We have now reviewed most of the policies identified for streamlining, and we plan to recommend two different approaches for the Vice Provost’s consideration. 1) We are recommending that those sections of UCD that are primarily re-statements of the systemwide APM policy or are no longer appropriate, be eliminated from APM-UCD. The Vice Provost would replace some of these deleted UCD sections with streamlined, online implementation directions when appropriate; 2) We are also recommending that those sections of APM-UCD that clarify the APM and/or contain important policy interpretation, stay in APM-UCD but edited to eliminate redundancy, remove the process guidelines, and be replaced with online implementation directions.

Of the five UCD sections we are recommending for deletion from APM-UCD (see below), APM-UCD 290 and 730 would be eliminated (approach one), while the other three would be moved to online implementation procedures. (In the future when the implementation procedures need to be changed, the same consultation process we currently use will be followed.) These are attached for your review, and we are accepting your comments on any of these sections through **Tuesday, June 7**.

The five sections are:

- APM-UCD 290 (Regents Professors and Lecturers) Eliminate this APM-UCD section because these programs have not been offered in over ten years. If the programs are offered in the future, the implementation guidelines would be re-written.

- APM-UCD 730 (Vacation) Eliminate this APM-UCD section because it duplicates APM-730, Business and Finance Bulletins, and Campus Accounting Manuals, which provide adequate implementation guidance.

- APM-UCD 520 (Employment of Near Relatives) Removes this section from APM-UCD and replaces it with implementation procedures and provides sample language to request approval. The text is the same as the APM-UCD but the format has changed.

- APM-UCD 245 (Department Chairs) Removes this section from APM-UCD and replaces it with implementation procedures. We added a section on criteria for appointment as required by APM-245. The text is the same as the APM-UCD but
the format has changed.

- APM-UCD 145 (Non-Senate Layoff Policy) Removes this section from APM-UCD and replaces it with implementation procedures. Eliminates sections that duplicate APM-145. The sections of APM-UCD 145 that were eliminated are listed at the end of the implementation procedures.
Analysis of Change: Eliminate this UCD section because these programs have not been offered in over 10 years. If the programs are offered in the future, the implementation guidelines should be re-written

290-6 Responsibility

a. The Regents’ Professor and Lecturer Administrative Advisory Committee is responsible for solicitation and screening of nominations and for making recommendations for appointment to the Vice Provost--Faculty Relations.

b. Departments hosting a Regents' Professor or Lecturer are responsible for arrangements during the appointee's term of visit, including public announcements (articles, posters, etc.), entertainment, and support expenses.

290-8 Terms of Service

a. Regents' Professors serve for 1, 2, or 3 quarters during the academic year.

b. Regents' Lecturers may serve a minimum of 1 day and normally less than 1 quarter during the academic year.

290-18 Salary

a. The maximum quarterly stipend paid to a Regents' Professor corresponds to the salary paid to a Professor, Step VIII, in the host college/school.

b. The maximum monthly stipend paid to a Regents' Lecturer corresponds to the salary paid to a Professor, Step VIII, in the host college/school.

c. Regents' Lecturers who serve for 2 weeks or less may be paid up to a maximum daily and weekly rate established by the President. These stipend limits increase automatically at the same rate as professorial range adjustments.

290-24 Authority

a. The authority to appoint Regents' Lecturers has been redelegated by the Chancellor to the Vice Provost--Faculty Relations.

b. The authority to approve travel expenses in an amount equivalent to round-trip airfare from funds allocated to the campus for this purpose has been redelegated by the Chancellor to the Vice Provost--Faculty Relations.

290-80 Procedures

a. Nominations may be submitted by any member of the campus community, but the nomination must clearly indicate and have the concurrence of the department(s) that will host the nominee if selected.

b. The nominating department submits the following materials to the Regents' Professor and Lecturer Administrative Advisory Committee, c/o the Office of the Provost.

(1) A nominating letter, which includes:
(a) evidence that the person nominated is of national or international eminence;

(b) evidence that the nominee has the potential to interest a wide cross-section of the campus community;

(c) the subject matter to be taught, the level of instruction, and type of course;

(d) the benefits to the campus and community, including those outside the visitor's specific area;

(e) detailed description of the visitor's activities while serving as a Regents' Professor or Regents' Lecturer, including courses to be taught, seminars, public meetings and lectures, and contacts beyond the host department;

(f) complete details of how the host department will publicize the visitor's presence to the campus and the community.

(2) Supporting letters from other departments or individuals. Supporting letters must indicate the contribution the nominee is expected to make to areas of interest outside those of the principal nominating department.

(3) A nomination form, presented here as Exhibit A.

(4) Biographical information on the nominee, prepared in the format prescribed in Exhibit B.

c. The Committee reviews the nominations and advises the Vice Provost--Faculty Relations regarding appointments to these titles.

d. Upon approval of a Regents' Lecturer, the Vice Provost--Faculty Relations sends a letter of invitation to the nominee.

e. For a Regents' Professor, the Chancellor forwards recommendations to The Regents through the President. Upon approval by The Regents, the President sends a letter of invitation to the nominee.

290-96 Reports

When the term of visit is completed, the host department is required to submit to the Vice Provost--Faculty Relations a report on what was achieved by the appointment, along with any suggestions concerning future appointments of Regents' Professors and Lecturers.
Draft

UC Davis Academic Personnel Manual

Benefits and Privileges
Section UCD-730, Vacation—Fiscal Year Appointees
Date: 6/25/97
Supersedes: 6/25/97
Responsible Department: Academic Personnel
Source Document: UC APM-730

730-0 Policy

a. Eligibility to Earn Vacation
   Academic personnel who are appointed on a fiscal-year basis at 50% or more of full time for a
   period of 6 months or more are eligible to earn vacation from the date of appointment.

b. Periods of Academic Recess
   Vacation taken during periods of academic recess (e.g., between quarters or semesters) is
   charged against accrued vacation credit.

730-18 Accrual

a. Time on Pay Status
   1) In order to earn vacation leave for a given month, an appointee must be on pay status
      (including sick leave, vacation, or other leave with pay) at least half the working hours of
      that month.
   2) For purposes of computing vacation leave, an appointee is considered to work no more
      than 40 hours per week.

b. Rate of Accrual
   1) A full-time appointee accrues vacation credit at the rate of 192 hours (24 days) per year or
      the fractional equivalent based on the number of hours in a particular payroll period.
   2) A part-time appointee who works half time or more accrues vacation credit at a rate
      proportional to the rate of percentage of employment. For example, an employee serving
      at 75% of full time accrues vacation credit at 75% of the full-time rate, or 144 hours (18
      days) per year.

730-20 Use of Accrued Vacation

a. Waiting Period
   1) Before an appointee may use accrued vacation, the appointee must serve on pay status
      for at least one-half the total working hours of each of 6 consecutive months. Any break in
      service (other than an approved leave without pay) may not be for more than one-half the
      working hours of any month during that period.
   2) A person who was appointed from State of California service following completion of 6
      months of State service at one-half time or more shall not serve another waiting period if
      the change did not involve a break in employment of more than 15 calendar days.
   3) A reappointed person who previously completed the required waiting period shall be
      eligible to use vacation leave without serving another waiting period, provided the break in
service is less than 6 months.

b. Sabbatical Leave

The term of a sabbatical leave includes vacation earned during the leave; for example, a 12-month sabbatical leave provides 11 months’ relief from scheduled duties and one month’s vacation. Vacation credit earned during a sabbatical leave must be used during the leave and must be reported as vacation leave used on a Payroll Time Reporting Worksheet (UPAY 644A). The vacation credit balance at the start of a sabbatical leave is carried forward for use following the appointee’s leave. (Refer to Section APM-740-4-f.)

c. Transfer of Vacation

1) If an appointee transfers from one University position to another in which the appointee will accrue vacation credit, or from one funding source to another, any accrued vacation credit is also transferred.

2) An appointee who is transferred to another University position in which the appointee is not eligible to accrue vacation credit shall be paid for accrued vacation. This means that a person transferring from a fiscal-year to an academic-year appointment shall be paid for unused vacation leave.

730-21 Terminal Vacation Pay

a. The effective date of termination shall be the last day actually worked, except that an appointee who is retiring may use vacation up to the effective date of retirement.

b. In order to keep terminal vacation payments to a minimum, academic appointees who accrue vacation should be given the opportunity to use accumulated vacation during their appointments.

c. An appointee shall be paid for vacation accrued if appointed for 6 months or more and separates before the end of the 6-month period.

730-96 Records and Reporting

a. Maintenance of Records

Departments shall maintain records of vacation use. Records are subject to periodic review by campus administrative officers and must be retained in departmental files, available for University, State, or Federal audit for a minimum of 5 years, or longer if required by the terms of a contract or grant.

b. Forms

Vacation leave usage may be reported by the appointee on a standard form such as the Absence Notice (Calcode 71461-107), or the department may devise another form or method tailored to its needs.

c. Reporting Data

All appointee reports of vacation leave usage must be recorded in the Payroll/Personnel System on a Payroll Time Reporting Worksheet (UPAY 644A) or equivalent form.

d. Official Leave Balances

The following Payroll/Personnel System reports constitute the official record of leave balances.

1) Time Benefits Roster--Monthly report distributed to home departments stating the month’s leave activity of each employee. Hours of leave are shown for: beginning balance, hours earned for pay period, hours taken as reported on payroll timesheets, and ending balance.
2) Employee Earnings Statement--The earning statement portion of each employee’s payroll check, which reports his/her leave activity for the pay period. Hours of leave are shown for: beginning balance, hours earned for pay period, hours taken as reported on payroll timesheets, and ending balance.

References

A. Accounting Manual Chapters:

The hire of a near relative of a current employee is permitted when it is in the best interest of the University. Approval of the dean is required prior to employment, if the near relatives are academic appointees who are employed in the same department, and if they would have a direct or indirect supervisory relationship, the same immediate supervisor, or a working relationship that could present a conflict of interest.

Near relatives are defined as spouse, parent, domestic partner, child, sibling, aunt/uncle, or niece/nephew. In-laws or step-relatives including a relative of a domestic partner in one of the relationships listed above are considered near relatives. Other persons residing in the same household as the employee are also considered near relatives.

Approval is also required when the familial or work relationship of two current employees changes so that the employees become near relatives in the same department. The employees shall both inform their department head as soon as possible after the change.

<table>
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<tr>
<th>Responsibility</th>
<th>Action</th>
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</table>
| Department Chair | 1. Submit a letter to the dean, requesting approval to appoint near relatives.  
- The letter shall be signed by both of the near relatives, stating that they shall not participate in the processes of review and decision-making on any matter concerning appointment, promotion, salary, retention or termination of a near relative consistent with APM 520-16.  
- Each near relative should recuse him/herself from voting on each other’s actions if departmental and campus voting procedures would warrant a vote.  
- If the working relationship would require one party to supervise the other, an unrelated and qualified third party should be identified as supervisor to avoid a perception of conflict of interest. The Department Chair will develop written procedures for third party review of performance. |
| Dean | Review and approve the request. Provides a copy of the letter to Academic Affairs (and to Human Resources if one of the employees is a staff employee) for inclusion in the personnel files of the parties involved. |

Sample language which may be used to request approval of employment of near relatives in the same department:
I am requesting approval to appoint near relatives (insert the name and title of both near relatives.) The relationship is (describe the type of work relationship.).

The reasons for employment of near relatives and the plan for management is as follows: (Describe the organization structure, staffing and the working conditions that will exist, including direct or indirect supervisory relationship, same supervisor, possible or perceived conflicts of interest and the plan to eliminate or manage them, third party reviews for evaluating performance, and the potential impact on the organization if the request is not approved. Also see samples below.)

Sample language describing the management plan involving near relatives:

1. Professor X and Professor Y, near relatives, shall not participate in the processes of review and decision making on any matter concerning appointment, promotion, salary, retention, or termination of the other. Professor X and Professor Y have agreed to abstain from voting on any action of the other, and recuse themselves from participation in any action involving one another that would constitute or be perceived as a conflict of interest.

2. Dr. B is a Project Scientist in the lab of Professor A. In compliance with APM 520, Professor A will not supervise Dr. B. Professor C, who is familiar with the research conducted in the lab, will supervise Dr. B and may solicit feedback regarding specific elements of Dr. B’s performance along with other information received. Professor C will also solicit comments from Professor A about Dr. B’s performance on the grant, and his/her views will be considered along with other feedback received. Professor C’s supervision will consist of providing general oversight for Dr. B’s work, including performance review and consideration of classification. Because Dr. B is an Academic Federation member, all reviews for merit or promotion will follow established and approved peer group review and voting group guidelines for the department. Professor A will recuse herself from voting on Dr. B’s actions.

3. Mr. B. is an SRA (or other staff title) in the lab of Professor A and one would normally supervise the other. Professor C, who is familiar with the research conducted in the lab, will supervise Mr. B. Supervision will consist of providing general oversight for Mr. B’s work including performance review and consideration of classification. For the annual performance review, Professor C will solicit comments from peers in the lab, from any co-investigators of the research project, and from other individuals who can provide meaningful insights about Mr. B’s performance. Professor C will also solicit comments from Professor A about Mr. B’s performance on the grant, and her views will be considered along with other feedback received. Professor C will make the final decisions and ratings regarding the performance evaluations and any other resource allocations that might affect Mr. B, (such as performance bonus awards, reclassifications, etc.).

References and Related Policies
a. APM – 520
b. UCD Policy and Procedure Manual Section 380-13, near Relatives
c. UCD Policy and Procedure Manual Section 380-16, Conflict of Interest
Criteria and procedures for the appointment of department chairs

I. Criteria for appointment
   1. Outstanding scholarly and professional achievement
   2. Proven leadership ability to develop and nurture outstanding academic programs, including interdisciplinary initiatives
   3. Ability to manage the resources of the college or school, including faculty and staff, physical facilities and budget in accord with University policies and procedures
   4. Ability to foster private and grant funded support to the college or school

II. Procedure for appointment of department chairs

<table>
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<tr>
<th>Responsibility</th>
<th>Action</th>
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<tr>
<td>Dean</td>
<td>1. Conduct a search according to established recruitment procedures</td>
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<tr>
<td></td>
<td>2. Consult with the tenured members of the departmental faculty prior to offering a formal recommendation to the Chancellor.</td>
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<tr>
<td></td>
<td>a. In the School of Medicine, the recommendation for the appointment of a chair of a clinical department is a joint responsibility of the Dean and the Director of Hospital and Clinics</td>
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<tr>
<td></td>
<td>3. Submit the recommendation for appointment to the Vice Provost – Academic Affairs</td>
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<tr>
<td>Vice Provost-Academic Affairs</td>
<td>4. Reviews the request and makes a recommendation to the Provost.</td>
</tr>
<tr>
<td>Provost</td>
<td>5. Appoints the chair upon the recommendation of the appropriate dean.</td>
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A. Although service as chair is at the pleasure of the Chancellor, a chair normally serves for a period of three to five years. (Periods of sabbatical leave or of service as an acting or vice chair are not included in computing a chair's total service.)

B. A chair may be continued beyond five years of service only after a mandatory review of the appointee's service and a report to the Chancellor by the Committee on Academic Personnel of the Academic Senate.

III. Duties and Responsibilities

A. The duties and responsibilities of the chair, which are performed with the advice and counsel of colleagues within the department, are described in Appendix A of Section APM-245.

B. The additional duties of a chair of a clinical department in the School of Medicine and Medical Center are outlined in the document, "Duties of Clinical Department Chairpersons" (UCD - 245).

Criteria and procedure for appointment of Acting Chairs
I. If a chair will be absent from the department for a significant period of time (i.e., for a quarter or more), or if the Provost wishes to defer the appointment of a new chair, the Provost may appoint another member of the faculty as acting chair during the absence, according to the same criteria and procedure as that by which a chair is appointed.

II. When a department chair's absence will be of such limited duration (i.e., less than a quarter) that it is not feasible to appoint an acting chair, the chair should assure, by formal delegations of signature authority and other appropriate means, that departmental administrative affairs will be conducted properly during the absence.

III. Duties and Responsibilities

An acting chair assumes the duties and responsibilities of the department chair as described in Appendix A of Section APM-245. For the School of Medicine additional duties are described in APM UCD Section 245.

Criteria and procedures for appointment of Vice Chairs

I. Procedures for appointment of Vice Chairs

<table>
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<th>Responsibility</th>
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<tbody>
<tr>
<td>Dean</td>
<td>1. The department chair shall consult with the tenured members of the departmental faculty prior to offering a formal recommendation to the dean.</td>
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<td></td>
<td>b. In the School of Medicine, the recommendation for the appointment of a vice chair of a clinical department is a joint responsibility of the Dean and the Director of Hospital and Clinics</td>
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<tr>
<td></td>
<td>2. Submit the recommendation for the appointment to the Vice Provost – Academic Affairs</td>
</tr>
<tr>
<td>Vice Provost – Academic Affairs</td>
<td>3. Reviews the request and makes a recommendation to the Provost.</td>
</tr>
<tr>
<td>Provost</td>
<td>4. Appoints the vice chair upon the recommendation of the appropriate dean.</td>
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</table>

b. A vice chair should be appointed only when the extent of the chair's total responsibilities or need for administrative assistance in a particular area of responsibility warrants the appointment of an additional administrative officer at the departmental level.

c. A vice chair may serve for a period not to exceed five years without review.

d. Reappointment of a vice chair after five years of service requires consultation with members of the faculty and a mandatory review by the department chair, in consultation with the tenured members of the department faculty.

2. Duties and Responsibilities

The duties and responsibilities of a vice chair shall be assigned by the chair, consistent with the duties of the department chair as specified in Appendix A of Section APM-245. They may consist of general assistance in all administrative matters or of specific
responsibility in a particular area.

III. References and Related Policy
   A. APM Section 245
   B. APM Section 245-Appendix A
   C. APM UCD Section 245
This Document establishes UC Davis implementation procedures for APM-145.

I. Alternative to Layoff or Involuntary Reduction in Time

When a reduction in non-Senate academic personnel is determined to be necessary, the department chair shall consult with the dean of the appropriate school or college or comparable administrative authority, who shall in turn consult with the Vice Provost—Academic Affairs, to assure that efforts are made to find suitable openings within the University for appointees subject to layoff or involuntary reduction in time, and that the order of layoff, involuntary reduction in time, or recall, conforms to applicable policies before the action is implemented. In the case of contemplated layoff or involuntary reduction in time of an appointee paid from extramural funds in connection with a research grant or contract, the principal investigator shall be consulted.

II. Notice of Layoff or Involuntary Reduction in Time

1. It is the responsibility of the department chair to make reasonable efforts to ensure that potentially affected appointees are informed of possible layoffs or involuntary reductions in time as far in advance of the layoff or involuntary reduction in time date as feasible.

   a. The department chair shall attempt to ascertain, at reasonable intervals, the likely ending date of a project or program. If a likely ending date is discovered, potentially affected appointees shall be promptly notified in writing.

   b. If, between reviews of project or program ending dates, the department chair discovers a likely ending date, or determines that there is a reasonable chance that a project or program will end prior to a date previously announced, potentially affected appointees shall be promptly notified in writing.

2. Notice Period

   a. In the event that layoff or involuntary reduction in time is decided upon, the department chair must give the appointee written notification of layoff or involuntary reduction in time. Except in cases where the Regents have declared a financial emergency pursuant to Standing Order 100.4, the department chair must provide the appointee with written notice of layoff or involuntary reduction in time not less than: (a) the time interval specified in this manual or (b) 60 days prior to the termination date (whichever is greater).

   b. If a financial emergency as described in Standing Order 100.4 has been declared, the department chair shall deliver the written notice to the appointee not less than 30 days before the anticipated separation date.

   c. The department chair may provide payment in lieu of notice. The calculation of the amount of payment should be determined in consultation with Academic Affairs.

III. Reemployment
3. The Vice Provost--Academic Affairs shall maintain a current roster of all persons who have been laid off during the preceding 12-month period. Appointees who have been laid off or who have received a layoff notice should send a curriculum vitae and a cover letter outlining their interests to Academic Affairs. Academic Affairs will forward the information to the Dean’s Offices for distribution to and consideration by hiring Departments. Academic Affairs shall refer appointees who have been laid off to available listings of open academic positions at UC Davis and shall make particular efforts to arrange for their reemployment in the same or another department. Preference for reemployment does not extend to positions in the professorial series or to other faculty teaching titles, except as otherwise provided in an MOU for faculty who are not members of the Academic Senate.

G. Leave in Lieu of Layoff or Involuntary Reduction in Time

When indications are that an employee to be laid off or involuntarily reduced in time has a good opportunity for transferring to another University position, a leave of absence without pay and without right of reinstatement may be granted in lieu of layoff or involuntary reduction in time. Such a leave requires concurrence of the Vice Provost—Academic Affairs. After a period of 90 days on such leave, the employee shall be placed on layoff or involuntary reduction in time status if he or she has not obtained a transfer.

The sections below were removed from the implementation procedures because it is a repeat of the APM policy or does not add to the systemwide policy.

I. Applicability

This policy applies (except as noted below) to academic appointees who are not members of the Academic Senate and who do not have independent responsibility for conducting regular University courses.

A. The policy does not apply to academic appointees in student status. Such student appointees are employed for specified periods, and failure to reappoint is to be considered a termination rather than a layoff. Separate considerations, particularly relating to the quality of the student's academic work and the student's progress toward degree objectives, take precedence over the considerations of layoff policy.

B. The policy does not apply to a person whose employment was for a specific project with a specified completion date.

II. Order of layoff

1. The order of layoff for appointees in the same department and category of employment (e.g., professional research personnel, librarians, or specialists) is determined, first, on the basis of the degree of possession and use of knowledge and skills essential to the project, program, or department. This determination is to be made by the department head on the basis of judgment.

2. If there are no substantial differences in terms of the extent to which two or more appointees possess and exercise essential abilities, knowledge, and skills, the order of layoff shall be determined by relative performance of specified duties. This determination is to be made by the department head on the basis of evidence and judgment.

3. If there are no substantial differences in terms of the relative performance of specified
duties, the order of layoff shall be on the basis of seniority, with the least senior person to be laid off first. Seniority shall be determined on the basis of the number of months of full-time equivalent service with the University.

D. Appeal of Layoff

A layoff decision may be appealed in accordance with policies and procedures set forth in Sections APM-140 and UCD-140.

E. Reemployment

1. Vacancies occurring within a 12-month period, in the department and employment category from which appointees have been laid off, shall be filled by a person who is on layoff status, provided one such person is qualified and available for this position.

2. If more than one qualified person is on layoff status from the same department, the employee who was laid off last shall be the first rehired. An exception can be made for an employee who possesses skills which are unique or essential to a project or program. Upon approval of the Vice Provost--Faculty Relations, such a person may be reemployed regardless of the order of his or her layoff.

F. Benefits Upon Reemployment

When a person is reemployed after a period of layoff not exceeding 12 months, the periods before and after layoff shall be considered as continuous service for the limited purpose of applying University policies concerning sick leave, vacation, holidays, reduced fees, military leave, and merit salary increases. However, benefits and credits for service, including those relating to any retirement system, do not accrue during periods on layoff status.