

Principles for Academic Administrative Appointments

This document outlines the principles and policy for academic administrative appointments. These guidelines do not apply to Senior Management Group (SMG) appointees. For additional information on SMG appointments see <http://www.hr.ucdavis.edu/Elr/supervisor/smg/index.html>.

Purpose of these Guidelines

- Ensure that appointments are entered into the payroll system to properly reflect the percent of administrative work of our appointees and protect the appointee in the advancement process by recording the amount of university service required by the administrative appointment.
- Promote consistency of treatment in pay and service expectations of similar positions across campus units.
- Establish a clear understanding of available types of compensation for these positions.
- Establish a clear understanding of other non-personal compensation incentives for performing these positions. These include course buy-outs and academic enrichment funds.
- Standardize how central campus will fund academic administrative appointments that support the campus.
- Ensure that campus reporting and data systems that use payroll title information are accurate.
- Ensure the accuracy of advancement actions.

GUIDELINES BY APPOINTMENT TYPE AND TITLE CODE

Where academic title codes exist in the [Academic Title Code Table](#), these appointments should be entered into the Payroll system to properly reflect the percent of administrative work of our appointees and protect the appointee in the advancement process by recording the amount of university service required by the administrative appointment. Funding for the administrative position may be the same funding source as the current academic appointment, as long as the appointee is not currently being paid from grant or contract funding for a project.

Deans 100% ([APM 240](#) and [UCD 240](#))

Dean – Title Code 1000

Acting/Interim Dean – Title Code 1007

Academic Deans, which includes Acting or Interim Deans, serve at 100% time and must hold an appointment in Payroll at 100% under the appropriate title code to reflect the percent of effort under that administrative title. The concurrent Professorial appointment is set at 0%. All rights and privileges commensurate with the professorial title are maintained including the accrual of sabbatical credit. The salary rate is negotiated based on the criteria outlined in [APM 240](#) and approved based upon salary ranges set by UCOP administration and campus Chancellors. These ranges are approved by discipline and market conditions. Regental Thresholds on salary and total cash compensation apply. Compensation above these limits must be approved by the Regents. Contact the Academic Affairs Office for current limits. Academic Affairs provides an annual report to UCOP on all Deans' compensation.

Faculty Administrators 100% ([APM 246](#))

Vice Provost – Title Code - 1068

Associate Vice Provost – Title Code - 1069

Associate Vice Chancellor -Title Code 0803

Associate Dean -Title Code 1010

Interim or Acting appointment in the titles listed above – See the [Academic Title Code Table](#)

All administrative appointments listed under the titles above must hold an appointment in Payroll at 100% if their position is full-time, under the appropriate title code to reflect the percent of effort under that administrative title. The concurrent Professorial appointment is set at 0%. All rights and privileges commensurate with the professorial title are maintained including the accrual of sabbatical credit. The salary rate is negotiated based on criteria outlined in [APM 246](#). Regental Thresholds on salary and total cash compensation apply. Compensation above these limits must be approved by the Regents. Contact the Academic Affairs Office for current limits. Academic Affairs provides an annual report to UCOP on all full-time Faculty Administrator compensation. All rights and privileges afforded by the underlying faculty appointment remain while serving as a 100% Faculty Administrator.

Faculty Administrators less than 100% ([APM 241](#))

Vice Provost -- Title Code - 1068

Associate Vice Provost – Title Code - 1069

Associate Vice Chancellor --Title Code 0803

Associate Dean --Title Code 1010

Director of an Organized Research Unit (ORU) --Title Code 0900

Faculty Assistant to the ____ (Dean, Vice Chancellor, Provost or Chancellor), Title Code 1055, 1045 or 1044

Academic Assistant to the ____ (Dean, Vice Chancellor, Vice Provost or Chancellor) Title Code 0801 or 0800

Interim or Acting appointment in the titles listed above – See the [Academic Title Code Table](#)

According to [APM 241-4](#), an appointment as a Faculty Administrator, less than 100%, is one “who is appointed to assume administrative responsibility in addition to, or in partial replacement of, his or her faculty responsibilities...In this case, scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the faculty member's series.”

All administrative appointments listed under the titles above should hold an appointment in Payroll with a percent of time under the appropriate title code to reflect the percent of effort under that administrative title and effort under the remaining percent of the academic title. All rights and privileges commensurate with the professorial title are maintained including the accrual of sabbatical credit. The salary rate is equivalent to the rate of the regular academic position. Those who hold these appointments are given a separate stipend amount under a payroll title code of 1099 (Administrative Stipend), in recognition of the expanded administrative role and following campus guidelines for stipend ranges. Stipend level will be within a range and determined based on the workload and scope of responsibilities. Funding for the administrative position may be the same funding source as the current academic appointment, as long as the appointee is not currently being paid from grant or contract funding for a project.

The Faculty Assistant title should be used for those who are members of the faculty; the Academic Assistant title should be used for non-faculty, e.g., Federation appointees. Examples of appointments under these titles may be as a College/School Program Director or as a faculty member or other academic appointee working on a specific initiative or project for a Dean, Vice Provost, Vice Chancellor, Provost or Chancellor.

Department Chairs/Program Directors ([APM 245](#) and [UCD 245](#))

The role of Department Chair (or Program Director, e.g., HARCS programs) is in addition to the position of Professor or other faculty title. Those who hold these appointments remain at 100% under their academic title in Payroll and are given a separate stipend amount under a Payroll title code of 1096 (Department Chair). The amount of stipend is set by the Dean following campus guidelines for stipend ranges. Department Chairs are approved by the Chancellor. The underlying faculty appointment dictates the methodology used for the duration of the stipend.

Academic-Year Appointees: (L&S Divisions, Engineering, GSM, Education, Law, some appointees in CAES and CBS)

Academic-year appointees refer to the period in which the academic appointee renders services, i.e. the academic year. Academic-year appointees are expected to be in service from the beginning of the Fall Quarter to the end of the service period in the Spring Quarter. Department Chair stipends for Academic-year appointees are provided from October 1st through June 30th. If administrative service is required during the summer months, Deans may provide summer-ninths (additional compensation) for additional administrative service, up to 3/9th compensation following the limits as outlined in [APM 600](#).

Fiscal-Year Appointees: (Veterinary Medicine, School of Medicine, some appointees in CAES and CBS)

A fiscal-year appointment refers to the period in which the individual renders service, i.e. throughout the calendar year (12 months) as opposed to the academic year (9 months). Fiscal-year appointees are expected to be in service year round with the accrual of 24 days of vacation per year. Department Chair stipends are provided from August 1st through June 30th.

Graduate Group Chairs ([APM 245](#) and [UCD 245B](#))

Graduate group chairs are faculty members who serve as the academic leader and administrative head of a graduate group, assuming certain duties equivalent to a department chair under [Section APM-245](#) as an "equivalent officer."

Graduate Group Chairs are appointed by the Chancellor upon recommendation of the Dean of Graduate Studies.

Graduate Group Chairs are paid a stipend under title code 1099.

Administrative Appointments within a Unit

Currently, administrative appointments within an academic unit, such as Associate Deans or Faculty or Academic Assistant positions are not appointed in a consistent manner between units for similar roles. All new appointments or reappointments beginning effective July 1, 2015, should be appointed with the correct title code and percent of time for the role. Please refer to Attachment 1, Administrative Appointments Summary Chart for appointment guidelines. How funding is distributed between Deans and Departments for these positions is left to the discretion of the unit.

Attachment 1, Administrative Appointments Summary Chart provides a summary of this information for each administrator position, please refer to this to assist in implementing these guidelines.

FUNDING ACADEMIC ADMINISTRATORS SERVING THE CAMPUS

100% Administrative Appointments

When a faculty member is chosen to serve in a campuswide position (i.e. scope is broader than a position within a school, college or division) with a 100% appointment where there is an existing budget for this position in the unit where the appointment will be held, such as a dean, vice provost, or vice chancellor who holds an academic appointment, the individual will be appointed in that position and their salary and benefits paid from that academic or administrative unit. Their professorial salary will stay in the academic unit where they hold an academic appointment. Upon the individual's return to the faculty, the academic unit will be responsible for funding the salary and benefits of their professorial title. This is consistent with the practices described in the Incentive-Based Budget Model for Faculty Resources.

<http://www.budget.ucdavis.edu/budget-model/documents/BdgtModel-Working-Paper-Faculty-Resources-V02.pdf>

Less than 100% Administrative Appointments

When a faculty member is chosen to serve in a campuswide position (i.e. scope is broader than a position within a school, college or division) less than 100%, for example as an Associate Vice Chancellor or Associate Vice Provost with a 50% appointment, funding for the position will occur as follows:

- The base salary and benefits will stay with the individual based on their current appointment, but will be re-allocated between their administrative appointment and appointing unit and academic home. If merits occur during the term of the appointment, they will be funded centrally and apportioned to each appointment type.
- In the case of units who partially pay faculty salaries on funds other than state funds and tuition, such as self-supporting degree fees and professional degree supplemental tuition, it will be assumed that the administrative appointment percent is all or part of the state funds and tuition share of the faculty salary.
- In the case of School of Medicine faculty, the base salary is defined as the X and X' salary components, per APM 670-18b, "base salary is the approved rate on one of the Health Sciences Compensation Plan Salary Scales associated with a faculty member's academic rank, step and assigned APU."
- Central campus will fund the individual's stipend, summer salary and/or research support as negotiated and agreed to as part of the administrative appointment.
- Central campus will fund course buy-outs equivalent to the percent of time in the administrative appointment based on the standard teaching load established by the faculty member's department. The buy-out will be at a standard rate established by campus (see below) and will continue throughout the term of the appointment. For example, if the administrative appointment is 50% and the standard teaching load is three courses a year, the buy-out will be for one and a half courses.
- Units who fund part of faculty salaries on non-state fund and tuition sources, such as Self-Supporting Degree Fees or Professional Degree Supplemental Tuition, will only be provided course buy-outs for the portion of teaching paid on state funds, not on other funds that will continue to accrue to the unit.
- When the administrative appointment concludes and the individual returns to their full-time professorial appointment, their base salary and benefits at the current rate will return with them.
- In the case of appointments to Organized Research Units (ORUs), it will be expected that there will be some financial partnership between central campus, the Office of Research, and the Academic Units who are primary participants in the ORU in supporting the funding of these positions.

Funding Source for Administrative Appointments

The type of funding used for all administrative appointments should be reflective of the scope of activities expected of the position. For example, Deans are involved in fundraising, research administration, coordinating instructional activities, and possibly clinical or other activities depending on the unit. As such, salaries should be allocated across all appropriate fund sources. This concept may apply to any administrative appointment.

Standard Course Buy-Out Amounts

The purpose of a course buy-out is to fund the cost of replacement teaching for a faculty member who is in a short-term administrative role. It is also often the case that aspects of faculty service must be replaced by other faculty taking on more of this work who may also require some additional support for teaching or research, which could be funded from this source. However, because faculty in administrative appointments can vary in level and replacement teaching does not typically cost the full amount of a regular faculty salary, and salaries vary by discipline basing a course buy-out on either the actual cost of the replacement teaching or the salary of the faculty member who's teaching is being replaced can lead to wide variances in amounts and creates significant workload to administer.

In order to determine a standard course buy-out rate to be used by central campus, BIA reviewed and analyzed several options:

- 1) Calculated the average salary of incumbent Assistant Professor III for each school, college and division using actual salaries from the October 31, 2014 payroll snapshot.
- 2) Calculated an average salary for all Assistant Professors for each school, college, and division using the same data as option 1.
- 3) Used the Assistant III salary from the applicable July 1, 2014 salary scale.
- 4) Used the applicable July 1, 2014 salary scales to calculate an average salary for all Assistant Professors.

These salary averages were used to calculate the estimated amount of funding required for a one course buy-out and the course buy-out amounts were compared to the cost of a replacement lecturer based on current Unit 18 salary scales. A review of these figures revealed that the cost of a one course buy-out, and the value of the one-course calculation of faculty salaries for all of the options reviewed, fell in a narrow range for most campus units. The course buy-out amount was higher for the schools that are on a semester schedule. Based on this analysis, the course buy-out amount for campus units on quarters will be \$30,000 per course. For the two semester schedule units, the course buy-out amount will be \$40,000 per course.

An additional \$5,000 per course will be allocated for benefits. Benefit expenses for all units were reviewed and revealed that benefit rates vary significantly depending on the type (professorial vs. lecturer) and level of the instructor. This additional allocation should be sufficient to fund benefits related to replacement teaching.

These figures will be reviewed and adjusted, if necessary, at least every three years. It is our expectation that this will provide sufficient funds for all units to replace teaching, and possibly support other faculty in contributing more to service, during the term their faculty member is on an administrative appointment.

These amounts will be used for buy-outs funded by central campus. We encourage units to consider similar consistency for buy-outs within their unit and when buy-outs occur across units, but it is not required.

Example of a Less than 100% Administrative Appointment for a Campuswide Position

Current Faculty Salary: \$160,000, AY appointment

Administrative Appointment Agreement: 50%, 2/9 summer salary, \$1,000/mo stipend, course buy-out of 1.5 courses based on a standard 3 course teaching load.

Assumption: Benefits based on applicable composite rates will be applied to all salary components. For simplicity, they are not reflected in this example.

Salary Component	Academic Unit	Administrative Unit	Fund Source
Professorial Salary	\$80,000	\$0	Existing in Unit
Academic Administrator Salary		\$80,000	Transfer fr Acad to Admin Unit*
Summer Salary		\$35,500	Campus
Stipend		\$12,000	Campus
1.5 Course Buy-out	\$52,500		Transfer from Campus to Unit
Total Available	\$132,500	\$127,500	

*Academic Administrator Salary funding will return to Academic Unit when the administrative appointment ends and individual returns to their full-time professorial appointment.

IMPLEMENTATION AND NEXT STEPS

- All administrative appointments effective or renewed on or after July 1, 2015 should follow the guidelines and principles reflected in this paper.
- Academic Affairs and BIA will be reviewing and updating the standard stipend levels and guidance over the next several months.
- Academic Affairs and BIA will also work with the Academic Senate to review the stipend levels and practices for senate officer and committee appointments to ensure greater consistency of practice for Senate service.
- Academic Affairs is in the process of developing guidelines on academic enrichment funds, consistent with new UCOP policy. As these funds are often part of the arrangement negotiated with Academic Administrators, this guidance will also supplement this information.

<u>Administrative Title</u>	<u>Title Code</u>	<u>Fiscal Year or Academic Year Appointment</u>	<u>Policy</u>	<u>Terms of Service</u>	<u>Requires Payroll Title</u>	<u>Eligible for Stipend</u>	<u>Eligible for Summer Compensation</u>	<u>Eligible for Vacation Accrual</u>	<u>Review Requirements</u>	<u>Approval Authority</u>
100% ADMINISTRATORS										
DEAN	1000	FY	APM 240/UCD 240	3-5 years	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment and review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM DEAN	1007	FY	APM 240/UCD 240	1 year or less	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment	Chancellor
VICE PROVOST	1068	FY	APM 246	3-5 years	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment and review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM VICE PROVOST	1077	FY	APM 246	1 year or less	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment	Chancellor
ASSOCIATE VICE PROVOST	1069	FY	APM 246	3-5 years	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment and review prior to reappointment (no later than once every 5 years)	Chancellor
ASSOCIATE VICE CHANCELLOR	0803	FY	APM 246	3-5 years	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment and review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM ASSOCIATE VICE CHANCELLOR	0804	FY	APM 246	1 year or less	Yes	Yes	Eligible for 1/12 per APM 246-18e.	Yes	Annual assessment	Chancellor
ASSOCIATE DEAN	1010	FY	APM 246	3-5 years	Yes	No	Eligible for 1/12 per APM 246-18e.	Yes, if FY	Annual assessment and review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM ASSOCIATE DEAN	1017	FY or AY	APM 246	1 year or less	Yes	Yes	Eligible for 1/12 per if FY; 3/9th summer salary if AY per APM 246-18e.	Yes, if FY	Annual assessment	Chancellor

<u>Administrative Title</u>	<u>Title Code</u>	<u>Fiscal Year or Academic Year Appointment</u>	<u>Policy</u>	<u>Terms of Service</u>	<u>Requires Payroll Title</u>	<u>Eligible for Stipend</u>	<u>Eligible for Summer Compensation</u>	<u>Eligible for Vacation Accrual</u>	<u>Review Requirements</u>	<u>Approval Authority</u>
PART-TIME ADMINISTRATORS -- LESS THAN 100%										
ASSOCIATE VICE CHANCELLOR	0803	FY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM ASSOCIATE VICE CHANCELLOR	0804	FY	APM 241	1 year or less	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.	Yes, if FY	Review prior to reappointment, if applicable	Chancellor
ASSOCIATE DEAN	1010	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM ASSOCIATE DEAN	1017	FY OR AY	APM 241	1 year or less	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment, if applicable	Chancellor
ASSOCIATE VICE PROVOST	1069	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Chancellor
DIRECTOR OF AN ORGANIZED RESEARCH UNIT (ORU)	0900	FY	APM 241/UCD Appendix II-C	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.	Yes	Review prior to reappointment (no later than once every 5 years)	Chancellor
ASSOCIATE DIRECTOR OF AN ORGANIZED RESEARCH UNIT (ORU)	0910	FY	APM 241/UCD Appendix II-C	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.	Yes	Review prior to reappointment (no later than once every 5 years)	Provost
ACT/INTERIM DIRECTOR OF AN ORGANIZED RESEARCH UNIT (ORU)	0907	FY	APM 241/UCD Appendix II-C	1 year or less	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c.	Yes	Review prior to reappointment, if applicable	Vice Provost - Academic Affairs

<u>Administrative Title</u>	<u>Title Code</u>	<u>Fiscal Year or Academic Year Appointment</u>	<u>Policy</u>	<u>Terms of Service</u>	<u>Requires Payroll Title</u>	<u>Eligible for Stipend</u>	<u>Eligible for Summer Compensation</u>	<u>Eligible for Vacation Accrual</u>	<u>Review Requirements</u>	<u>Approval Authority</u>
PART-TIME ADMINISTRATORS -- LESS THAN 100% (continued)										
FACULTY ASSISTANT TO THE CHANCELLOR	1044	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Chancellor
FACULTY ASSISTANT TO THE VICE CHANCELLOR	1045	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Vice Chancellor
FACULTY ASSISTANT TO THE PROVOST/DEAN	1055	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Provost/Dean
ACADEMIC ASSISTANT TO THE ____	0801/08	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Hiring Administrator
DIRECTOR - EAP STUDY CENTER	1070	FY OR AY	APM 241	Up to 5 years	Yes	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Vice Provost -- Global Affairs
NON-ORU DIRECTOR	N/A	FY OR AY		Up to 5 years	No	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Hiring Administrator - normally Dean or Vice Chancellor

<u>Administrative Title</u>	<u>Title Code</u>	<u>Fiscal Year or Academic Year Appointment</u>	<u>Policy</u>	<u>Terms of Service</u>	<u>Requires Payroll Title</u>	<u>Eligible for Stipend</u>	<u>Eligible for Summer Compensation</u>	<u>Eligible for Vacation Accrual</u>	<u>Review Requirements</u>	<u>Approval Authority</u>
DEPARTMENT CHAIRS										
DEPARTMENT CHAIR	1096	FY OR AY	APM 245/UCD 245	Up to 5 years	Yes - stipend only	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Chancellor
ACT/INTERIM DEPARTMENT CHAIR	1095	FY OR AY	APM 245/UCD 245	1 year or less	Yes - stipend only	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment, if applicable	Chancellor
VICE CHAIR	1094	FY OR AY	APM 245/UCD 245	Up to 5 years	Yes, if stipend paid	Yes	Eligible for 1/11 if hired prior to 7/1/14; or 1/12 if hired 7/1/14 or later, per APM 600-14 .c; 3/9th summer salary if AY	Yes, if FY	Review prior to reappointment (no later than once every 5 years)	Vice Provost-- Academic Affairs
GRADUATE GROUPS										
GRAD GROUP CHAIR	1099	FY OR AY	APM 245/UCD 245B	3-5 years	Yes - stipend only	Yes	N/A	N/A	Review after 5 years if appointment continues beyond 5 years	Chancellor