

200-0 **Policy**

It is the policy of the University to evaluate objectively and thoroughly each candidate for appointment, promotion, or merit increase. Promotions and merit increases are not automatic, but are based on merit.

Every faculty member shall be reviewed at least every five years. The Chancellor, with the advice of the Academic Senate, shall determine the level and type of review and shall develop appropriate implementing procedures.

The Chancellor may exempt from this five-year review faculty who are also members of the Executive Program. (See APM-240-80 regarding the five-year review of academic Deans and Provosts.)

For faculty who are not members of the Executive Program, the five-year review may not be waived; in exceptional circumstances, the Chancellor may defer the review for one year.

200-8 **Types**

Appointment and promotion policies and procedures for certain specific title series will be found in Manual sections following this general APM - 200.

On each campus the officers reviewing professional research appointments and promotions and reviewing staff appointments will be expected to notify and consult with one another when there is any doubt as to whether a proposed appointment should be classified as professional research or staff personnel. When the officers cannot agree, the question shall be referred to the Chancellor for resolution.

200-17 **Effective Service Dates**

a. **Effective Date of Appointment — General**

The effective date of an appointment, merit or promotion to another approved title is the initial date of the change for purposes of payroll and record keeping and indicates the first day on which the payment begins for appointments. Salary increases associated with merits and promotions will be paid as described below.

The University's annual fiscal operating budget year begins July 1. The University's budget is adopted after the State's budget is signed, which may occur after July 1. For merits and promotions that are effective on July 1, the date of payment of associated salary increases depends on when the University's budget is adopted for the fiscal year. In the event the University's budget is not adopted in time to meet applicable payroll deadlines for a July 1 effective date, there may be a delay in payment of salary increases until the University's budget is adopted. Under these circumstances, salary increases will be paid as soon as possible, with retroactive payment to the effective date of the merit or promotion.

**b. Effective Date of Promotions**

The effective date for promotions within any of the title series is July 1 of each year; however, Chancellors and the Vice President—Agriculture and Natural Resources are authorized to promote personnel within the authority granted in APM - 200-24 at any effective date during the year.

**c. Beginning Date of Service**

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 appointee is required to be on duty under the terms of the appointment or new status. This date will be different from the effective date for academic-year appointees paid in twelve installments.

**200-19 Normal Periods of Service at Rank and Step**

For those titles in which normal periods of service at ranks and steps within ranks have been established the following shall apply. (Please note that the following periods are not relevant for purposes of determining retirement credit or sabbatical leave credit.)

- a. An academic-year appointee who has served at least two full quarters or one full semester in any academic year will receive service credit for one year at rank and step.
- b. An academic-year appointee who has served one quarter or less in any academic year will not receive service credit for that year.
- c. A fiscal-year appointee with an effective date of appointment in the period July 1 through January 1 will receive service credit for one year at rank and step.

- d. A fiscal-year appointee with an effective date of appointment in the period January 2 through June 30 will not receive service credit for that year.
- e. A period of leave after service of at least one full quarter may be counted toward service in reckoning the number of years at rank and step if this is deemed appropriate by reviewing authorities. For periods of leave in relation to the eight-year limitation of service, see APM - 133-17-g.

200-22 **Recall Appointments for Academic Appointees<sup>1</sup>**

- a. The University may recall to active service, on a year-to-year basis, academic appointees who have retired, provided such appointments are not in conflict with the terms of the University of California Retirement Plan and/or University policy.<sup>2</sup>

- b. Authority<sup>2</sup>

The Chancellor has the authority to approve salaried and non-salaried recall appointments on a year-to-year basis.

- c. Criteria

In general, a campus fills a vacancy created by retirement with a long-term appointment. However, delays in such appointments can occur for a number of reasons. Recall appointments may be approved under these and certain other circumstances.

The following criteria shall be considered in determining whether to recommend or approve a recall appointment:

- (1) The teaching, research, and/or administrative needs of the department or unit.

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<sup>1</sup> These provisions are consistent with Regents' Standing Order 103.6, and the President's delegation of authority letter dated August 17, 1989, to Chancellors, Laboratory Directors, the Senior Vice President—Business and Finance, and the Vice President—Agriculture and Natural Resources concerning service following retirement.

<sup>2</sup> See APM - 200, Appendix A, Pre-Retirement Recall Guidelines for Faculty Recalled for Post-Retirement Teaching, for exceptions that apply to certain faculty age 60 and older who enter a pre-retirement agreement for a recall for teaching appointment.

- (2) Availability of office and laboratory space.
- (3) Budgetary resources.
- (4) Ability of the candidate in the areas required for appointment in the particular academic title or series (e.g., Professor series). Documentation of these areas should specifically include an evaluation of activities during the current year and the last several years. If the candidate has not served in the University within the past year, the department may evaluate activities over the last several years of service and/or activities during retirement.

d. Procedure

The department chair, an equivalent administrator, or the individual academic appointee may request a recall appointment. The request should be made well in advance of the desired starting date in order to allow sufficient time for academic and administrative review. The campus shall establish a time period for submission of requests.

The department chair will evaluate whether the appointment of the candidate is the best way to fulfill temporary staffing needs, for example, during recruitment of a permanent ladder rank faculty member to fill this position. In accord with department procedures, the chair will have appropriate consultation with the department faculty. The request is reviewed by the Dean or Provost of the College or School and also may be reviewed by the Committee on Academic Personnel, pursuant to campus procedures.

The Chancellor makes the final decision on the recall appointment.

e. Recall Appointments and Reappointments<sup>2</sup>

An appointment may be made only for a period of one year or less and shall have a specific ending date. An appointment expires on that date, and no notice is required.

Reappointments are not automatic. Following review, an appointment may be renewed.

200-24 **Authority**

- a. Chancellors are authorized to approve all appointments, reappointments, merit increases, and promotions of academic personnel under their jurisdiction except those appointments involving above-scale salaries beyond the Regental compensation threshold (See Section 101.2 (a) of the Standing Orders of The Regents), and appointments of Regents' Professors and University Professors.
- b. On an exception basis and with suitable justification, the Chancellor, Vice President—Agriculture and Natural Resources and Provost and Senior Vice President—Academic Affairs may approve appointments, reappointments, merit increases, and promotions within the authorization granted in APM - 200-24-a retroactively (that is, with the beginning date of service prior to the actual approval), subject to the condition that a new appointee must have completed and subscribed to the State Oath of Allegiance on or before the beginning date of service under the terms of appointment.

All individuals, including U.S. citizens, under the Immigration Reform and Control Act of 1986, must present evidence through the employment verification process that they are legally eligible to work in the United States.

- c. For authority of the Vice President—Agriculture and Natural Resources and the Provost and Senior Vice President—Academic Affairs with respect to personnel under their jurisdiction, see the section on the particular title or title series for specific statements concerning authority to appoint and promote for that title or title series.

200-30 **Academic Personnel Actions — Personnel Review Files**

The personnel review file is that portion of the academic personnel records pertaining to an individual maintained by the University for purposes of consideration of personnel actions under the relevant criteria set forth in this Manual. An individual's personnel review file shall contain only material relevant to consideration of personnel actions under these criteria. Final administrative decisions concerning appointment, promotion, merit increase, appraisal, reappointment, nonreappointment, and terminal appointment shall be based solely upon the material contained in the individual's personnel review file.

200-96 **Reports**

The Chancellor shall maintain records of personnel actions and submit reports to the President as needed.

### **Pre-Retirement Recall Guidelines for Faculty Recalled for Post-Retirement Teaching**

Campus administrators may enter a pre-retirement agreement with a faculty member age 60 (sixty) or older for a recall to service after retirement.

**Timing and Duration of Appointment:** By agreement between campus administration and the faculty member, the recall period may be up to three academic years, subject to annual renewal after the agreed initial period. Retirement plan regulations require that there generally be a break in service of at least 90 (ninety) days between the retirement date and the date of the recall appointment start date. However, in no case may the recall date be earlier than 30 (thirty) days following the retirement date.

**Compensation:** In general, the recall rate for academic-year appointees will be 1/9<sup>th</sup> of the base salary at the time of retirement per quarter course or 1/6<sup>th</sup> of the base salary per semester course, not to exceed the current salary rate for Professor, Step VII. Fiscal-year salaries should be converted to the academic-year equivalent salary. Campus administrators and faculty may negotiate a higher or lower salary rate, as appropriate to the nature of the course, to reflect specific needs. The base salary is defined for the purposes of these guidelines as the faculty member's academic year (nine-month) salary or fiscal year (twelve-month) salary at the time of retirement augmented by any subsequent range adjustments. Merit and promotion increases are not granted after retirement.

**Appointment and Space Assignment:** The recall appointment effort may not exceed 46% (forty-six percent) time. However, due to potential Medicare complications, recall appointments will generally be 43% (forty-three percent) time or less. Assignment of office space is subject to the agreement reached between campus administrators and the faculty member. Recall for teaching appointments will not normally include any commitment of research space.

**Benefits:** Recalled faculty may contribute to the 403(b) Plan and 457(b) Plan. Health benefits are determined by the terms of the recall appointment. Since eligibility for benefits is a critical and complex issue, recall appointees should consult with the campus Benefits Office about how the recall appointment may affect their benefits eligibility. See the Returning to UC Employment After Retirement Factsheet for further information available at:  
[http://atyourservice.ucop.edu/forms\\_pubs/checklists\\_factsheets/returntowork.pdf](http://atyourservice.ucop.edu/forms_pubs/checklists_factsheets/returntowork.pdf).

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**UCRP Reappointment Guidelines for Rehired Retirees**

This memo is in response to inquiries on how the change in the University of California Retirement Plan (UCRP) Normal Retirement Date affects the UCRP Guidelines for Rehire of UC Retirees. UCRP recently was amended to change the Normal Retirement Date to age 60 with 5 years of Service Credit, to support the University's ability to arrange recall appointments, especially faculty who would fill limited teaching assignments.

As background, the Internal Revenue Service (IRS) defines Normal Retirement Date as the date specified by the plan when a member's right to benefits is nonforfeitable. Arrangements made for post-retirement employment before individuals reach the plan's normal retirement date could disqualify the pension plan if the IRS believes there has not been a bona fide termination of employment. Plan disqualification would result in immediate taxation to members, based on the value of a member's accrued benefit in UCRP at the time of disqualification.

The current UCRP Guidelines for Rehired Retirees (copy attached) continue to apply to all rehired retirees regardless of age, including the requirement of a 30-day minimum break in service. However, due to the change in the UCRP Normal Retirement Date, discussions about reemployment may now begin before separation or retirement if a Member is age 60 and has at least 5 years of Service Credit. (The Guidelines and related information are available on the Internet at [http://exchange.ucop.edu/documents/UCRP Waiver for Rehired Retirees/](http://exchange.ucop.edu/documents/UCRP%20Waiver%20for%20Rehired%20Retirees/)).

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