

## **APM UCD-191**

### **General University Policy Regarding Academic Appointees**

#### **Section UCD-191, Endowed Chairs**

**Date:** 8/30/19

**Supersedes:** 9/5/08

**Responsible Department:** Academic Affairs

**Source Document:** [UC APM-191](#)

## **I. PURPOSE**

This section constitutes the UCD policy and procedures for the establishment, appointment, and reappointment of endowed chairs. It also provides the guidelines for the use of endowment income for holders of endowed chairs/professorships. All of the policies/procedures described below for endowed chairs also apply to endowed professorships unless otherwise noted.

## **II. BACKGROUND**

It is the policy of UC Davis to attract and retain outstanding scholars for key positions of faculty leadership through the establishment of endowed chairs. Endowed chairs may be held by distinguished scholars at the level of associate professor, full professor, or Associate Specialist/Specialist in Cooperative Extension. A Specialist in Cooperative Extension may not hold an endowed professorship, but may hold an endowed chair if appropriate. The holder of an endowed chair shall contribute to the scholarly activity and effective functioning of the academic unit in which they reside and, through teaching, seminars, or other intellectual contact with students, shall add to the enrichment of the academic life of the campus as a whole.

## **III. ESTABLISHMENT AND NAMING OF ENDOWED CHAIRS**

([http://academicaffairs.ucdavis.edu/resources/forms\\_checklists/index.html](http://academicaffairs.ucdavis.edu/resources/forms_checklists/index.html))

- A. Although the Office of the President has established a minimum gift amount, found in [APM-191](#), campus has established a higher minimum gift. The minimum gift information can be found in the Naming Guidelines by contacting your development officer. This minimum figure will be adjusted periodically to reflect changes in costs due to inflation or other factors, including changes to system-wide policy.
- B. Income from an endowed chair is to be made available to the faculty member appointed to the endowed chair in support of teaching and research. In addition, unless expressly prohibited by the establishment documentation, fund payout may be used for all, or for a portion, of base salary and/or other salary components, off-scale component of salary, sabbatical supplement, summer salary, additional compensation under a campus-approved compensation plan in accordance with applicable policies, graduate student researcher or postdoctoral scholar appointments for assisting the endowed chair holder, or other additional compensation permitted by University policy ([APM-191](#)).

- C. The documents establishing the endowed chair (i.e., gift agreement, administrative action, etc.) should include details about the academic discipline and/or scholarly research area for the endowed chair holder, the term of appointment (generally 5 years, unless the gift agreement specifies otherwise), and whether the appointment is renewable. The fewer restrictions placed on the gift by the donor, the greater the flexibility the campus will have in meeting its academic goals. Centrally held endowed chairs should be structured to allow the chair-holder to be in any academic discipline or activity relevant to the mission of UC Davis.
1. Based on the establishment documentation, endowed chairs may reside within, and be administered by, a number of different kinds of units on the campus, including the following:
    - a. Department- or program-based endowed chairs, administered by the department or program chair.
    - b. College- or school-based endowed chairs, administered by the college or school dean.
    - c. Center- or Institute-based endowed chairs, administered by the lead dean for that unit.
    - d. Centrally held endowed chairs, governed through the Offices of the Chancellor and Provost. Administration and oversight for a centrally held endowed chair transfers to the appropriate home dean of the holder during an individual chair-holder's tenure in the endowed chair. At the end of the individual chair-holder's appointment, the endowed chair reverts to the Offices of the Chancellor and Provost. (See section VIII for more information on centrally –held chairs)
- D. A chair may be named in honor of the donor or an honoree proposed by the donor and the disciplinary area or activity, subject to approval by the President. (See [Policy & Procedure Manual Section 200-51.](#))
- E. Once the establishing documents have been finalized, the department, office or program will prepare a position description, which should include the following:
1. Description and terms of the endowed chair.
    - a. Administrative endowed chairs intended to support faculty in specific leadership roles should be expressly identified as such in the gift agreement.
    - b. For endowed chairs residing within colleges, schools, centers, departments, or other programs, the description and terms of the endowed chair, and the role of the endowed chair in fulfilling the unit's academic mission and/or an

academic plan, should be incorporated into documents used for formal review of the unit or its head.

- c. For establishment of a cohesive series of centrally held endowed chairs, a single description will be provided of how the endowed chair series is expected to contribute to the campus's academic mission.
2. List of the responsibilities that must be fulfilled by the endowed chair-holder.
  3. Information about how the endowed chair-holder's performance will be reviewed, and conditions for reappointment to the endowed chair, if allowed.
- F. For non-centrally held, non-administrative, regular endowed chairs, the gift agreement, position description, and statement regarding the role of the endowed chair in fulfilling the unit's academic mission and/or an academic plan will be reviewed by the Dean, who will provide a recommendation. For centrally held endowed chairs, the chancellor or designee will provide a recommendation.
  - G. The gift agreement, position description, and statement regarding the role of the endowed chair in fulfilling the unit's academic mission and/or an academic plan, and the administrator's recommendation, will be reviewed by the Academic Senate Committee on Planning and Budget (CPB), which will provide a recommendation.
  - H. The gift agreement, position description, Item for Action, and statement regarding the role of the endowed chair in fulfilling the unit's academic mission and/or an academic plan, administrator's recommendation, and CPB recommendation will be reviewed by the Vice Provost-Academic Affairs who will provide a recommendation.
  - I. After review by the CPB, the gift agreement, position description, and the statement regarding the role of the endowed chair in fulfilling the unit's academic mission and/or an academic plan will be forwarded to the Chancellor. Advancement Services, on behalf of the Chancellor, will send the required documentation to the Office of the President for presidential approval.

#### **IV. RECRUITMENT OF AN ENDOWED CHAIR**

- A. No recruitment may be conducted or endowed chair-holder nominated until a formal approval of the establishment of the endowed chair or cohesive series of endowed chairs is made by the Office of the President.
- B. If funding secured for the approved endowed chair has not yet reached the minimum amount required, the endowed chair will be deemed conditionally established, and payout will be governed by policy in [APM-191](#).

- C. All endowed chairs, except for those held centrally or administrative endowed chairs, will be filled through an external search, consistent with [UCD-500, or an](#) internal search. Search waivers for endowed chairs held within units other than the Offices of the Chancellor and Provost will only be considered or granted under unusual circumstances.
1. If the criteria for the endowed chair are such that there is only one internal candidate qualified for the chair, approval of a search waiver may only be granted by the Vice Provost--Academic Affairs. However, internal searches are normally open searches.
- D. Non-administrative endowed chairs: External recruitments to fill a faculty position and a specific endowed chair should identify both the faculty position and the relevant endowed chair in advertisements and requests for letters of recommendation. This will require two appointment dossiers – one for the academic position and another for the endowed chair. The appointment to the academic position must be approved prior to approval of the non-administrative endowed chair appointment.
- E. No announcement of the holder of the endowed chair may be made until final approval of the appointment by the Chancellor (see Section V.)
- F. Procedure for external and internal recruitments into endowed chair ([APM UCD 500 Exhibit A.pdf](#))
1. The recruitment advisory committee will be approved by the Vice Provost--Academic Affairs (the dean of the unit must submit nominations for committee members). The dean appoints the recruitment advisory committee.
  2. The recruitment advisory committee, in consultation with the department, will identify candidates for campus interviews and submit a list of these candidates to the dean of the unit for approval.
  3. While on campus, candidates should hold a colloquium or present a seminar and have interviews with:
    - a. Departmental and other interested faculty.
    - b. Voting members of the Recruitment Advisory Committee.
    - c. Dean

Donors may not serve on a Recruitment Advisory Committee nor meet with the candidate. However, the donor(s) may attend colloquium or seminars.
  4. The recruitment advisory committee, in consultation with the department and with the endorsement of the dean, will recommend to the Chancellor a candidate or candidates who are acceptable for appointment.

5. Some units may have additional search-related steps. Consult with the Dean's Office for any school/college search requirements.

## **V. APPOINTMENT TO AN ENDOWED CHAIR**

- A. Unless otherwise provided in the terms of the establishment documentation, an individual will be appointed for a period of 5 years, with the option of reappointment. Appointments to endowed chairs shall be made in accordance with regularly established University procedures for faculty appointments. All appointments must be reviewed at least once every five years.
- B. Procedure for appointment to endowed chairs ([APM UCD 500](#))
  1. The department or program of the proposed endowed chair-holder will prepare an appointment dossier that contains the normal academic documentation required for appointment ([http://academicaffairs.ucdavis.edu/resources/forms\\_checklists/index.html](http://academicaffairs.ucdavis.edu/resources/forms_checklists/index.html)), conduct a vote of the eligible voting members per the department voting procedures, and submit an appointment dossier to the dean.
    - a. If the endowment is for a Specialist in Cooperative Extension, the vote should also include other department members in that title series.
  2. The dean will add their recommendation and forward it to the Vice Provost--Academic Affairs, who will forward it to the Committee on Academic Personnel (CAP) for their review and recommendation.
  3. The Chancellor holds final approval authority for the appointment and will inform the appointee in writing of the description and terms of the gift, the responsibilities of the appointee, and any specific academic review process required.

## **VI. REAPPOINTMENT OF ENDOWED CHAIR**

- A. Unless precluded by the establishment documentation, reappointment of the holder of the endowed chair may be considered. As the holders of endowed chairs serve at the will of the Chancellor, the Chancellor has the authority to select a reappointment term of less than five years, as they deem appropriate. For reappointment, a review of the accomplishments of the endowed chair holder shall be conducted at the beginning of the final year of the specified period of appointment or in the appointee's fifth year, whichever comes first. Exceptions to the timing of reviews or to the review process required by this policy must have prior approval by the Vice Provost-Academic Affairs.
- B. Procedure for reappointment of an Endowed Chair

1. The department will assemble a dossier for Senate faculty review. The department letter must include results of consultation with these faculty and the vote, which should follow the same procedures used for appointment of the endowed chair holder. The following criteria will be considered when reviewing the reappointment of an endowed chair holder.
  - a. The degree to which activities specific to the endowed chair as designated by the donor and the position description in the establishment documentation and approved by the University, as well as goals to which the endowed chair holder committed, were fulfilled.
  - b. The activities of the endowed chair holder in support of teaching, research/creative activities and University and public service as expected for faculty at the same academic rank.
  - c. The quality of the intellectual leadership provided to the department and campus by the endowed chair holder.
  - d. The degree of enhancement of the academic life on campus as a whole.
2. The department will forward the dossier to the dean's office.
3. The dean of the college or school will submit a slate of potential ad hoc review committee members to the Vice Provost-Academic Affairs for approval.
4. The Dean will appoint the confidential ad hoc committee to review the progress of the candidate and recommend on the reappointment.
5. The dean's office will administer the ad hoc committee review.
6. The ad hoc committee shall submit its report to the dean.
7. The dean will forward the ad hoc committee report together with their recommendation and the candidate's reappointment dossier to the Vice Provost--Academic Affairs.
8. The Vice Provost-Academic Affairs will forward it to the Committee on Academic Personnel (CAP) for their review and recommendation.
9. The Vice Provost-Academic Affairs will forward the CAP recommendation together with their recommendation and the candidate's reappointment dossier to the Chancellor.
10. The Chancellor has final approval authority.

## **VII. ADMINISTRATIVE ENDOWED CHAIRS**

- A. An administrative endowed chair is one that is designated for a specific administrative position, for example, department chair, director of an Organized Research Unit, or dean of a school or college, not for a specific individual. In addition to supporting the teaching, research, and service activities of the unit, funding for an administrative endowed chair may cover research expenses for the active research program of the endowed chair holder.
- B. Administrative endowed chairs: external recruitments to fill administrative positions associated with an administrative endowed chair should identify both the administrative role and the associated endowed chair in advertisements and requests for letters of recommendation.
- C. Review of an individual's performance as the endowed chair holder can occur concurrent with the administrative review as long as the review occurs at least once every five years. The criteria and process for a dual review should be the same as described in (insert policy references when policy is final.)

## **VIII. SELECTION OF A CENTRALLY HELD ENDOWED CHAIR**

- A. For centrally held endowed chairs, a chair may be named in honor of the donor or an honoree proposed by the donor and the disciplinary area or activity, subject to approval by the President.
- B. Centrally held endowed chairs are intended to provide maximally flexible resources for the recruitment and retention of highly accomplished faculty members across all disciplines and units on the campus. Accordingly, internal or external recruitments are not required for these appointments.
- C. Procedure for appointing a centrally held endowed chair
  - 1. To begin the appointment process, the Chancellor identifies a unit or an initiative for which a centrally held endowed chair is available. For a centrally held endowed chairs and at the Chancellor's request, the Vice Provost- Academic Affairs will consult with the relevant dean to initiate the nomination of a specific candidate to the endowed chair.
  - 2. After consultation with the relevant dean or deans, who may nominate 1-4 individuals, the Chancellor and Provost will propose one individual for appointment to the centrally held endowed chair.
  - 3. Follow procedures in section V., Appointment of an Endowed Chair.

## **IX. ANNUAL REPORTING**

Each endowed chair holder shall annually submit a brief narrative of the past year's activities, including explanation of expenditures of the endowment income, and a budget request for use of the endowment income for the following year. This narrative should be submitted to the dean via the department chair.

## **X. FURTHER INFORMATION**

- A. Consult [APM-191.D](#) and UC Davis Endowed Chair Payout Guidelines, available from a development officer, for use of fund payout.
- B. Consult [APM-191.E](#) for disestablishment of an endowed chair.
- C. Additional information or assistance is available from the Office of the Vice Provost--Academic Affairs.
- D. Contact the Associate Vice Chancellor--Development & Alumni Relations if you have questions regarding working with potential donors in contributing funds for an endowed chair.