

University of California, Riverside
Implementation Guidelines - Delegated Appointments for Assistant Professors

Creation Date: January 2008

Revision Date(s) January 2014, December 2012

This is written to provide procedural guidelines for those Senate faculty appointments recently delegated to Academic Deans by the Executive Vice Chancellor and Provost (EVCP). The Dean now has authority to approve appointments for the following:

Assistant Professor, Step I, II or III

Acting Assistant Professor Step I or II

(NOTE: Effective 10/18/2013, appointments of Acting Assistant Professors at Step III (or higher) will undergo a full personnel review with a Chancellor's final decision.)

I. DOCUMENTATION REQUIREMENTS

The following documentation should be included in each delegated appointment file:

- [Cover Sheet](#) for Assistant I,II, and III Appointments
- A Copy of the approval coversheet for the Recruitment Plan submitted to Academic Personnel Office (APO) via Office of Faculty and Staff Affirmative Action (OFSAA).
- Copy of approved authorization for recruitment from the EVCP
- List of Documents found in [the CALL](#) for Appointment Checklist for Assistant I, II and III Appointments
- An affirmative action compliance statement signed by the Dean
- Retain candidate's publications at the department level with a cover list of accepted and submitted items.

II. PROCEDURAL GUIDELINES

Chair's Responsibility: The review process in the Department should follow the same procedure as for other appointments. The Department Chair has overall responsibility for the process, which includes notifying the candidate, documenting and presenting the Department's recommendation, and forwarding the materials to the Dean. Recommendations for appointment must be based on a complete appointment file (see Appointment Checklist).

Dean's Responsibility: The Dean has responsibility for approving the appointment, verifying that the position has been authorized for recruitment, for completing the affirmative action compliance form, and writing the appointment letter. Standard language for this letter must be used (see attached template).

Off-scale salaries: All O/S salary proposals for new faculty appointments require documented approval from the EVCP except in the following cases:

1. For Assistant I, II and III, when the O/S is no more than \$100 less than the next step at the Assistant Professor rank.
2. For LSOE/PSOE, when the O/S is no more than \$100 less than Assistant ProfessorIV.

Additional Information: If, after review of the file, the Dean's preliminary assessment is not to approve the appointment or to appoint at a different step than that recommended by the Department, the Dean should consult with the Department Chair to see if there is additional information to consider before making the final decision. Per Bylaw 55, the file must be returned to the department for vote on a higher step if applicable.

If a majority of the Department's appointment vote is negative (and the Dean positive) the file will be processed according to existing procedures for other personnel reviews (higher level appointments, merits, and promotions). (4/3/2008)

If the appointment is made within the above guidelines, APO will not review Appointment or IC letters before they go to the candidate, unless asked to.

Office of Record: APO will remain the office of record for these delegated appointments. The original appointment file, original signed accepted formal offer letter, and other documents required should be sent to APO **no later than four weeks after the offer has been accepted**. An annual post audit of appointments will be done in consultation with CAP.

III. RESOURCES

Academic Personnel Manual (APM): [APM Section II, Appointment and Promotion](#)
[The CALL](#)
[Academic Hiring Toolkit](#)
[Delegation of Authority](#)



**COVER SHEET FOR ASSISTANT PROFESSOR I, II & III APPOINTMENTS AND
ACTING ASSISTANT PROFESSOR STEP I & II APPOINTMENTS**

Dates for Routing: Received/Sent

Dept _____/_____

Dean _____/_____

To Be Completed By the Dean:

Concur with Dept Recommendation

DEAN'S APPROVAL: _____

Letter Attached (Optional)

DATE: _____

NAME _____

DEPARTMENT _____

COLLEGE/SCHOOL/DIVISION _____

Highest Degree _____ Date Received _____ Estimated Completion Date _____

(for Acting appointments only)

Name of University _____

Major Subject or Field _____

Years Toward the 8 Year Rule _____

APPOINTMENT STATUS

Step: _____

Salary : _____ *(total salary approved)*

Pay Basis: Academic Yr. ____ /Fiscal Yr. ____ (Check One)

Percentage of Appointment: IR__% OR__% CE__%

Off-Scale: _____ *(amount of off-scale approved)*

Effective Date of Appointment _____

Research Specialization _____

**CHECKLIST FOR ASSISTANT PROFESSOR I, II AND III APPOINTMENTS AND
ACTING ASSISTANT PROFESSOR I AND II APPOINTMENTS**

Name: _____ Department: _____

- | | |
|--|------------|
| ____ Signed Appointment Letter | (Original) |
| ____ Affirmative Action Compliance Report* | (Original) |
| ____ Affirmative Action Summary of Recruitment Statistics* | (Original) |
| ____ Departmental letter of recommendation (include eligible faculty vote) | (Original) |
| ____ Dean's Approval initials on copy of Cover Sheet or Dean's Letter | (Original) |
| ____ Chair's Letter (optional) | (Original) |
| ____ Letters of recommendation (List #) | (Original) |
| ____ Current signed biography and bibliography (UC format) | (Original) |
| ____ Candidate's Vita | (Original) |
| ____ Teaching Evidence (if applicable) | (Original) |
| ____ Approved authorization for recruitment from EVCP | (Original) |
| ____ Approved o/s memo from EVCP (if applicable)
(see Off-Scale Salary section for information) | (Original) |

Retain candidate's publications at the department level with a cover list of accepted and submitted items.

Employee Documents for Appointments:

The Department is the Office of Record for the following items and forms:

1. Surepay Authorization Form and its attachment
2. Federal and State Withholding Form
3. Employment Eligibility Verification (I-9) and its attachments
4. Oath of Allegiance/Patent Agreement
5. Affirmative Action Data Transmittal (Shred after PPS Data Entry)
6. Candidate's Publications with cover list of in press items

Following PPS Data Entry, forward the following forms to the Payroll Office and keep a copy on file (if applicable):

1. Statement of Citizenship (required from non-citizens of the USA)
2. Exemption from Withholding on Compensation (8233)
3. Tax Treaty Statement
4. Benefit Forms

This document check list and its attachments are required by the Office of Academic Personnel. Please retain copies in the college.

Office of Record: Academic Personnel will remain the office of record for these delegated appointments. The original appointment file, original signed accepted formal offer letter, and other documents required should be sent to Academic Personnel no later than four weeks after the offer has been accepted. An annual post audit of appointments will be done in consultation with CAP.

***Affirmative Action Compliance Report and Affirmative Action Summary of Recruitment Statistics will remain on file in APO and will not be forwarded with the file beyond APO.**

**STANDARD LANGUAGE FOR DELEGATED ASSISTANT PROFESSOR STEP I, II,
AND III APPOINTMENTS**

<DATE>

<FULL NAME>

<ADDRESS 1>

<ADDRESS 2>

Dear Dr. <LAST NAME>:

Acting under authority delegated by the Chancellor, I am pleased to approve your appointment as <RANK, STEP, O/S> in the <Department of >, within the <College of >, effective <START DATE>. Your total salary will be <\$XXX,XXX> (fulltime, academic year basis), subject to deductions required by applicable laws and regulations. The off-scale portion of your salary will be maintained as long as satisfactory academic progress is made. Additionally, the off-scale will be maintained subject to market adjustments to the UC salary scale.

For Assistant Professors add language in bold:

Initial appointment and reappointment of Assistant Professors are officially made for a maximum term of two years each. Tenure track appointments, however, are normally renewed until the mandatory review for tenure, which must occur during the seventh-year of service. Administrative decisions regarding reappointment and/or promotion to tenure will depend upon evaluations and recommendations from the department, the Dean and faculty review committees, and may be affected by fiscal and programmatic considerations. Further regulations pertinent to your appointment and advancement are available through your department chairperson.

For Acting Assistant Professors add language in bold:

Your Acting appointment begins [Start Date] and ends [End Date] unless you have received the Ph.D degree prior to that time. Once all requirements for the Ph.D. have been fulfilled and proof of completion provided, you will be appointed to regular rank and the "acting" prefix will be removed.

I should also point out that the annual appointment as Acting Assistant Professor is self-terminating. This does not in any way limit the department in recommending reappointment, but such a recommendation would be considered a new appointment and would depend upon positive recommendations from the department, faculty review committees and the Dean, and continued availability of funds. The total period of service as Acting Assistant Professor is limited to two years.

The University of California Faculty Handbook offers an introduction to the University of California and can be accessed at <http://www.ucop.edu/acadadv/acadpers/handbook/>. The University of California Academic Personnel Manual (APM) has governing policies regarding your appointment, and can be accessed

at: <http://www.ucop.edu/acadadv/acadpers/apm/welcome.html>. In addition, you should become familiar with APM 025, Conflict of Commitment and Outside Activities of Faculty Members.

The University will provide you with the following:

Insert Initial Complement (use if applicable; however, language in **bold** must be included if there is an initial complement)

Beginning the effective date of your appointment, initial complement funding in the amount of [enter \$ amount] will be made available to you to draw-down over the first three active years of your employment at UCR. This funding may be used for such items as equipment purchases, approved lab renovations, supplies, research travel, academic and staff personnel costs (including benefits) and other miscellaneous agreed upon items, as outlined in your initial needs list. **All expenditures of these funds must be in accordance with University policies, guidelines, and restrictions. Any unexpended initial complement funds will be recovered by the University at the end of the three-year period.**

Additionally, for a detailed explanation of service period versus pay periods, please review the attachment titled, ‘Service Periods vs. Pay Periods.’ The policy APM 600 can also be accessed at <http://www.ucop.edu/acadadv/acadpers/apm/apm-600.pdf>.

Upon appointment, the University will recommend eligibility status for you to apply for a faculty home loan under the University's Mortgage Origination Program (MOP) for you and your dependents to relocate to the Riverside area. You can access up-to-date information regarding this program at <http://res.ucr.edu/mopinfo.shtml>, or you can contact Marianne Valenti via email at marianne.valenti@ucr.edu or by phone at (951) 827-3322 for specific questions and qualifying amounts and time limits on this eligibility status.

The University will pay the allowable expenses for removal of household goods and professional items (library, laboratory, office materials) to the Riverside area. The University will reimburse expenses incurred in moving your dependents to the Riverside area via air coach, automobile, or other means of transportation, up to the equivalent of the most economical air coach fare. The Department will arrange for the hire of a moving company when you have determined the time and place of your move. [Please see the brochure “Family and Household Move Information for New Academic Appointees” <http://academicpersonnel.ucr.edu/appointment/NewAppointeeBrochure.pdf> which defines allowable items and specific policies and procedures governing removal expenses paid by the University.] This program must be used before the end of the first year of paid employment in order to be excludable from the employee’s taxable gross income (see [Campus Policy number 650-31](#)).

All appointments are contingent upon the appointee being able to provide, in accord with Federal law, evidence of authorization to work in the United States. If you are not a permanent resident or U.S. citizen, please contact Kimberly Gentile with the International Scholar Center via email at kimberly.gentile@ucr.edu or by phone at (951)

827-4986 and [enter department contact] at [enter email address] or [enter phone number] in order to initiate the visa process for employment at UC Riverside. In addition, to the initial complement funding described above, the College of [] will provide up to \$8,000 for actual costs, if any, incurred in connection with the processing of your Visa. This amount may not be utilized for any other purpose.

If the terms and conditions of this appointment as specified above are agreeable to you, please sign and return the enclosed copy of this letter. This offer will expire if I have not received your written acceptance by [DUE DATE].

I wish to welcome you to the University of California and I believe that you will find your work with us challenging and rewarding.

Sincerely,

Dean

Enclosures

ACCEPTED BY:

Dr. [FULL NAME]

Date

Cc: [Department Chair]
Affirmative Action Office
Academic Senate
Academic Personnel
Marianne Valenti, Office of Real Estate Services
Kimberly Gentile, International Scholar Center