisal Committees* (see APM - 210-1) as issued by the President.

Appointment to a part-time position with a title in this series shall require the same qualifications as for a full-time appointment, provided, however, that in the case of an appointment on either a full-time or part-time basis of one who has previously served elsewhere as a faculty member on a part-time basis, the principles expressed in the following paragraph shall apply in evaluating the candidate.
Advancement of a part-time appointee with a title in this series shall depend on quality of performance at a level of distinction comparable to that demanded of a full-time appointee, although, when circumstances warrant, a lesser rate of scholarly accomplishment or an extended time frame for review will be acceptable. Teaching assignments and departmental, committee, and other service are to be kept in proportion to the percentage of time of the assignment, but the same quality of performance is expected as for a full-time appointee. For guidelines about part-time appointments to accommodate family needs, see APM - 220, Appendix B.

220-16 Restrictions

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

a. An appointment or reappointment to the title Instructor or Assistant Professor must be for a specified term and may not be for an “indefinite” period.

b. “It is the policy of the University of California that no appointment shall be made to a title in the professor series (i.e., to any of the titles Instructor, Assistant Professor, Associate Professor, and Professor) unless there is an appropriately budgeted provision for the appointment.” The foregoing is a quotation from The Regents’ Affirmation of University of California Policy on Appointments in the Professor Series, November 19, 1971. This same Regental policy statement authorizes the President to make certain specified exceptions. The full text of this statement which includes the listing of the permissible exceptions is appended at the end of this APM - 220.

c. An appointment is normally for full-time service to the University under the title in question, although there may subsequently be a temporary reduction in the percentage of time of the appointment by agreement between the appointee and the University. Full-time appointees with a temporary reduction in the percentage of time of an appointment will return to full-time service at the end of the agreed-upon period of temporary reduction. The period of temporary reduction in percentage of time of an appointment shall be set forth in the memorandum of understanding (see APM - 220-16-d) and may be shortened or extended by written agreement between the appointee
and the University. Members of the Health Sciences Compensation Plan who reduce the percentage of their appointment remain under the same terms of the Plan during the period that their appointment is reduced (see APM - 670).

d. An initial appointment for less than full-time service with a title in this series may be authorized under appropriate circumstances, provided that the Chancellor specifically approves the arrangement as being in the best interests of the University and fully justified by the particular circumstances. Such part-time appointments will ordinarily be limited to cases in which the professional commitment is to the University. In the rare case of a part-time appointment of an individual with a professional commitment other than the one to the University, the Chancellor must be assured that the appointee will fulfill all the obligations entailed in the University appointment.

When an appointment for less than full-time service is approved, the University is not obligated to increase the percentage of time of the appointment, even if the appointee and the department should desire such an increase in the future.

An initial part-time appointment to the rank of Associate Professor or Professor or subsequent promotion to one of these ranks on a part-time basis shall be subject to the provisions which apply in the case of a full-time appointment; and the appointee shall execute a memorandum of understanding agreeing that the tenure status and other benefits of the appointment as described below are limited to the specified percentage of time. The memorandum of understanding also shall specify expectations as to workload, productivity, reviews, and any other applicable conditions of the appointment.

The memorandum of understanding shall be set forth in a letter from the Chancellor advising the individual that the part-time appointment is subject to
the specific understanding that there are no implied rights to a full-time tenure appointment; and, further, that the rate at which credit for University service accrues for various University fringe and retirement benefits as well as related academic privileges will likewise be affected. The individual shall be asked to sign and return a carbon copy of such letter to indicate consent.

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

A permanent change to a part-time appointment, or a temporary reduction in percentage of time of a full-time appointment, may be granted to accommodate family needs as defined in APM - 760. For guidelines about part-time appointments and reduction in time of appointment to accommodate family needs, see APM - 220, Appendix B.

Membership and voting privileges in the Academic Senate for part-time appointees to this series are the same as for full-time appointees.

e. Promotions and merit increases may be made only within the limits of available funds.

220-17 Terms of Service

a. Instructor

An appointment is limited to a maximum of a one-year term. The appointment may be made for a shorter term. Reappointment for one additional term of not more than one year may be approved. The total University service as Instructor may not exceed two years.
b. **Assistant Professor**

Each appointment and reappointment is limited to a maximum term of two years. The total University service with this and certain other titles (see APM - 133-0-a and 133-0-b) may not exceed eight years except as provided in APM - 133-12-b and 133-12-c.

The appointment or reappointment of an Assistant Professor may be for a period of less than two years only under the following circumstances.

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

2. A promotion or merit increase may become effective before the end of a two-year term, but such advancement shall mark the beginning of a new term of appointment.

3. When the status of an Acting or Visiting Assistant Professor is changed to Assistant Professor during a given year, the term of the new appointment shall normally end on the second June 30 following.

4. A terminal appointment for an Assistant Professor may be for a term of less than two years provided adequate notice has been given, as stipulated in APM - 220-20-c.

c. **Associate Professor and Professor**

1. Section 103.9 of the Standing Orders of The Regents provides:

   All appointments to the positions of Professor and Associate Professor and to positions of equivalent rank are continuous in tenure until terminated by retirement, demotion, or dismissal. The termination of a continuous tenure appointment or the termination of the appointment of any other member of the faculty before the expiration of the appointee’s contract shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

2. The normal term of service as Associate Professor is six years, but there is no obligation on the part of the University to promote an Associate Professor to the rank of Professor solely on the basis of years of service at the lower rank. Accelerated promotion is possible if achievement is exceptional.
d. **Effective Date and Beginning Date of Service**

(1) The effective date of an appointment is the initial date of the new status for payroll or other recordkeeping purposes and indicates the first day on which salary or change in rate of salary commences.

(2) The effective date of a promotion or merit increase is normally July 1. However, exceptions may be approved by the Chancellor, subject to the provisions of APM - 220-24.

(3) The beginning date of service for a new appointee or of service in a new status for a continuing appointee is the first day on which the individual is required to be on duty under the terms of the appointment or new status. This date may be different from the effective date for an academic-year appointee paid in twelve installments. For example, for a new appointee serving on a nine-month basis, the effective date of the appointment will normally be July 1 and the beginning date of service will normally be the first day of the Fall Quarter or Semester.

220-18 **Salary**

a. Authorized salary scales established for this series are issued by the Office of the President.

b. **Normal Periods of Service**

The normal periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit, or more gradual advancement when warranted. Personnel reviews that are deferred due to a candidate’s family accommodations as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the normal period of service and shall be evaluated without prejudice.

(1) Instructor: Service in the rank of Instructor is limited to two years.

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

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

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

The normal period of service at Associate Professor, Step IV, is three years if such service is fully in lieu of service as Professor, Step I. In those instances of service at Associate Professor, Step IV, followed by service at Professor, Step I, the normal period of combined service is three years. The situation for Associate Professor, Step V, and Professor, Step II, is exactly analogous to that for Associate Professor, Step IV, and Professor, Step I.

(4) Professor: The normal period of service at step is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step V, and will be granted on evidence of highly distinguished scholarship, highly meritorious service, and evidence of excellent University teaching. In interpreting these criteria, reviewers should require evidence of excellence and high merit in original scholarship or creative achievement, teaching and service and, in addition, great distinction, recognized nationally or internationally, in scholarly or creative achievement or in teaching. Service at Professor, Step VI or higher may be of indefinite duration. Advancement from Professor, Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur after less than three years of
service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Those Professors who are paid on the special Law School scale which has nine steps for the range are subject to the same criteria as Professors as outlined above.

Advancement to an above-scale salary is reserved for scholars and teachers of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching performance is excellent. Except in rare and compelling cases, advancement will not occur after less than four years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved.

* * *
Guidelines for Part-time Appointment and Reduction in Percentage of Time of an Appointment to Accommodate Family Needs

An appointee in the Professor series may be appointed initially in a permanent part-time position, or may request a permanent part-time appointment or a temporary reduction in percentage of time of a full-time appointment to accommodate family needs as defined in APM - 760. The general terms of such part-time or temporarily reduced appointments are governed by APM - 220. The following guidelines address issues that may arise regarding review and evaluation of appointees with temporary reductions or permanent part-time appointments.

The University wishes to accommodate the family needs of academic appointees by providing fair and flexible work arrangements. However, the University recognizes that the nature of professorial work is such that it may be difficult to evaluate scholarly productivity on a pro-rated basis. APM - 220-10 clearly states that teaching and service expectations for part-time appointees shall be pro-rated in accordance with the percentage of time of the appointment. However, questions have been raised about the feasibility of similarly pro-rating scholarly productivity for part-time appointees. On the one hand, in a discipline where the normal level of scholarly productivity for promotion requires publication of multiple peer-reviewed articles, it may be possible that a half-time appointee, for example, could be advanced based on half the normal quantity of articles, as long as the quality and impact of the work is commensurate with that of full-time appointees. On the other hand, in a discipline where a book is the normal measure of productivity meriting promotion, it would be difficult to consider a half-time appointee for advancement on the basis of “half a book.” Moreover, in a culture where a more than full-time commitment is the general expectation, it could be difficult to evaluate the appropriate measure of a part-time
commitment, particularly if seeking to compare fractional appointments at 50 percent, 60 percent, and 75 percent to each other and to a full-time appointment.

If a part-time appointee is held to a full-time expectation for scholarly productivity, then a part-time appointment is not truly part time, but represents a “buy-out” of teaching and service expectations. If an appointee is only getting part of a full-time salary, equity demands some effort to arrange an appointment with partial responsibilities. In all cases, when an academic appointee is considering a part-time appointment, or a temporary reduction in the percentage of time of an appointment, the terms of the appointment and the expectations for productivity should be thoroughly discussed at the outset.

To the extent possible, the expectations for review and advancement should be set forth in detail in a memorandum of understanding regarding the part-time arrangement. For example, for a temporary reduction in the percentage of time of the appointment as an Assistant Professor for the purpose of childbearing and childrearing, the University policy allowing for “stopping the clock” may provide for additional time for scholarly productivity to meet normal expectations for tenure. For a temporary reduction in the percentage of time of the appointment as an Associate or full Professor, the normal period of review may be extended by mutual agreement to allow for scholarly productivity to meet the normal expectations for a merit review. As set forth in University policy, reviews delayed for these reasons should be treated substantively and procedurally as if they occurred “on time.” For permanent part-time appointments with tenure, the expectations for advancement should reflect the part-time nature of the appointment, with the understanding that reviews for promotion may need to be delayed to allow for scholarly productivity commensurate with academic standards for promotion in the field. Departments should ensure that reviewers, both internal and external, understand the part-time nature of the
appointment and are instructed to evaluate the totality of accomplishment, not the rate of accomplishment.

In all cases, every effort should be made to provide flexibility and to apply standards with equity for individuals in professorial series with career ladders, consistent with University standards of excellence. Campuses will be well served by communicating clearly with department chairs and faculty about the possibility of part-time faculty appointments. Understanding the impact of permanent part-time faculty appointments and temporary reductions in full-time faculty appointments on both faculty careers and departmental workloads is important to evaluating the success of such appointments. Campuses should record and evaluate family accommodation policies by tracking data on faculty rank, gender, departmental affiliation, reasons for seeking part-time appointments, and record of advancement to ensure that family needs are accommodated in a fair and flexible manner. Campuses should develop methods for informing internal and external peer reviewers of campus standards for proportionately weighting teaching and service activities and permitting extended time frames for research productivity of part-time faculty appointees. Finally, campuses should establish procedures that allow the unused portion of a part-time faculty member’s salary to be used by the department to cover teaching needs so that full-time faculty are not burdened with additional responsibilities as a result of permanent or temporary part-time faculty appointments.