A. DEFINITIONS

1. Academic Dean: An academic dean (dean) is head of a division, college, school, or other similar academic unit and has administrative responsibility for that unit. As academic heads of their units, deans are persons of scholarly and professional accomplishment. The university encourages their continued engagement as academics in scholarly, professional, teaching, and university service activities, consistent with, but distinct from, their decanal responsibilities. A dean shall be a tenured member of the faculty. See Also Section E: Responsibilities.

2. Acting Dean: An acting dean is one who assumes the responsibilities of an appointed dean who is on an approved leave of absence or sabbatical leave. An acting dean shall be a tenured member of the faculty. Appointments as acting dean will be for a definite period, normally one year or less.

3. Interim Dean: An interim dean is one who is serving as dean on an interim basis when a new permanent dean has not yet been named. An interim dean shall be a tenured member of the faculty.

B. ELIGIBILITY AND RESTRICTIONS
1. A dean, including acting and interim appointees to this title, shall hold a concurrent university appointment in an Academic Senate faculty title or an equivalent title (see APM 115, “Equivalent” Titles and Ranks).
2. An appointment to the position of dean shall be full-time.
3. Except as specified in APM 240, deans are subject to all academic personnel policies. Acting and interim deans are subject to APM 240 and to all other academic personnel policies.
4. A dean with a concurrent title of Vice Chancellor or who reports solely to the chancellor is governed by Senior Management Group policies.
5. Deans of University Extension and Student Affairs are not covered by this policy.

C. CONDITIONS OF EMPLOYMENT

1. For appointment, continuation of appointment, and reappointment, the candidate or appointee to the titles of Dean, Acting Dean, or Interim Dean:
   i. Must not have been found in violation of the UC and/or UCSC Sexual Violence and Sexual Harassment policies within the last 10 years; and
   ii. Must not have been disciplined for violating the Faculty Code of Conduct (APM 015) within the last 10 years (discipline includes a negotiated settlement agreement to resolve the matter).
   iii. The Faculty Administrator Checklist must be submitted to the Academic Personnel Office in advance of appointment or reappointment.
   iv.
2. Individuals appointed to the titles of Dean, Acting Dean, or Interim Dean serve at the discretion of the chancellor. The chancellor may terminate the appointment of a dean at will at any time, after discussion with an appropriate group of the faculty as determined by the chancellor and after consultation with the Academic Senate. However, if either of the conditions in subsection i) or ii) above are not satisfied, the chancellor shall terminate the appointment absent this discussion or consultation. Once the chancellor terminates the appointment of a dean, the action is not subject to grievance unless the reasons for the termination are unlawful or in violation of university policy.
3. Termination of a dean appointment does not affect the underlying faculty appointment.
4. A dean reports to the campus provost/executive vice chancellor (CP/EVC).
5. A dean is a member of standing advisory councils as designated by the CP/EVC.
6. A dean may perform special administrative assignments from time to time and the CP/EVC may specify duties in addition to those normally expected of a dean.

D. TERMS OF SERVICE

1. Appointments to the title of Dean shall normally be for a period of five years, subject to reappointment. The CP/EVC may approve a shorter service period. Appointments shall be made on a fiscal-year basis.
2. Appointments to the title of Acting or Interim Dean shall be for a definite period, normally one year or less. These appointments may be extended. An appointment as
Acting or Interim Dean may be made either on an academic year or fiscal-year basis, as determined by campus need.

E. RESPONSIBILITIES

1. General Description of Responsibilities

   i. The dean works with department chairs and others to monitor and improve the general academic health and welfare of a group of academic disciplines and programs. The dean is responsible for the organization and operation of the division, including the operations of the departments of study and of organized research units, and for its effectiveness in achieving its purpose.

   ii. The dean is a Principal Officer in helping to articulate the educational purposes of the campus and to foster their accomplishment. As a member of the campus administration the dean is responsible for working cooperatively with other campus officials, for seeing that University and campus policies and requirements are carried out, and for integrating campus and division objectives.

   iii. The dean is expected to see that the advice of faculty colleagues and of students is sought in a systematic way in connection with department affairs, and to delegate authority to those who assist the dean in administering the division. However, the dean remains responsible.

   iv. The dean has wide latitude in carrying out this general charge. The specific role and authority of a dean develops individually and is related to a particular division. Diversity of style and emphasis is expected. Innovation and experimentation are encouraged.

2. Specific Responsibilities

   i. Academic Leadership

      a. Manages resources of undergraduate and graduate teaching programs and arranges for interaction of division curricula. The dean assures that service and prerequisite courses in the division are provided in adequate numbers, and that the course syllabi meet the needs of subjects for which the courses are prerequisites.

      b. Encourages the planning and development of new curricular configurations, i.e., more rational, imaginative and economic ways to coordinate or consolidate the subject matters of the various disciplines aggregated under the label of the division.

      c. Facilitates the development of research, performance, and enrichment activities.

      d. Reviews current academic programs. Identifies and assists programs of excellence, and maintains a climate hospitable to creativity and innovation.
e. Approves appointment of academic administrators in accordance with campus delegations; assures their proper orientation and training.

f. Maintains a divisional affirmative action program for faculty and staff recruitment and retention consistent with University affirmative action policies.

ii. Academic Personnel

a. Recommends, and when delegated, approves recruitment, appointment, promotion, corrective action, and termination of academic personnel. The dean is expected to make independent judgments in this area of responsibility.

b. Supports and assists the scholarly development of faculty--particularly junior faculty; fosters research programs.

c. Recognizes and fosters excellence in teaching.

d. Administers leave policies; has authority for paid and unpaid leaves, including sabbatical leaves, in accordance with campus delegations.

iii. Administrative Direction

a. Is responsible for the financial affairs of the division, including seeking budgetary and extramural funds and managing the division resources; facilitates grant applications.

b. Identifies the division's needs for faculty positions, establishes priorities, and makes recommendations to the CP/EVC.

c. Assures proper management of and is responsible for space, facilities, and property for the division.

iv. Administrative Coordination

a. Is consulted by campus officials in the development and implementation of campus-wide policies and programs and provides advice regarding the recruiting and evaluation of campus staff whose activities significantly affect the division.

b. Consults campus officials to obtain support for division goals, to coordinate related campus and division activities, and to obtain advice regarding the recruiting and evaluation of division staff whose activities significantly affect campus functions.
c. Works with the academic departments and programs and the Academic Senate to maintain effective interaction between faculty governance and academic administration with regard to division affairs. Works with provosts and other academic officials to see that the related duties of colleges and divisions with regard to faculty are worked out equitably and clearly and that issues are resolved.

d. Works with other deans to maintain communication and cooperation among divisions, to explore possibilities for reciprocal and joint arrangements, and to review matters of common concern.

F. APPOINTMENT

1. Recruitment and Appointment

i. The CP/EVC shall review the desired qualifications and current description of the duties of the dean, and shall decide whether the search will be limited to campus candidates or more broadly advertised. Search advertisements must specify whether or not UC emeriti and teaching professors are eligible to apply. Criteria for appointment shall be developed. (See Also Section E: Responsibilities)

ii. A search committee shall be appointed by the CP/EVC after consultation with the Academic Senate Committee on Committees.

iii. The search will follow normal campus recruitment procedures including equal opportunity/affirmative action documentation.

iv. The search committee shall seek evaluations from faculty, staff, and students concerning individual candidates.

v. The search committee shall submit its confidential report to the CP/EVC. The CP/EVC shall select the final candidate.

vi. The CP/EVC shall approve the initiation of review for the required concurrent Professor series appointment. The normal procedures for appointment to that series shall be followed.

2. Compensation for Appointment as Dean

In determining the appropriate salary rate for a dean, the CP/EVC shall review the matrix of compensable factors included with the Deans Salary Structure. Compensable factors to consider and weigh to determine salary are:

i. Prior administrative experience may be considered in determining appropriate salary;
ii. Market conditions and comparability. To pay competitive total compensation in regional and national marketplaces, the CP/EVC may consider external market comparability and other market-based conditions in determining an appropriate salary. Comparisons used to determine compensation shall be to institutions comparable to the rank and stature of the University of California and may be selected to address the needs of the individual division and/or discipline.

iii. Equity within the University of California System. Comparisons with equivalent dean positions and responsibilities within the University may be considered in determining an appropriate salary; and

iv. Academic Senate faculty salary. To encourage service as dean, the dean’s administrative salary shall at all times remain greater than their University of California Academic Senate faculty salary.

3. Procedure to Appoint Acting or Interim Dean

   The CP/EVC shall appoint an acting or interim dean after consultation with the chancellor.

4. Compensation for Appointment as Acting and Interim Dean

   The CP/EVC has the authority to appoint an acting or interim dean with a salary up to the Regental threshold.

G. REVIEWS OF DECANAL DUTIES

These administrative review procedures and criteria are separate and distinct from the formal academic review procedures governing the underlying faculty appointment. (See also Section M: Faculty Review).

1. Annual Assessment: The CP/EVC shall conduct an annual assessment for each dean. The CP/EVC shall communicate the key components of the assessment to each dean. The Annual Assessment will normally be performed in conjunction with a merit review. (See Also Section H: Merit Increases).

2. Five-Year Review and Reappointment: Deans will be reviewed periodically, normally in the fourth year but no later than the beginning of the fifth year of their service, and every subsequent fifth year. Earlier reviews may be conducted at the discretion of the CP/EVC.

   i. A confidential faculty committee appointed by the CP/EVC, in consultation with the Senate Committee on Committees, will conduct the review. The standard committee composition will be: one dean and/or one vice provost, one vice chancellor, one staff representative and two senate faculty members. The CP/EVC will designate a committee chair.
ii. The dean is encouraged to submit a statement of accomplishments and unfulfilled goals to the CP/EVC. This statement will be made available to the review committee. Further information from the dean may be solicited by the review committee through the CP/EVC.

iii. To accomplish its task, the committee, via the CP/EVC, consults with individuals, groups, or agencies who may provide information on the leadership of the dean. Evaluations must be solicited from faculty, students, and staff. Written records of any oral communications must be kept by committee members and included in the evidence provided with the final report.

iv. The review committee submits a confidential written report to the CP/EVC following its review. All written evaluations submitted to the committee shall also be submitted to the CP/EVC.

v. Within thirty days (30) after receipt of the report, the CP/EVC will meet with the dean to review the report. The dean will be given a redacted copy of the report and the dean may request a summary of the confidential material.

vi. The dean has ten (10) days in which to respond to the report; and, if a confidential summary is requested, ten (10) days from the receipt of the summary. Any response will become part of the review record.

vii. The report forms the basis of a discussion between the CP/EVC and the dean.

viii. Responsibility for final action on the five-year review and reappointment rests solely with the CP/EVC.

ix. The CP/EVC may approve a salary increase when a five-year review results in reappointment and confirmation of significant achievements and/or sustained excellent administrative performance beyond that which can be rewarded in the annual merit review process. A salary increase also may be justified at the time of reappointment if market conditions or internal equity factors have changed since appointment, or if necessary to retain the dean following a successful five-year review. (See Also Section H: Merit Increases; and Section I: Equity or Retention Increases)

H. MERIT INCREASES

1. A dean shall be eligible for consideration of an annual merit increase. The dean’s appointment must take effect no later than April 1 to be eligible for an administrative merit increase during the subsequent merit cycle. The decanal administrative merit review criteria and procedure are separate and distinct from the academic merit review criteria and procedure established under APM 610, Salary Increases/Merit. (See APM 240 – 18.b(1)) The campus’s ability to offer administrative merit increases, and the effective date if any, is determined by the UC President as part of the annual academic salary program.
2. The amount of a dean’s administrative merit increase shall be based upon the following factors:

   i. The dean’s annual assessment (See APM 240-80 and Section G: Reviews of Decanal Duties).

   ii. The dean’s current salary and position within the salary range relative to comparable internal administrative positions.

   iii. The availability of funding.

I. EQUITY OR RETENTION INCREASES

1. The CP/EVC may approve a salary increase to correct a significant salary inequity in individual circumstances based on factors such as rapidly changing external market conditions or a disparity created by new appointees in the same or substantially similar dean positions, either at the campus or within the University, who have comparable levels of skills and experience.

2. An equity or retention increase shall be effective on the same date as the administrative merit, to the extent possible. The merit increase shall be applied first, and any additional equity or retention increase shall be determined after applying the merit adjustment. An additional increase beyond the merit adjustment shall be provided only if the applied merit increase does not resolve the inequity or retention issue.

3. If a dean receives an equity or retention increase in a fiscal year prior to the commitment of merit funding, the subsequent merit shall be calculated based upon the salary prior to any adjustment. A merit increase will only be applied if the merit calculation is more than the equity or retention increase.

J. ADDITIONAL COMPENSATION

1. A dean is compensated for full-time University service. Payment of additional University compensation is appropriate in the following circumstances:

   i. Summer Research. Deans may receive up to 1/12th payment for summer research based on their annual decanal salary. In such instances, accrued vacation shall be used in proportion to the research days worked.

   ii. Summer Session Teaching. Deans may receive up to 1/12th payment for summer session teaching. In such instances, accrued vacation shall be used in proportion to the teaching days worked.

   iii. Additional Administrative Duties. In exceptional circumstances, the chancellor may assign a dean to additional and temporary administrative duties within the
University. In such cases, the campus may provide a stipend for the additional temporary administrative responsibilities.

iv. Acting or Interim Dean Appointments. Academic-year acting or interim dean appointees may receive administrative compensation for duties during the summer period. In combination with other University compensation for teaching and/or research duties, the total summer compensation may not exceed 3/9ths, exclusive of any stipends.

K. CONFLICT OF COMMITMENT

1. A dean may engage in outside professional activities as defined by and in accordance with APM 025, Conflict of Commitment and Outside Activities of Faculty Members, with the following additional provisions:

   i. A dean may serve on no more than three for-profit external boards (not entities of the University of California) for which the dean receives compensation and has governance responsibilities.

   ii. All compensated and uncompensated outside professional activities, including consulting activity, shall be reported annually to the chancellor.

   iii. A dean may engage in a maximum of forty-eight (48) calendar days of compensated and uncompensated outside professional activity in each fiscal year. However, only twelve (12) of these forty-eight (48) days may be taken without deductions from accrued vacation.

   iv. A dean may engage in compensated outside professional activity for up to twelve University workdays per fiscal year without deducting from vacation leave balances. In excess of twelve work days, a Dean shall use accrued vacation leave for performing compensated outside professional activities.

L. BENEFITS AND PRIVILEGES

1. Vacation Accrual: Deans accrue and use vacation leave in accordance with APM 730, Leaves of Absence/Vacation. The CP/EVC shall grant a dean no more than thirty (30) days in any academic year for the purpose of attending conferences and related scholarly activities. For additional time off beyond thirty (30) days, a dean shall be required to use accrued vacation. The CP/EVC may approve the additional time off as leave without pay once vacation leave has been exhausted.

2. Medical Leave: Deans do not accrue sick leave. However, deans shall be granted paid medical leave for periods of personal illness, injury, or disability in accordance with APM 710-11, Paid Medical Leave for Academic Appointees Who Do Not Accrue Sick Leave.
3. **Sabbatical Accrual:** Deans accrue sabbatical leave credit by virtue of holding an underlying Academic Senate faculty appointment in accordance with APM 740-11.c.5, Leaves of Absence/Sabbatical Leaves. Fiscal year appointees earn four credits per calendar year, excluding periods of leave of absence without pay. Deans shall continue to accrue sabbatical leave credit beyond the established limits set forth in APM 740-16-a for the duration of the dean appointment.

4. **Administrative Leave:** The CP/EVC may approve an administrative leave with pay during appointment as dean in accordance with APM 758, Leaves of Absence/Other Leaves With Pay. However, in practice, granting administrative leave to a dean during the period of decanal service is usually not in the institution's best interest.

5. **Transition Leave:**
   1. A dean may be eligible to take a transition leave immediately following the conclusion of the appointment to provide an opportunity to redirect primary efforts to scholarly activities.
   2. Paid transition leave shall result in the corresponding deduction of sabbatical leave credits and is subject to the terms and conditions described in APM 740, Leaves of Absence/Sabbatical Leaves.
   3. Transition leave shall be paid at either the current decanal administrative rate or the current faculty rate contingent upon when sabbatical leave credits were accrued. The salary rate for that portion of the leave compensated at the administrative salary rate is ineligible for any increase. The faculty salary rate is subject to any change that may result from salary scale adjustments or any academic personnel review during the period of the leave.
   4. If sabbatical leave credits are exhausted before the conclusion of a transition leave period, the CP/EVC may approve a leave with pay at the faculty salary rate through the conclusion of the transition leave period. The individual is required to fulfill a return to active University service requirement (as stated in APM 740-16-d) equal to the total period of the transition leave. Sabbatical leave credits do not accrue during transition leave periods. Sabbatical leave credit accrual resumes upon return to University faculty service. The combined total of transition leave and sabbatical leave taken during administrative service within the immediate prior five years may not exceed one year (12 months).

**M. FACULTY REVIEW**

University service is an established criterion for assessing performance and advancement of senate faculty. Service as a faculty administrator should be considered in the academic personnel review process for the relevant review period.

When departments or other levels of review are not in a position to evaluate the quality of the administrative service, the quantity of the service should still be taken into account in the faculty review. The advice of other administrative officers, individuals outside of the department, and reviewing agencies will be particularly important in such cases.
Individuals serving as a full-time dean are normally released from all teaching duties. The teaching excellence requirement for merit advancement would thus not be based on formal instruction, but like all personnel reviews, other available evidence of teaching effectiveness, such as advising and mentoring, should be considered for assessment. An assessment of outstanding teaching would normally require either an outstanding level of mentoring or at least one podium course that is assessed as outstanding.

Deans will normally not have time to maintain a full research portfolio, and APM 200 allows for deferral of review at the request of the dean. Merit increases of a step or more are still based on standard research expectations for faculty. Administrators who maintain some research activity, but not enough to justify a merit advancement, may be awarded a salary increase based on their service and their teaching/mentoring.