A. DEFINITIONS

A faculty administrator is a senate faculty member appointed to assume administrative responsibility and duties in specified titles while maintaining their underlying faculty appointment.

This policy does not apply to Deans (see CAPM 300.240), Department Chairs and Vice Chairs (see CAPM 312.245), or College Provosts (see CAPM 306.240).

The following titles are governed by Senior Management Group (SMG) policies:

Faculty administrators appointed to assume administrative responsibility and duties at 100 percent time while maintaining their underlying faculty appointment at 0 percent time for the duration of the administrative appointment are also subject to APM 246, Faculty Administrators (100% Time). [¹]

Faculty administrators appointed to assume administrative responsibility and duties at less than 100 percent time in addition to, or in partial replacement of their faculty responsibilities, while maintaining their underlying faculty appointment at a proportionate percent time for the duration of the administrative appointment are also subject to APM 241, Faculty Administrators (Positions Less Than 100%).

Faculty administrator titles covered by this policy include: [²]

- Academic Assistant to the Chancellor
• Academic Assistant; or to the Executive Vice Chancellor; or the Academic Vice Chancellor  
• Associate Dean  
• Associate Vice Chancellor  
• College Provost (See also CAPM 306.240; 308.240; and 310.240)  
• Department Chair, Department Vice Chair (See also CAPM 312.245; 314.245; and 316.245)  
• Director,  
• Associate Director  
• Director of a Multicampus Research Unit (MRU) (See also: UCOP MRU Requirements1)  
• Director of an Organized Research Unit (ORU) (See also: UCSC ORU Procedures2)  
• Faculty Assistant to the Chancellor  
• Faculty Assistant to the Executive Vice Chancellor  
• Faculty Assistant to the Provost/Dean; or to the Vice Chancellor; or to the Dean  
• Vice Provost;  
• Associate Vice Provost  
• Associate College Provost  
• Interim or Acting appointments to the titles listed above (except for Directors of MRUs and ORUs)

Faculty administrators not covered by this policy include Deans (see CAPM 300.240); Department Chairs and Vice Chairs (see CAPM 312.245, CAPM 314.245, and 316.245); and College Provosts (see CAPM 306.240, CAPM 308.240, CAPM 310.240).

This policy does not apply to the titles Vice Chancellor; Campus Provost and Executive Vice Chancellor; and Chancellor (see Senior Management Group (SMG) policies).

B. CONDITIONS OF EMPLOYMENT

1. For appointment, continuation of appointment, and reappointment, the candidate or appointee to a faculty administrator title (regardless of the percent time of the appointment):
   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[³] must be submitted to the Academic Personnel Office in advance of appointment or reappointment.

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1 https://www.ucop.edu/research-initiatives/programs/mru/index.html  
2 https://officeofreasearch.ucsc.edu/about/oru-procedures.html
1.2 A faculty administrator serves at the discretion of the appointing authority, and the faculty administrator position may be terminated at any time, with or without cause. However, if either of the conditions in subsection i) or ii) above are not satisfied, the appointing authority shall terminate the appointment absent any otherwise required discussion or consultation. Termination of the faculty administrator appointment does not terminate the underlying faculty appointment.

2.3 A faculty administrator is subject to all applicable academic personnel policies.

3.4 A faculty administrator may engage in outside activities as defined by and in accordance with APM 025, Conflict of Commitment and Outside Activities of Faculty Members. A fiscal-year faculty administrator who accrues vacation may engage in up to twelve workdays of compensated outside professional activities without deducting from vacation leave balances. In excess of twelve workdays and up to the limit of 48 calendar days, accrued vacation leave shall be used.

C. AUTHORITY

Authority to appoint and review subordinate faculty administrators is delegated to supervising faculty administrators on a case by case basis. See the campus Delegation of Authority Chart or contact the Academic Personnel Office. Salaries above the UC Salary Threshold require pre-approval by the provost and executive vice president for academic affairs at the UC Office of the President. Any exceptions to this policy must be reviewed and approved by the campus provost/executive vice chancellor.CP/EVC.

NOTE: The remainder of this policy, sections D through H, only applies to faculty administrator appointments made at less than 100 percent time, but excluding the titles Department Chairs and College Provosts, which are covered by discrete policies (see Section A).

D. RECRUITMENT AND APPOINTMENT CONSIDERATIONS

1. An open and competitive recruitment process is required for filling all full-time (100%) faculty administrator positions. Recruitments may be limited to current UCSC appointees where appropriate. Open recruitment is recommended, but not required, for acting, interim, part-time, stipend-only, and without-salary faculty administrator appointments.

2. The appointing authority shall establish clear appointment criteria and expectations for a faculty administrator position. This must include a determination of whether the administrative responsibilities are in addition to the individual’s full-time faculty responsibilities or whether they are in partial replacement of some of the faculty responsibilities and thus require a part-time reduction in the primary faculty appointment for the duration of the faculty administrator appointment.
3. When the additional administrative responsibilities assigned exceed 15 percent time per month during the academic year service period (or fiscal year if the primary faculty appointment has a fiscal year basis), a percentage-based appointment to a faculty administrator title is required. The faculty administrator appointment partially replaces the senate faculty appointment, which must be reduced by a corresponding percentage for the duration of the administrative appointment.

4. If the additional administrative responsibilities assigned do not exceed 15 percent time per month during the academic year service period (or fiscal year if the primary faculty appointment has a fiscal year basis), an appointment to a faculty administrator title without an assigned percentage is appropriate, and compensation is paid as an administrative stipend. In this case, no reduction to the senate faculty appointment is necessary because the administrative responsibilities are in addition to (versus in partial replacement of) the full-time faculty responsibilities.

5. Faculty administrator appointments may be made on an academic-year basis or fiscal-year basis as warranted, depending upon the duties and responsibilities of the appointee.

6. In any event, all cases, a faculty administrator’s scholarly activity is expected to continue at a proportionate level that would allow for normal progression in the primary faculty appointment.

E. TERMS OF SERVICE

Faculty administrators may be appointed for any period up to a maximum of three-five years, and they may be reappointed for up to three-five years following a positive administrative review.

F. COMPENSATION

The salary rate or the stipend amount is based upon the criteria and expectations developed by the appointing authority and includes consideration of factors such as the size and complexity of the unit, budgeted unit funds, the number of individuals supervised, and the faculty member’s relevant administrative and/or academic leadership experience.

If the faculty administrator position is a percentage-based appointment (see section D above), an appropriate salary rate must be established for the position. Appointing authorities must consult with the campus Academic Personnel Office to determine the appropriate salary or stipend rate for such a faculty administrator position.

If the faculty administrator position is to be compensated by a stipend (see section D above), it must be paid in accordance with CAPM 805.633, Administrative Stipends for Academic Appointees, which limits the maximum stipend amount to 15 percent of the annual salary rate of the individual’s primary faculty appointment, or 15 percent of the corresponding fiscal-year rate
if the stipend will be paid over 12 months. Any exception to the 15 percent maximum requires review and approval by the campus provost/executive vice chancellor (CP/EVC).

When a faculty administrator is assigned responsibilities during the summer period, additional compensation may be provided in accordance with university policy on summer compensation (see APM 600).

Full-time faculty administrators may be considered for annual merit increases, equity increases, and retention-based increases in accordance with APM 246-18. A faculty administrator’s administrative salary should at all times remain greater than the faculty administrator’s UC faculty salary.

G. ADMINISTRATIVE REVIEW PROCEDURE GUIDELINES

The administrative review of a faculty administrator is separate and distinct from the academic review procedures governing the primary faculty appointment.

The appointing authority shall conduct an administrative review at time of reappointment. The appointing authority shall determine the appropriate scope of and the procedures for the administrative review, the key components of which must be communicated to the faculty administrator prior to the start of the review. At a minimum, the review should include a self-assessment by the faculty administrator of accomplishments in relation to the expectations of the position and a written assessment by the appointing authority. The appointing authority may solicit letters from other appropriate administrators, department/unit faculty, staff and/or students. If letters are solicited, they must be treated as confidential material in accordance with university policy (see CAPM 401.220).

For faculty administrator appointments greater than one year duration, the appointing authority should discuss expectations and performance annually with a faculty administrator and provide feedback and guidance as needed.

Full-time appointees to the title Vice Provost shall undergo a five-year review following the procedures outlined in CAPM 300.240.G, for Deans.

Consultation with the Academic Personnel Office is recommended when developing initial review procedures or when revising review procedures.

H. EVALUATING FACULTY ADMINISTRATOR SERVICE IN THE ACADEMIC ADVANCEMENT PROCESS 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. The weight given to such service may take into account factors such as whether course release was provided and whether the percentage of the primary faculty appointment was reduced.

The expectation for the quantity of administrative service will depend on factors such as whether course release was provided and whether the percentage of the primary faculty appointment was reduced. The time commitment required by an administrative position is indicated by the percent time of the administrative position, as well as the amount of course release and/or summer salary provided. The candidate may describe the nature of the position, what it entailed, and how much time they devoted to it, in their personal statement.

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.

Service as a faculty administrator often entails a reduction in course load during the review period. In the case of full course release, the teaching excellence requirement for merit advancement would 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.

Part-time administrators are expected to remain active in research and professional activity, and with the exception of department chairs and college provosts, expectations for research/professional activity remain the same for all faculty. Full-time administrators may not have time to maintain a full research portfolio, and APM 200 allows for deferral of review. 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.

¹ Academic Deans are covered by APM 240, Deans; see also CAPM 300.240.

² The following titles: Vice Chancellor; Campus Provost and Executive Vice Chancellor; and Chancellor are governed by Senior Management Group (SMG) policies.

³ See Faculty Administrator Checklist