

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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SANTA BARBARA • SANTA CRUZ

Robert L. Powell
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*Chair of the Assembly and the Academic Council
Faculty Representative to the Board of Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200*

December 20, 2012

SUSAN CARLSON
VICE PROVOST, ACADEMIC PERSONNEL

Dear Susan:

As you requested, I distributed the proposed new policy, APM 430 on Visiting Scholars, for systemwide review. All ten divisions and three committees (UCAP, UCFW, UCPB) responded. In general, respondents were supportive, although there was a diversity of opinion within divisions, and several divisions noted that many campuses already have titles that accommodate such visitors. UCFW opposed adoption of the revisions. I have enclosed all of the responses, and highlight a few of the comments, below.

- Some faculty expressed concern that the APM should be reserved for policies governing employees (UCLA).
- The provision for undergraduates should be removed and a distinction should be made between visiting scholars and visiting students (UCSB).
- The APM should either specify what University resources will be made available to Visiting Scholars or expressly direct the campuses to develop local policies regarding access to University resources (UCR, UCSB, UCSC, UCSF).
- The requirement that the Visiting Scholar be affiliated with an outside institution or agency might also be overly restrictive as it would exclude some very desirable Visitors, such as some McArthur Fellowship recipients (UCR, UCSB). Perhaps, instead, the sponsor should be required to justify the appointment of a Visiting Scholar in terms of academic training and/or experience and expertise in a particular field (UCSD, UCSF, UCFW).
- Some mechanism for broader faculty oversight of the appointment process should be devised in order to serve as a check on the conveyance of the title in inappropriate ways and to ensure that it is not granted at the discretion of an individual faculty member (UCSB, UCFW).
- The APM should clarify that not everyone who is visiting a UC campus as a researcher/scholar needs such a title classification and official authorization (UCSB).
- The 12-month maximum is restrictive; a process for extending the appointment should be clarified (UCSB).
- UCLA has recently issued a Visiting Graduate Researcher policy and is gathering data on the experience of graduate researchers that may be able to inform systemwide policy.

Please do not hesitate to contact me if you have any questions.

Sincerely,

A handwritten signature in black ink, reading "R. L. Powell". The signature is written in a cursive style with a large, looped "P" and "L".

Robert L. Powell, Chair
Academic Council

Cc: Academic Council
Martha Winnacker, Senate Executive Director



320 STEPHENS HALL
UNIVERSITY OF CALIFORNIA

December 3, 2012

ROBERT POWELL
Chair, Academic Council

Subject: Proposed APM 430 (Visiting scholars)

Dear Bob,

On November 5, 2012, the Divisional Council of the Berkeley Division discussed proposed academic personnel policy, APM 430, governing visiting scholars, informed by reports of our divisional committees on Budget and Interdepartmental Relations, Educational Policy, Faculty Welfare, and Graduate Council. We have no objections to the proposed policy.

Sincerely,

Christina Maslach
Christina Maslach
Chair, Berkeley Division of the Academic Senate
Professor of Psychology

Cc: Shannon Jackson, Chair, Committee on Budget and Interdepartmental Relations
Ronald Cohen, Chair, Committee on Educational Policy
Calvin Moore, Chair, Committee on Faculty Welfare
Mark Stacey, Chair, Graduate Council
Martha Winnacker, Executive Director, Academic Senate
Linda Song, Berkeley Division Associate Director staffing Graduate Council
Aimee Larsen, Manager, Committee on Budget and Interdepartmental Relations
Linda Corley, Senate Analyst, Committee on Educational Policy



OFFICE OF THE ACADEMIC SENATE
ONE SHIELDS AVENUE
DAVIS, CALIFORNIA 95616-8502
TELEPHONE: (530) 752-2231

December 11, 2011

ROBERT L. POWELL, CHAIR

University of California
Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607

Re: APM 430 – Visiting Scholars Proposed New Policy

The proposal was forwarded to all Davis Division of the Academic Senate standing committees and Faculty Executive Committees within the schools and colleges for comment. Responses were received from the CAP Oversight Committee, Faculty Welfare, Graduate Council – Academic Planning and Development Committee, and Committee on Research.

The Davis Division has reviewed and supports the proposed APM 430 to create a position for visiting scholars at the University of California. No concerns were identified, and Division currently has no comments or recommendations to offer for consideration.

Sincerely,

A handwritten signature in dark ink, appearing to read "Bruno Nachtergaele", is written over a horizontal line.

Bruno Nachtergaele, Chair
Davis Division of the Academic Senate
Professor: Mathematics



Office of the Academic Senate
307 Aldrich Hall
Irvine, CA 92697-1325
(949) 824-2215 FAX

December 6, 2012

Robert Powell, Chair, Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

RE: Systemwide Review of Proposed APM 430: Draft Policy on Visiting Scholars

At its meeting of December 4, 2012, the Irvine Division Academic Senate reviewed the proposed new policy, APM 430: Visiting Scholars. The following Councils commented on the proposal.

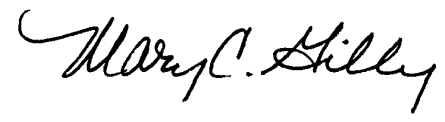
Council on Faculty Welfare, Diversity, and Academic Freedom (CFW)

Members found the proposal to be reasonable, noting it decreases overall liability for the University produced by departments that have in the past been forced to create academic titles for visiting scholars. The Council unanimously endorsed the proposal and recommends its implementation. However, the Council also raised the issue of clarifying the protections extended to visiting scholars as noted by the Council on Academic Personnel.

Council on Academic Personnel (CAP)

It appears that the new title simplifies the process currently used by departments and administrative offices for visiting faculty and students who do not receive compensation. However, it is not clear from the text of the new policy, whether the Visiting Scholars and the University would have the same protections (e.g., in the event of an injury) as the existing titles offer. Other than this last observation, CAP members had no objections to the proposed new APM-430.

The Irvine Division appreciates the opportunity to comment.

A handwritten signature in black ink, reading "Mary C. Gilly". The signature is written in a cursive style with a large, looping initial "M".

Mary C. Gilly, Senate Chair

C: Martha Kendall Winnacker, Executive Director, Academic Senate

November 29, 2012

Robert Powell
Chair, Academic Council

Re: APM 430 Proposal

Dear Bob,

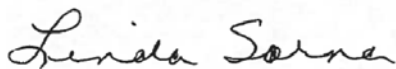
Thank you for the opportunity to review and opine upon the proposed APM 430. I requested review from the Council on Planning and Budget, the Council on Research, the Graduate Council, the Undergraduate Council, and the Faculty Executive Committees. I have attached their responses, for your information.

UCLA is not opposed to the proposal in principle, but cannot support it in its current form. Chief among our concerns are the following:

1. No compelling rationale for the creation of the policy was articulated. Existing policies and practices at UCLA appear to be adequate for regulating both visiting students and academic personnel. We are not aware of any compelling difficulties being addressed by the creation of the APM 430, and are therefore reluctant to endorse it.
2. The draft policy requires a statement that it does not supersede campus policies. UCLA has a well articulated Visiting Graduate Researcher policy (see attached). The policy is in a three year pilot period and is enabling us to gather important data on visiting graduate researchers, applicable fees, and the like. It may well be that UCLA will have a policy that can inform the formation of a systemwide policy on the matter.
3. Faculty are concerned that the APM is being modified to regulate non-employees in the UC. It strikes us that the APM is best reserved for policies governing employees.

Thank you again for the opportunity to review this proposed policy. We would be happy to review it again, when these important concerns have been addressed.

Sincerely,



Linda Sarna
Chair, UCLA Academic Senate

Cc: Carole Goldberg, Vice Chancellor, UCLA Academic Personnel
Martha Winnacker, Executive Director, Academic Senate
Jaime R. Balboa, Chief Administrative Officer, UCLA Academic Senate

Deans, Directors, Department Chairs, and Senate Faculty:

I am pleased to announce a new campus policy for Visiting Graduate Researchers (VGRs). The Graduate Council, Deans' Council and EVC/Provost have endorsed implementing this policy as a four-year pilot program. As part of this policy, VGR appointments will be made through the Graduate Division, rather than the International Education Office, beginning July 23, 2012 for visits that will commence on or after September 24, 2012.

The VGR policy applies to individuals, both domestic and international, who are enrolled as degree-seeking graduate students at their home institutions and who are invited to conduct short-term doctoral research or participate in a "prescribed course of study" such as a mentored or independent research project or master's research collaborations with a faculty member at UCLA. The initial VGR appointment can range from 3 weeks to 12 months; the maximum stay is 24 months.

The posted [chart](#) describes the elements of the VGR program, along with the existing No Degree Objective (NDO) mechanism for visiting students. For the fee schedule, please visit [here](#). The schedule includes specific fees that were approved by the Office of Academic Planning and Budget and vetted by the Graduate Council and Deans' Council. At the Provost's direction, it also includes a VGR supplemental fee of \$535 per quarter. Taken together, the total fees for an international student visiting for 12 months in 2012-13 will be the same as they were in 2011-12. Please note that students whose current health insurance does not meet the UCLA minimum coverage requirements will need to purchase the supplemental health insurance.

Key features of the VGR policy:

- Allows a VGR to conduct research at UCLA for a minimum of three weeks to a maximum of two years. The initial appointment would be for up to one year and could be renewed through the Graduate Division for a second year contingent on approval by the mentor and the availability of appropriate resources.
- Requires the faculty mentor, host department and the Graduate Division, in coordination with Dashew Center for International Students and Scholars or other appropriate campus visa office, to vet the VGR appointment.
- Requires faculty mentors to be members of the Academic Senate, i.e., eligible to mentor doctoral students.
- Places no specific limit on the number of VGRs a faculty member can sponsor at one time. Department chairs are empowered to decline to authorize appointments if they have concerns.
- Allows the VGR to receive fellowship stipends from UCLA funding sources or engage in up to 20 hours of employment at UCLA (50% work appointment in specific title codes such as a Staff Research Associate) subject to visa limitations.
- Enables VGRs to enroll in UNEX courses or UCLA courses via concurrent enrollment (which requires faculty permission to enroll) at existing fee-per-unit rates.
- Provides the VGR with a BruinCard, UID, BOL account, and library access (fees to be paid by the student, faculty mentor or host department).

- Requires the VGR to have health benefits coverage through the Visiting Scholar Injury and Sickness Insurance Plan (VSISP). The VGR can opt out if he or she can demonstrate equivalency of coverage.
- Requires the VGR to comply with relevant campus policies including intellectual property, and lab safety training.

The Graduate Division will begin to accept VGR appointment requests on July 23, 2012. For information about the application process and requirements, please visit [here](#). Individual faculty who would like to host a visitor but who have concerns about their or their visitor's ability to pay the required fees should contact their school or divisional dean, who will work with me to identify appropriate resources.

Sincerely,

Robin L. Garrell

Vice Provost for Graduate Education
Dean, Graduate Division

UCLA *Academic Senate, Council on Planning and Budget*

November 14, 2012

Professor Linda Sarna
Chair, UCLA Academic Senate

Re: Proposed New Policy, APM 430, Visiting Scholars: Council on Planning and Budget Response

Dear Professor Sarna,

The Council on Planning and Budget (CPB) discussed the proposed APM 430, Visiting Scholar Policy, at our meeting of October 22, 2012. No clear statement was presented of the problem that this APM was designed to solve or respond to, other than being "responsive to campus requests".

Since a number of CPB members have routinely utilized a title of Visiting Scholar for appointments of visiting faculty for terms typically one year or less, it was not clear to the Council that a new APM was necessary for this constituency. In fact, we currently are able to request an appointment of up to two years for visiting scholars, and the proposed APM would be more restrictive, limiting the appointment to one year. The inclusion of students in the policy also appears to create a potential for circumventing enrollment of students to avoid some costs associated with the existing policy on Visiting Graduate Researchers. The Council expressed concern that the utilization of an appointment category for visiting students that precluded compensation from the University of California may contribute to reduced diversity and access, as the student or sponsoring University would have to provide full support for the term of the visit. Since this may not be a significant issue for visiting faculty, treating students and faculty equally in the single APM is unwise.

In summary, CPB does not see a clearly defined and valid rationale for creating an APM for Visiting Scholars, particularly one that simultaneously attempts to include both students and faculty. Existing policies and practices at UCLA appear to be adequate for appointing visiting students and faculty, and we are not aware of any difficulties being expressed by UCLA faculty that would be mitigated by the proposed APM 430.

Sincerely,



Neal Garrett
Chair, Council on Planning and Budget

cc: Jan Reiff, Vice Chair, Academic Senate
Andy Leuchter, Immediate Past Chair, Academic Senate
Jaime Balboa, Chief Administrative Officer, Academic Senate
Linda Mohr, Assistant Chief Administrative Officer, Academic Senate
Members of the Council on Planning and Budget



MEMORANDUM

November 14, 2012

FROM: Timothy R. Tangherlini, Chair, COR
TO: Academic Senate
RE: APM 430

A handwritten signature in blue ink, likely of Timothy R. Tangherlini, written over the "TO" and "RE" lines of the memorandum header.

The Council on Research has considered the proposed system-wide APM 430, a policy that would “create a new title to accommodate domestic and international visitors who are students enrolled in universities in the United States and abroad, or academics employed at institutions visiting the University of California for a short-term academic or cultural exchange experience.”

In its broadest formulation, COR supports this initiative, and believes that the flexibility for short-term visitors encapsulated in this proposal is one that helps foster the type of research environment that we support here at UCLA. We believe that this title will be particularly useful to various units on campus that hold short-term workshops, such as the Institute for Pure and Applied Mathematics, that have their own rigorous review process and regulations concerning participation. As this title augments, rather than replaces, the existing campus options for visitors, we believe that this increased flexibility is a positive addition as we move to support complex research projects here on campus.

That said, COR also recognizes that APM 430 raises a possible conflict with a pre-existing local policy governing Visiting Graduate Researchers. Although we largely support the VGR policy as an important and necessary control protecting the rights and responsibilities of visiting graduate researchers, it has been brought to our attention that the VGR policy can saddle attendees at short term workshops with high fees that may not be appropriate for their stay (e.g. a health services fee for a student at another university campus who has health insurance may not be appropriate for an attendee at a three week workshop). The VGR policy also has fairly onerous restrictions concerning IP agreements that may dissuade potential graduate students from participating in these educational opportunities. Several members of council pointed out that PI's might be very reluctant to allow their graduate students to attend workshops at UCLA if their status required such an IP agreement. Currently, sponsors of short-term projects or workshops must seek individual exemptions from the VGR policy to avoid duplicate work, unnecessary fees, and/or onerous IP agreements. We believe that the adaptation of the APM 430 policy, with its flexible “Visiting Scholars” title, may help alleviate some of this burden.

UCLA *Graduate Council*

To: Linda Sarna, Chair/Academic Senate

From: Joseph Nagy, Chair/Graduate Council

Date: November 15, 2012

Re: *Senate Item for Review – Proposed New APM 430, Visiting Scholars*

At its meetings on October 12 and November 9, 2012, the Graduate Council reviewed the proposed new policy for visiting scholars (APM 430) as distributed by UC Vice Provost for Academic Personnel Susan Carlson. Despite our lengthy discussions, no vote was taken, given the general confusion about the origins of the proposed policy and its impact on existing policies for “visiting” categories at UCLA. With this response, I register the Council’s general consensus that: 1) the policy as proposed is much too vague and all-encompassing to serve the UCLA campus well; and 2) its restrictive conditions that prohibit compensation and limit visits to more than one year will likely not serve other UC campuses well either.

The distribution of this newly proposed policy immediately following our own Division’s implementation (as a three-year pilot program) of an even more elaborate and granular policy caused significant confusion and skepticism. Given our existing categories of “Visiting Scholar,” “Visiting Graduate Researcher,” and “Visiting Undergraduate Students” (as overseen by the office of the UCLA Vice Chancellor for Research), the proposed one-size-fits-all APM 430 confuses matters in regard to the different types of “academic visitors” that may come to a UC campus, as well as in regard to their varying needs for campus services and privileges.

Much of the confusion centers on the potential implementation of this policy and whether it would be mandatory or optional at each campus. Could, for example, faculty who wish to sponsor a student and not pay the associated fees to appoint them as a VGR opt to appoint the student as an APM 430 Visiting Scholar, understanding that the visiting student would not be eligible for any form of compensation and would be restricted to an appointment of no more than twelve months? Will the Division provide guidance on this matter if the policy is approved and implemented at UCLA? Or would it require the elimination of existing “visiting” categories, for which administrative frameworks already exist? Would such an action be operationally efficient and meet the needs of every campus in the UC system?

At the very least, members felt that a preamble should be added to the policy to clarify its intent, how far-reaching it is, and to what extent campuses with existing definitions and corresponding categories are bound by it. Additionally, given the consensus that the policy is much too broad, members endorsed a recommendation to refine it and make distinctions between current degree-candidates and advanced scholars who have already received a terminal degree. For lack of any background information, members could only surmise that the intent of the policy was to create a broad definition for campuses

without existing frameworks for accommodating “visiting scholars,” but its very broadness will ultimately serve to complicate matters when those campuses are confronted with questions about compensation and extended durations of a visiting scholar’s stay at the University. Hence members of the Graduate Council cannot endorse the proposed policy in its current form.

Thank you for the opportunity to opine on this important matter.

cc: Jaime Balboa, Chief Administrative Officer, Academic Senate
Linda Mohr, Assistant CAO, Academic Senate
Kyle Cunningham, Policy Analyst, Graduate Council
Dorothy Ayer, Policy Analyst, Academic Senate

UCLA *Undergraduate Council*

November 16, 2012

To: Professor Linda Sarna, Chair
Academic Senate

From: Professor Troy Carter, Chair
Undergraduate Council



Re: Undergraduate Council Response to Proposed New Policy APM 430: Visiting Scholars

On behalf of the Undergraduate Council, I would like to thank you for the opportunity to review and opine on the proposed new policy, APM 430: Visiting Scholars. The Council thoroughly reviewed and discussed the proposal at its October 19, 2012 meeting. While the Council decided to raise no objections to the proposal, our discussion noted the following concerns:

- Although the policy does not address this fee, Council members are aware of a \$3,000 fee paid by Visiting Scholars at UCLA. Perhaps the policy should indicate that fees may be collected from visitors carrying this status. It is also not clear to the membership how this fee is determined or how the funds are allocated.
- Members are concerned that section 430-18b of the policy, which requires visiting scholars to be self-funded, could potentially limit the number of visiting scholars from developing countries. This may have long-term implications in regards to the diversity of visiting scholars. Allowing for a mix of funding – partial from home institution or country, with some support from the University of California – might be warranted.


If you have any questions, please contact me (x54770; tcarter@physics.ucla.edu) or Academic Senate Policy Analyst Melissa Spagnuolo (x51194; mspagnuolo@senate.ucla.edu).

cc: Dorothy Ayer, Policy Analyst, Academic Senate
Jaime Balboa, Chief Administrative Officer, Academic Senate
Linda Mohr, Assistant Chief Administrative Officer, Academic Senate
Melissa Spagnuolo, Principal Policy Analyst, Academic Senate

FACULTY EXECUTIVE COMMITTEE
College of Letters and Science

A265 Murphy Hall
Box 951571
Los Angeles, California 90095

To: Linda Sarna, Chair, UCLA Academic Senate

Fr: Michael Meranze, Chair, College Faculty Executive Committee 

Date: November 13, 2012

Re: **College FEC response to the proposed creation of APM 430 (Visiting Scholars) and revisions to APM 700 (Leaves of Absence)**

The College FEC appreciates the opportunity to review and opine on the creation of section 430 (Visiting Scholars) and the proposed revisions to section 700 (Leaves of Absence) of the Academic Personnel Manual. We discussed the proposals at our November 9, 2012 meeting, and I recount here a brief summary of the points that were made during that discussion:

1. **APM 430:** Members generally agreed on the importance of creating a formal system that can accommodate visiting scholars on UC campuses; however, the APM is reserved for policies that pertain to the employment relationship between academic appointees and the University of California. APM 430's explicit statement that Visiting Scholars are not academic employees of the University suggests the policy does not belong in the APM.
2. **APM 700:** A concern was raised about the adoption of the phrase "absence from duty," which suggests the absence of a work product (e.g. teaching, research, service). We believe the APM should include a definition of "absence from duty" in the same manner that "leaves of absence" are defined in 700-8.
3. **APM 700:** Members were concerned about the proposed 30 day trigger. It is more conventional in employment matters such as these to allow 90 to 180 days before the process begins. The FEC could imagine various scenarios where a 30 day trigger might lead to a premature start of the process. Given that once the process is started, the burden falls on the faculty member to prove that s/he has not resigned, this short trigger seems unjustified.
4. **APM 700:** While members were not necessarily opposed to the remedies proposed under APM 700, several wondered whether there was a genuine need for such a policy and why other provisions in the APM (e.g. APM 016: University Policy on Faculty Conduct and the Administration of Discipline, or APM 075: Termination for Incompetent Performance) could not be used to handle situations where academic appointees abandon their teaching, research, or service responsibilities.

As always, our membership appreciates the consultative process and welcomes the opportunity to opine on important matters like this. You are welcome to contact me at meranze@history.ucla.edu with questions. Kyle Stewart McJunkin, Academic Administrator, is also available to assist you and he can be reached at (310) 825-3223 or kmcjunkin@college.ucla.edu.

cc: Jaime Balboa, Chief Administrative Officer, Academic Senate
Lucy Blackmar, Interim Associate College Dean, College of Letters and Science

From: Johanna Drucker [<mailto:drucker@gseis.ucla.edu>]
Sent: Monday, November 19, 2012 1:14 PM
To: Balboa, Jaime
Subject: From FEC

Dear Jaime,

Visiting Scholars

GSEIS's FEC saw no particular impact from the changes proposed in the Visiting Scholars program.

RESPONSE OF THE HSSEAS FEC TO THE PROPOSED NEW UC APM 430

Date: November 14, 2012

To: Linda Sarna
Chair, UCLA Academic Senate

From: Alan Laub 
Chair, Faculty Executive Committee
UCLA Henry Samueli School of Engineering and Applied Science

Re: Assessment of the proposed APM 430 on Visiting Scholars

The UCLA SEAS FEC has considered the proposed new policy on UC Visiting Scholars, documented as APM 430 and available at http://fec.ea.ucla.edu/f12_fec_documents-jan_joe/Transmittal%20Letter%20for%20Proposed%20New%20Policy%20APM%20430%20Visiting%20Scholars.pdf. We offer the following commentary.

The SEAS FEC appreciates the development of this new UC title and policy, designed “to accommodate domestic and international visitors who are students enrolled in universities in the United States and abroad, and academics employed at other institutions who are visiting the University of California for short-term academic or cultural exchange experiences.” The SEAS FEC agrees with the constraints on such visitors described in this new policy, i.e., the time limit for visitation of 12 months (with the possibility of extension by exception), that visitors be ineligible for compensation from the University of California, and that they may be eligible for reimbursement of business and travel expenses.

We believe that this policy is fair and appropriate, especially for the increasing numbers of graduate students from other institutions who wish to visit UC campuses to perform research for a short duration. The prohibition on compensation for these visitors from UC sources is entirely appropriate in that it will avoid the potential for disadvantaging our own UC graduate students, who necessarily must have their tuition and benefits covered, in addition to salary. We do not want to make employment of visiting students so financially attractive to faculty and/or departments as to limit opportunities for our own graduate students. It is also important, of course, to verify that these visiting students have sufficient support for their stay at the campus.

We do note, however, that some campuses such as ours impose fees to cover necessary campus staff time, etc., that are associated with processing paperwork and otherwise accommodating such visiting students (see

<http://www.gdnet.ucla.edu/gss/postdoc/vgrfees.htm>, for example). If these visitors do not have funds to cover these fees, one might consider allowing the ability for research grant funds, for example, to cover these fees.

-----Original Message-----

From: O'Shea, Janet
Sent: Friday, November 16, 2012 4:52 PM
To: Balboa, Jaime
Subject: SOAA FEC Response to APM 430

Dear Jaime:

The School of Arts and Architecture Faculty Executive Committee welcomes the opportunity to opine on APM 430 Visiting Scholars Policy. The SOAA FEC endorses the proposed changes with revisions.

While SOAA FEC recognizes the need for clarity and specificity regarding visiting scholars versus other academic positions, such as those funded by the university, the current wording is ambiguous. It appears to apply to all academic visitors, from undergraduate students to visiting faculty. We would therefore request that the policy be clearer in its definition of the term 'scholars.' In addition, it appears unclear from the documentation how the title of visiting scholar is conferred. We would urge greater clarity in the policy regarding the process through which a visiting academic receives the title visiting scholar.

Thank you for the opportunity to opine on APM 430.

Best Regards,
Janet O'Shea
Chair, SOAA FEC



UCLA SCHOOL OF THEATER, FILM, AND TELEVISION

FACULTY EXECUTIVE COMMITTEE

S.I. Salamensky, Chair (ss@tft.ucla.edu)

REPORT TO THE ACADEMIC SENATE, NOVEMBER 9, 2012:

Proposal Paper: APM 430, Visiting Scholars

Response: We endorse this initiative.

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OFFICE OF THE ACADEMIC SENATE
PEGGY O'DAY, CHAIR
senatechair@ucmerced.edu

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5200 NORTH LAKE ROAD
MERCED, CA 95343
(209) 228-7954; fax (209) 228-7955

December 7, 2012

ACADEMIC COUNCIL CHAIR POWELL

RE: Merced Division Comments on the Proposed New Policy APM - 430, Visiting Scholars

Three standing committees of the Merced Division reviewed the proposed new policy, APM -430. The Division Council reviewed the committees' responses and discussed the proposed revisions at its December 6 meeting.

Two committees (Committee on Academic Personnel and Graduate and Research Council) supported the proposed new policy as presented. The Faculty Welfare Committee commented that the proposed policy lacked detail regarding the criteria for appointment of a Visiting Scholar and faculty involvement in the appointment process. Presumably, the policy for appointment at each campus would supply these specific details, as indicated by 430-24(b). Division Council thought that the policy was appropriate and would provide guidance for campus-specific implementation.

Sincerely,

A handwritten signature in blue ink that reads "Peggy O'Day".

Peggy O'Day
Chair, Merced Division of the Academic Senate

cc: Executive Director Winnacker
Division Council
Senate Office

Encl. (5)

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ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON ACADEMIC PERSONNEL (CAP)
RAYMOND GIBBS, CHAIR
rgibbs@ucsc.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95344
(209) 228-7930; fax (209) 228-7955

Date: November 8, 2012

To: Peggy O'Day, Chair, Division Council (DivCo)

From: Raymond Gibbs, Chair, Committee on Academic Personnel (CAP)

Re: Proposed APM 430 (Visiting Scholars)

CAP has reviewed and approves of the proposed changes to APM 430 on "Visiting Scholars."

**CC: CAP
DivCo**

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SANTA BARBARA • SANTA CRUZ

OFFICE OF THE ACADEMIC SENATE
SEAN MALLOY, FW CHAIR
smalloy@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95311
209) 228-7930; fax (209) 228-7955

Date: November 6, 2012
To: Peggy O'Day, Chair, Division Council (DivCo)
From: Sean Malloy, Chair, Committee on Faculty Welfare (FW)
Re: Proposed Draft APM 430 (Visiting Scholars)

Faculty Welfare welcomes the notion of a uniform policy for Visiting Scholars. In reviewing the proposed APM 430, however, FW was concerned with the general lack of prescribed faculty oversight in the process, especially since the minimum criteria for becoming a Visiting Scholar are relatively slim. What if, for example, a large individual donor to the university or an influential politician asked to be appointed as a Visiting Scholar as a condition of their largess? Would the faculty have the ability to vet this person to ensure that their appointment was in keeping with the UC's mission of scholarly and educational excellence? The language in the proposed draft of APM 430 is vague enough on the issue of faculty oversight to raise troubling questions and we urge that it be revised to be more explicit on this point.

CC: DivCo
FW

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SANTA BARBARA ¶ SANTA CRUZ

ACADEMIC SENATE, MERCED DIVISION
GRADUATE AND RESEARCH COUNCIL (GRC)
VALERIE LEPPERT, CHAIR

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343
(209) 228-6312

November 6, 2012

To: Peggy O'Day, Senate Chair

From: Valerie Leppert, Chair, Graduate and Research Council (GRC)

Re: GRC response to Proposed New Policy APM-430, Visiting Scholars

GRC has reviewed the proposed new Systemwide policy APM-430, Visiting Scholars. The committee has no objections or additional comments to the proposed policy that accommodates students and academics visiting the University of California.

CC: Graduate Research Council
Division Council
Academic Senate Office



CHAIR, ACADEMIC SENATE
RIVERSIDE DIVISION
UNIVERSITY OFFICE BUILDING, RM 225

JOSE WUDKA
PROFESSOR OF PHYSICS AND ASTRONOMY
RIVERSIDE, CA 92521-0217
TEL: (951) 827-5538
E-MAIL: JOSE.WUDKA@UCR.EDU

November 26, 2012

Robert Powell, Chair, Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

Dear Bob:

RE: Systemwide Review of Proposed New Policy – APM 430, Visiting Scholars

The Executive Council reviewed the proposed APM 430 addition to the Academic Personnel Manual; the committees on Academic Personnel, Graduate Council, International Education, and Research also commented on the proposal. The responses were all positive and we recommend adoption with two proposed changes:

1. The limitation of the appointment to one year (430-20.a) is overly restrictive; we suggest allowing the possibility to renew the appointment, contingent, of course, on approval by the authority in charge.
2. The requirement that the Visiting Scholar be affiliated with an outside institution or agency might also be overly restrictive as it would exclude some very desirable Visitors, such as some McArthur Fellowship recipients. We suggest language be added to include these cases.

In addition, it would be useful to specify whether the appointees would be able to receive housing assistance and to indicate the campus services Visitors would have access to (library, network, etc.)

Sincerely yours,

Jose Wudka

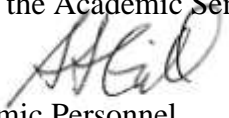
Professor of Physics & Astronomy and Chair of the Riverside Division

CC: Martha Kendall Winnacker, Executive Director of the Academic Senate
Cynthia Palmer, Director of UCR Academic Senate office

The logo for the University of California, Riverside Academic Senate. It features the text "UC RIVERSIDE" in large blue letters, with "UNIVERSITY OF CALIFORNIA" in smaller blue letters above "RIVERSIDE". To the right of "RIVERSIDE" is a vertical orange bar, followed by the words "Academic Senate" in blue. Below this, the text "COMMITTEE ON ACADEMIC PERSONNEL" is written in black.**COMMITTEE ON ACADEMIC PERSONNEL**

September 26, 2012

To: Jose Wudka, Chair
Riverside Division of the Academic Senate

From: Sarjeet Gill, Chair 
Committee on Academic Personnel

Re: Systemwide Review of Proposed New Policy - APM 430, Visiting Scholars

On September 24, 2012, CAP voted unanimously to approve APM 430 - Visiting Scholars (+10-0-0). In addition, CAP suggests that appointment of Visiting Scholars be delegated to the Deans.



November 2, 2012

To: Jose Wudka, Chair
Riverside Division

From: Connie Nugent, Chair
Graduate Council

A handwritten signature in blue ink, appearing to read "Connie Nugent".

Re: SYSTEMWIDE REVIEW OF PROPOSED NEW POLICY – APM 430,
VISITING SCHOLARS

Graduate Council discussed APM 430 at its October 18, 2012 meeting and agreed that it clarifies issues surrounding the visiting scholar title. Visiting Scholars play an important role in spreading the impact of UCR internationally. This policy was considered to be beneficial to both UCR and to the scholar. One question the committee raised is whether housing assistance for Visiting Scholars would be permissible under this policy.



To: Jose Wudka, Chair
Academic Senate, Riverside Division

From: Lucille Chia, Chair
International Education

Re: Comments from IEC on the APM 430 Review

The Committee on International Education has reviewed the APM 430 Review (allowing for appointments of students and academics as Visiting Scholars) document and is in support of the policy. The committee's comments in support of APM 430 are as follows:

The new academic title makes sense. A committee member provided the example of losing a visiting scientist who had support from his government to come to UCR for a research leave. However, the visiting scientist's stipend was below the UC pay scale for a postdoc and UC required that a large supplement from grant funds be provided, which was not available using the current available grants at that time. Even after the visiting scientist offered to set up an account to support himself from personal funds, he still was unable to come to UCR because postdocs cannot be self-supported according to UC rules. The new category proposed here eliminates this problem by creating a nonpaid category for visiting scholars who are self-supported or who come here with support from their own government or university.

One committee member who supported APM 430 did question if the policy will come with the same privileges such as library access, ID card, and network ID as other titles have access to.

As chair of the committee, I support the new policy, since it provides greater flexibility, which is much needed, in welcoming students and post-docs from abroad to come to UCR, who otherwise may encounter regulations that do not allow them to come.



November 13, 2012

To: Jose Wudka, Chair
Riverside Division

Fr: Len Nunney, Chair
Research

A handwritten signature in black ink, appearing to read "Len Nunney".

Re: APM 430, Visiting Scholars

The Committee on Research discussed APM 430 pertaining to Visiting Scholars. There was strong support for having such a title, and the committee's only major concern was that its use should not be restricted by a narrow interpretation of a scholar's need to be "affiliated" with an outside institution or agency. The committee felt that if a scholar is being supported by a scholarly agency (e.g. the MacArthur Foundation), they should be permitted to come to UCR even though they may not be strictly "affiliated". The committee suggests explicitly broadening the definition to include scholarly funding.



OFFICE OF THE ACADEMIC SENATE

9500 GILMAN DRIVE
LA JOLLA, CALIFORNIA 92093-0002
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December 7, 2012

Professor Robert Powell
Chair, Academic Council
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

Subject: Proposed New Policy, APM 430, Visiting Scholars

Dear Bob,

The proposed new policy APM 430, Visiting Scholars was sent to the appropriate Divisional committees for comment; the Senate Council discussed the proposal on December 3, 2012.

Most reviewers endorsed the policy as proposed. Two changes were suggested: first, that the policy explicitly require the sponsor to justify the appointment of a Visiting Scholar on academic training grounds and, second, that the phrase "...authority and procedures to appoint and reappoint..." in APM 430-24b be changed to "...authority and procedures to appoint, reappoint, and remove..."

Sincerely,

A handwritten signature in dark ink, appearing to read "T. Guy Masters", is written over a light blue horizontal line.

T. Guy Masters, Chair
Academic Senate, San Diego Division

cc: Divisional Vice Chair Pogliano
Executive Director Winnacker



Office of the Academic Senate
SANTA CRUZ DIVISION
125 CLARK KERR HALL
(831) 459 - 2086

1156 HIGH STREET
SANTA CRUZ, CALIFORNIA 95064

November 13, 2012

Robert Powell, Chair
Academic Council

Re: Proposed New Policy APM-430, Visiting Scholars

Dear Bob,

The UC Santa Cruz Division has reviewed and discussed the proposed new policy APM-430, Visiting Scholars. Our Committees on Academic Personnel (CAP), Privilege and Tenure (P&T) and Research (COR) as well as our Graduate Council (GC) have generally responded in support of the creation of the new title but have one principle concern regarding the wording of the new policy.

The policy is unclear about what privileges Visiting Scholars will have for the use of University resources. Our committees feel that either these privileges should be clarified in the wording of APM-430 or the campuses should be asked to develop specific policies for this.

While UCSC supports the intent of the proposed new policy, we respectfully suggest more clarity in this one area described above before it is formally adopted.

Sincerely,

A handwritten signature in black ink, reading "Joe Konopelski".

Joe Konopelski, Chair
Academic Senate
Santa Cruz Division

CC: Pamela Peterson, AVC
Christina Ravelo, CAP Chair
Bruce Schumm, GC Chair
Lynn Westerkamp, CPB Chair
Scott Oliver, COR Chair
Onuttom Narayan, P&T Chair



University of California
San Francisco

Academic Senate
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Robert Newcomer, PhD, Chair
Farid Chehab, PhD, Vice Chair
Brad Hare, MD, Secretary
Anne Slavotinek, MD, Parliamentarian

December 10, 2012

Robert Powell, PhD
Chair, Academic Council
Academic Senate
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
senatereview@ucop.edu

Re: Proposed New Policy APM 430 Visiting Scholars

Dear Chair Powell:

The San Francisco Division of the University of California Academic Senate has reviewed the proposal for [APM 430 Visiting Scholars](#). We received comments from the Committee on Faculty Welfare as well as from the four School Faculty Councils which include Dentistry, Medicine, Nursing and Pharmacy). Those who responded from the San Francisco Division did not raise any issues with the proposed new policy.

Furthermore, we support the recommendations submitted by UCSF Vice Provost for Academic Affairs, Sally Marshall, which include the following recommended changes (in italics):

430-4 Definition

Recommend adding the following line to the definition:

Participants in one-time accredited UC continuing education activities are exempted from this definition.

430-10 Criteria for Appointment

Visiting Scholars will possess:

- 1) a baccalaureate degree; or
- 2) equivalent; or
- 3) recognized expertise in a field.

#2 "equivalent" should be part of the previous line which refers to a baccalaureate degree, rather than a separate category.

430-20 Conditions of Appointment

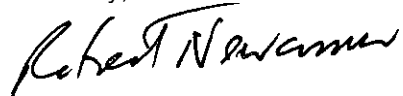
e. Visiting Scholars may be eligible for reimbursement of business and travel expenses. A reimbursable expense is an expense incurred which is related to activities that contribute to any one of the University's major functions of teaching, research, patient care, or public service.

Propose that the policy be amended as follows:

e. Visiting Scholars may be eligible for reimbursement of business and travel expenses, *as well as health insurance and/or malpractice insurance if appropriate or required.*

We appreciate the opportunity to review the proposed policy.

Sincerely,

A handwritten signature in black ink, reading "Robert Newcomer". The signature is written in a cursive, flowing style with a large initial "R".

Robert Newcomer, PhD
Chair, UCSF Academic Senate



ACADEMIC SENATE
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<http://www.senate.ucsb.edu>

Kum-Kum Bhavnani, Chair
Deborah Karoff, Executive Director

December 5, 2012

Robert Powell, Chair
Academic Senate

RE: Proposed APM 430: Visiting Scholars

Dear Bob,

The proposal for APM 430 regarding Visiting Scholars was reviewed by several groups at the Santa Barbara Division, including: Committee on Academic Personnel (CAP), Committee on International Education (CIE), Council on Faculty Issues and Awards (CFIA), Graduate Council (GC), Council on Planning and Budget (CPB), Council on Research and Instructional Resources (CRIR) and the Faculty Executive Committees from the College of Letters and Science, the College of Engineering, the College of Creative Studies, Bren School of Environmental Science and Management, and the Gevirtz Graduate School of Education. The campus review has produced a mixed response.

Several groups stated that they were supportive of the concept and of the language of APM 430 as proposed (CRIR, CPB, CAP, FEC-Bren, FEC-CCS). They see the proposal as a useful tool for scholars who visit the campus. The L&S FEC endorsed the proposed APM with the understanding that some compensated scholars and researchers can be brought to the campus under other, existing policies. Both the Education FEC and CIE suggest that wording should be added that would allow for the payment of an honorarium for a colloquium or departmental talk, in light of how frequently this kind of event occurs.

Graduate Council was unequivocal. It does not endorse the proposed language in APM 430, and argues that the policy is poorly conceived, incomplete and unnecessary. They suggest that there are existing mechanisms in place to bring scholars to campus and that the proposed policy is overly restrictive in two ways: firstly, it narrows the definition of visiting scholars and, secondly, it is concerned that the lack of remuneration may create negative impacts on graduate students. Some of their concerns are echoed in the comments from other groups.

Other groups stated they were generally supportive of the concept and the proposed language, but offered hesitations about APM 430. CIE notes "that the policy specifies a maximum length of time for a visitor (12 months, but typically less than 6 months), but it does not mention a *minimum* stay. The committee is concerned that the policy may inadvertently create a burdensome bureaucratic framework whereby anyone who is a scholar who is visiting campus would be considered a "visiting scholar" and require to jump additional authorization hurdles. Such hurdles would have a detrimental effect on various University units and research centers that host a large number of visitors per year (e.g. the Kavli Institute for Theoretical Physics, KITP at UCSB)." The Engineering

FEC felt that the one-year time frame for appointments is restrictive, since many research projects that involve visiting scholars continue for longer than 12 months. In addition, the FEC recommends that a defined process for approving extensions to these appointments will need to be clarified.

CIE also states that “The definition of visiting scholar is overly broad, but the text also implies elsewhere that the designation of a “visiting scholar” is a title conferred on an individual by a university official. It should be clear that **not** everyone who is visiting a UC campus as a researcher/ scholar needs such a title classification and official authorization, unless they need to gain some privilege of such a title. CIE suggests that the APM 430 text should reflect that intention, and not lead to a blanket bureaucracy that interferes with the regular operations of departments and units across the UC campuses. CIE also points out that there are often well established procedures to reimburse visitors for travel expenses to give a talk, or to collaborate on a scholarly research activity.” Finally, CIE states that the proposed APM language regarding the University reserving “the right to withdraw the privileges” of such an appointment is not helpful, as there is no language that specifies what those privileges might be. They recommend that there needs to be more specificity about what the privileges might be, and these should be included in the proposed language.

Both CIE and CFIA recommend that the language regarding appointment authority should be made more explicit. CIE states that “such authority should rest with the appropriate department / program chair, institute director, program head, or dean. A visiting scholar appointment should not be at the discretion of an individual faculty member who is inviting a visitor to campus, without the approval of their department.” CFIA suggests that an academic unit be the sponsoring group on a campus.

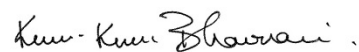
CFIA notes that there is a “discrepancy between this description and the actual policy, which in CFIA’s estimate is overly broad and non-specific. First, there should be a distinction between visiting students and visiting scholars. Council suggests the removal of the following sentence: “Undergraduate students may be sponsored as well at the discretion of the host campus.”” In addition, CFIA is concerned about the vagueness of the criteria for defining a visiting scholar as listed in the policy. For example, CFIA suggests that the policy should also include “professionals (non-academics) who have a specific expertise in their field who may also be considered “visiting scholars.”

Finally, the Engineering FEC suggests that it would be helpful if clarification were provided to distinguish this new title in relation to the existing Specialist Series, beyond the salary implications.

As you may see, there is a wide range of views on APM 430 from the UCSB Division.

Thank you for the opportunity to comment.

Sincerely,



Kum-Kum Bhavnani, Chair
Santa Barbara Division



UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)
Harry Green, Chair
harry.green@ucr.edu

Assembly of the Academic Senate
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
Phone: (510) 987-9466
Fax: (510) 763-0309

November 13, 2012

BOB POWELL, CHAIR
ACADEMIC COUNCIL

RE: PROPOSED REVISIONS TO APM 430

Dear Bob,

UCAP discussed the proposed APM 430 during its October 23rd meeting. Although members agree that the new title will save time, there is concern that section 430 8.b may create a burden with the requirement that these domestic and international visitors provide evidence that they are self-supporting or have other adequate funding. UCAP supports this new policy as long as it is not a means to eliminating other titles.

Sincerely,

A handwritten signature in blue ink, appearing to read "Harry Green".

Harry Green, Chair
UCAP



UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)
J. Daniel Hare, Chair
daniel.hare@ucr.edu

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1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
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Fax: (510) 763-0309

December 4, 2012

**ROBERT POWELL, CHAIR
ACADEMIC COUNCIL**

RE: Proposed New APM 430 (Visiting Scholars)

Dear Bob,

The University Committee on Faculty Welfare (UCFW) has discussed the proposed new APM 430 (Visiting Scholars), but we cannot endorse it. As the previous UCFW noted, the problem being solved by the proposal is unclear especially as other means of redress currently exist. For example, Berkeley offers the title of “student researcher” already. The committee also finds that the proposed language is too vague: an “outside institution or agency” reflects no scholarly requirements, while a clearer description of foreign scholars and visa circumstances that require extension of a title would be well received; members noted that overseas entities often use “academic” in different contexts to convey different meanings. Furthermore, the proposal omits broad faculty oversight, empowering a single PI to convey the title; the committee finds this omission unacceptable.

For your reference, we include the committee’s previous response, submitted during management review last year.

Please let us know if you have any questions or concerns.

Sincerely,

J. Daniel Hare, UCFW Chair

Copy: UCFW
Robert Powell, Chair, Academic Council
William Jacob, Vice Chair, Academic Council
Martha Winnacker, Executive Director, Academic Senate



UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)
William Parker, Chair
william.parker@uci.edu

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March 23, 2012

**SUSAN CARLSON, VICE PROVOST
ACADEMIC PERSONNEL**

RE: Proposed APM 430 (Visiting Scholars)

Dear Susan,

Thank you for providing the University Committee on Faculty Welfare (UCFW) the opportunity to participate in the management review of proposed APM 430 (Visiting Scholars). The committee has two observations at this time: 1) some campuses already have mechanisms in place to accommodate visiting students or scholars, and it is unclear what problem the new APM would solve; and 2) the committee is concerned about combining students from other universities with individuals from basically anywhere, and the possibility the policy could be used in inappropriate ways—for example, rewarding campus donors with an honorary title.

Please contact us if you have any question or concerns.

Sincerely,

A handwritten signature in blue ink that reads "William Parker".

William Parker, UCFW Chair

Copy: UCFW
Robert Anderson, Chair, Academic Council
Martha Winnacker, Executive Director, Academic Senate

From: Jean-Bernard Minster [jbminster@ucsd.edu]
Sent: Friday, September 14, 2012 1:48 PM
To: AS-SenateReview-SA
Cc: Jean-Bernard Minster; Donald F. Senear
Subject: Re: Systemwide Review of Proposed New APM - 430, Visiting Scholars

Dear Martha:

Re: New APM-430

As Chair of UCPB, I have reviewed the new APM section 430.

Although this section is not directly related to UCPB's charge, it seems clear that it brings transparency and predictability to the issue of hosting students at a UC campus for limited periods of time, and for covering non-salary expenses associated with such visits.

Best regards,
Bernard Minster
Chair, UCPB.

On Sep 14, 2012, at 9:56 AM, Martha Winnacker wrote:

CHAIRS OF SENATE DIVISIONS AND COMMITTEES

Dear Committee and Division Chairs:

I am forwarding for your review a proposed new APM Section 430, which creates a new Visiting Scholar title in response to requests from campus administrators. All Senate committees and divisions are invited to comment, but none is required to do so. Vice Provost Carlson's transmittal letter is attached as a pdf file. The proposed new APM section is available online at <http://www.ucop.edu/acadpersonnel/apm/review.html>.

Please submit your comments, if any, to Senate.Review@ucop.edu no later than December 8, 2012 for possible discussion at the December 12 meeting of the Academic Council.

Sincerely,
Martha Winnacker

Martha Kendall Winnacker, J.D.
Executive Director, Academic Senate
(510) 987-9458