

PPM 302: Endowed Academic Positions

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Note: For links to referenced documents see
 Section VI, *Related Information* below.

I. POLICY SUMMARY

- A. This section of the Policy and Procedure Manual (PPM) for the University of California (UC) Agriculture and Natural Resources (ANR) describes the local implementing procedures for endowed academic positions, consistent with the UC *Development Reference Guide*. This section supplements the UC *Development Reference Guide*, and nothing contained in these implementing procedures should be read or interpreted to contradict the UC policy. If any provision should contradict the UC policy, the UC policy shall prevail.
- B. UC ANR is grateful to the donors that provide endowed funds to its programs, the payout of which may then support academic positions dedicated to research and public service. Establishing and naming endowed positions is contingent on endowment funding fulfillment, and is subject to UC policies, guidelines, and procedures to ensure appropriate financial and organizational controls.
- Endowed academic positions may fund all or a portion of the base salaries of an academic, while others may not, and instead fund additional research and extension efforts specific to the donor's intent. See PPM Section 310. The majority of the procedures outlined below reference the cases where academics benefit from research and extension funding.
- C. Endowment income made available to holders of endowed positions shall be used to support the research and public service activities of the position, in accordance with the gift terms and UC regulations.
- D. Selected academic appointees have been assigned to a UC campus with personnel actions approved through campus academic policies and procedures. Thus, those selected academic appointees are subject to campus policies and procedures and are not addressed in UC ANR local implementing procedures. This section of the Policy and Procedure Manual is applicable only to academic appointees subject to UC ANR personnel actions.

II. DEFINITIONS

- A. **Endowed Academic Position:** An academic position filled by a UC ANR academic appointee, and supported in whole or in part with the annual funding stream provided by a fund endowed for that purpose.

Note: UC ANR does not use the term "Endowed Chair." In accordance with UC Academic Personnel Manual Section 191, *Endowed Chairs and Professorships*, the term is reserved for UC faculty appointments (i.e., professorial titles), and individuals with a terminal degree who engage in all three areas of UC's mission of teaching, research and service.

- B. **Endowment:** A fund for which the principal remains inviolate and only the income may be expended.

III. POLICY TEXT

A. Endowed Academic Positions

1. Endowed funds for academic positions or programmatic purposes reflect the donor's interests while supporting the mission and priorities of UC ANR. Endowments commonly fund the research and salaries of academics (and/or staff) and provide a permanent source of funding for a donor-designated purpose. They are also an excellent long-term strategy for ensuring an annual funding stream to sustain and grow academic programs. These negotiated agreements are vetted closely by UC ANR leadership and the UC Office of the President (UCOP) Office of Institutional Advancement, who ensure they comply with UC policy and are utilized with integrity and accuracy. (See also, PPM Section 206, *Gifts to UC ANR*).
2. While the requirements outlined in APM-191 currently prohibit UC ANR from having endowed "chairs," UC ANR can establish endowed positions for specialists, advisors, administrative directors, institute directors, researchers, academic coordinators, and staff positions. Similar to the campus community, these funds can cover FTE salaries, partial FTEs, and/or the various costs related to research and extension activities.
3. To ensure a meaningful annual payout (essentially the "interest"), the principal balance must be significant in size and proportionate to the purposes of the fund. To establish endowments for academic positions, members of the Development Services team work with UC ANR leadership to secure dedicated funds for positions.
4. Each endowment agreement is unique and comes with specific instructions as to use and reporting; therefore, it is difficult to develop a "one size fits all" policy for them. The terms and content focus of each endowed academic position vary; however, UC ANR follows a consistent competitive process to select eligible endowed position holders to ensure fairness, transparency, and access to all qualified academic appointees.

B. Endowed Position Selection Process

Selection of the endowed position holder is made in accordance with UC and UC ANR policies and procedures, and contingent on the terms of the endowment, will follow a competitive process to ensure access to all eligible UC ANR academic appointees, system-wide. The selected candidate's scholarly record must be, meritorious, and in harmony with the stated terms, goals, and purpose of the endowment. Position holder selection is made per the terms of the endowed fund agreement, and in accordance with procedures prescribed in the associated *Request for Proposals*.

1. Request for Proposals

The Vice Provost will develop a *Request for Proposals* document, and distribute it to eligible UC ANR academics per the endowment agreement terms. Applicants will submit a proposed scope of research including:

- a. A statement of relevance of the proposed scope of work to the focus stipulated by the donor in the endowed fund agreement.
- b. A plan of work, outlining anticipated outcomes and anticipated impacts.
- c. A budget outlining fund expenditures from the endowment payout.
- d. Information regarding potential internal and/or external collaborators involved with the proposed research.
- e. Other pertinent information supporting the proposal – including letters of support, a Curriculum Vitae, relevance to other work in this area, why this research is groundbreaking and/or necessary, etc.

2. Review Process

The appropriate Vice Provost will form a Review Panel to evaluate position proposals and recommend the selected recipient. The Review Panel will consist of three to five members, including a donor representative (if specified in the endowed fund agreement), and UC ANR academic appointees. Other individuals may be included depending on the relevant research area. The Vice Provost will appoint a Review Panel Chair to facilitate and oversee the review process. When the Review Panel submits a recommendation, the Vice Provost will carry it forward to the Associate Vice President. In turn, the Associate Vice President will request the Vice President's final approval.

3. Initial Appointment of the Endowed Academic Position

Once the Vice President has approved the individual that will serve as the endowed position holder, the recipient will receive an award letter outlining the expectations and requirements of the appointment. Unless otherwise specified in the endowed fund agreement, position-holders are usually awarded a five-year term.

4. Subsequent Endowed Academic Position Appointments

A competitive search process will generally take place every five years, following the plan outlined above. Current position holders are eligible to apply for renewed appointments. At a minimum, the following criteria apply when reviewing the reappointment request of an endowed position holder.

- a. Fulfillment of the goals and activities required by the endowed position.
- b. Academic's performance and achievements reasonable within the applicable advancement criteria.

C. Notification Process

Once selected, the position holder will receive an award letter outlining the expectations and requirements of the appointment. Most appointments are for a five-year term with a competitive selection process every subsequent five years. Current position holders are eligible to apply for the renewed five-year appointment.

D. Position Description

Once an academic endowment position agreement is established and funded, the

UC ANR Vice Provost of Research and Extension or the Vice Provost of Strategic Initiatives (depending on the terms of the agreement) will work with the academic to prepare a position description, which includes:

1. Description and terms of the endowed position, and the role of the academic in fulfilling the programmatic unit's mission and/or plan of work.
2. The responsibilities the endowed position holder must fulfill.
3. Information regarding the performance review process of the endowed position holder.

E. UC ANR Endowed Academic Position Reporting Requirements

Regardless of the focus and intent of a specific endowed position, UC ANR has defined the following expectations of all endowed position holders.

1. Prepare and issue an annual report to the relevant Vice Provost and the Associate Vice President, regarding the status of the plan of work. The report should include:
 - a. Any significant accomplishments, challenges or revisions to the original scope of work.
 - b. Examples of how research was conducted and/or information was extended, impacts and condition changes that resulted from the work, as well as outcomes and impacts achieved because of the activities conducted under the auspices of the position.
 - c. A financial report detailing the expenditures of the endowed payout funds, demonstrating that the funds expended are in keeping with the terms of the endowment. If funds remain at the end of the program year, the report will include an explanation for the underspending, and the expenditure plan for the carryover funds in the coming program year. In keeping with the intent of the endowment, the majority of the funds are expended annually – carryover should be kept to a minimum level practical. If significant funds are carried-over more than once, the position holder will meet with the relevant Provost and/or with the Development Services Advancement Director to determine how to eliminate carryover in the future.
2. The endowed position holder will share a preliminary version of the report with the Associate Vice President. Once the Associate Vice President has reviewed the report, the endowed position holder will send a final version to the fund donor, with a copy to the Associate Vice President and to the Development Services Director of Advancement. The report may also be utilized in public media.
3. If the holder of an endowed position is seeking a merit or promotion advancement during the five-year appointment period, the Peer Review Committee will only review the advancement program review dossier. It is envisioned that the academic will include the majority of the endowed position accomplishments in their program review dossier.

Note: The report is not the goal per se. Rather the intent is to ensure donor

engagement and show ongoing response to their interests and needs.

IV. COMPLIANCE / RESPONSIBILITIES

A. Development Services

In partnership with the Academic Personnel Unit, Development Services is responsible to implement and ensure compliance with this policy, including the requirements of the UC *Development Reference Guide*. ***Development Services will give a month's reminder to endowment recipients of upcoming reporting requirements.***

B. Academic Human Resources Unit (AHR)

In partnership with Development Services, the AHR unit is also responsible to implement and ensure compliance with this policy, including the requirements of APM Section 191.

C. UC ANR Vice Provosts

The Vice Provosts are responsible to prepare and issue the Requests for Proposals. They are also responsible to appoint the Review Panel to evaluate responses to the Requests for Proposals, to recommend a position holder recipient to the Vice President, and to review the annual report of the position holder, and take action on the report, if warranted.

D. UC ANR Associate Vice President (Associate Vice President)

The Associate Vice President is responsible to oversee the work of the Academic Human Resources unit and of the Vice Provosts in implementing this policy, as well as to carry forward recommendations to the Vice President.

E. UC ANR Vice President (Vice President)

The Vice President is responsible to make the final decision as to the endowed position holder. The Vice President is also responsible to remove individuals from the endowed position should such removal prove necessary. The Vice President has the authority to make exceptions to these policies and procedures, provided such exceptions are not contrary to the requirements of applicable UC policies. The holders of endowed positions serve at the will of the Vice President, and the Vice President has the authority to select a reappointment term of less than five years, as the Vice President may deem appropriate.

V. PROCEDURES

See Section III, *Policy Text* above.

VI. RELATED INFORMATION

- [UC Office of the President *Development Reference Guide*](#)
- [UC Office of the President Academic Personnel Manual 191, *Endowed Chairs and Professorships*](#)
- [UC ANR Policy and Procedure Manual, Section 206, *Gifts to UC ANR*](#)

VII. FREQUENTLY ASKED QUESTIONS

Not used.

VIII. REVISION HISTORY

September 2018:

Format updated.

March 2021:

Title changed from “Endowed Chairs” to “Endowed Academic Positions,” revised for current practices, consistency and clarity, titles and links updated.

September 2022:

Format updated.