



OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

October 30, 2019

CHANCELLORS
ACADEMIC COUNCIL CHAIR KUM-KUM BHAVNANI
LABORATORY DIRECTOR MICHAEL WITHERELL
ANR VICE PRESIDENT GLENDA HUMISTON

**Re: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM),
Section 120, Emerita/Emeritus Titles (APM - 120)**

Dear Colleagues:

Enclosed for systemwide review are proposed revisions to Academic Personnel Manual Section 120 (APM - 120), Emerita/Emeritus Titles. The proposed changes are intended to address substantive matters discussed in more detail below.

Background

In May of 2018, the Board of Regents rescinded Standing Order 103.5 relating to the conferral of emeritus status and incorporated the provisions into [Regents Policy 1203: Policy on Emerita/Emeritus Title Suffix](#). The revised Regents Policy changed eligibility requirements regarding automatic emeritus status for non-tenured Senate faculty, such as Professors of Clinical (e.g., *Medicine*), Professors in Residence, and Lecturers with Security of Employment. Recommended changes to the Regents Policy were developed with the input of the Academic Senate and UCOP Academic Affairs.

Because APM policy cannot conflict with Regents Policy, technical revisions to APM - 120 were issued on July 1, 2019 to conform with revised Regents Policy 1203. As noted in the July 1, 2019 issuance letter, we anticipated that a systemwide review of APM - 120 would be forthcoming to consider whether systemwide criteria for the recommendation of non-tenured Senate faculty was necessary, among other things. Summarized below are the proposed key revisions that are now being distributed for systemwide review.

Key Policy Revisions

- **Gender inclusive title suffix.** For the purposes of APM - 120, the abbreviation of “Emer.” is proposed to be recognized as the gender inclusive form of the title suffix. Academic appointees may choose to use the title suffix Emerita, Emeritus, or the abbreviation of “Emer.”

- **Criteria for the recommendation of non-tenured Senate faculty.** Some campuses expressed a desire for systemwide criteria regarding the emeriti status of non-tenured Senate faculty, while other campuses expressed a desire to be permitted to develop local criteria through local campus policies and procedures. The revised policy proposes that these individuals be judged by “evidence of noteworthy and meritorious contributions to the educational mission and programs of the University, as determined by local procedures.”
- **Disqualification criteria.** Criteria for the disqualification of non-tenured Senate faculty or non-Senate appointees is proposed in APM - 120-10-c and -d. This language mirrors the language contained in Regents Policy 1203 concerning Senior Management Group appointees.
- **Deans and Faculty Administrators.** A new subsection, APM - 120-10-e, is proposed to address the conferral of the Emerita/Emeritus/Emer. title suffix for Dean or Faculty Administrator titles. In addition, new language has been added to APM - 120-10-a to clarify that individuals must hold a title at the time of retirement in order to be eligible to be conferred the title suffix with that particular title.
- **Definition of “retirement” for Savings Choice participants.** Under the Savings Choice program, there is no longer a formal “retirement” for participants due to the nature of the program. For the purposes of APM - 120, it is proposed that “retirement” for Savings Choice participants be defined as separation from the University after reaching normal retirement age (as defined in the UCRP) with five or more years of service.
- **Clarification of curtailment authority.** Language is proposed in APM - 120-24 to clarify authority for the curtailment of emeritus status.
- **Rescission and incorporation of Appendix A.** The previous Appendix A documents relating to space resource allocation are proposed for rescission, as the key principles of the documents have been incorporated into the policy text in APM - 120-80-d.

Systemwide Review

Systemwide review is a public review distributed to the Chancellors, the Director of the Lawrence Berkeley National Laboratory, the Chair of the Academic Council, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, especially affected employees, about policy proposals. Systemwide review also includes a mandatory, 90-day full Senate review.

Employees should be afforded the opportunity to review and comment on the draft policy, available online at <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees about these proposals. The Labor

Relations Office at the Office of the President is responsible for informing the bargaining units representing union membership about policy proposals.

We would appreciate receiving your comments no later than **February 28, 2020**. Please submit your comments to ADV-VPCARLSON-SA@ucop.edu. Please indicate "APM - 120" in the subject line. If you have any questions, please contact Kimberly Grant at Kimberly.Grant@ucop.edu or (510) 987-9499.

Sincerely,



Susan Carlson
Vice Provost
Academic Personnel and Programs

Enclosures:

- 1) Proposed Revised APM - 120, Emerita/Emeritus/Emer. Titles (redline copy)
- 2) Proposed Revised APM - 120, Emerita/Emeritus/Emer. Titles (clean copy)
- 3) Model Communication

cc: President Napolitano
Provost and Executive Vice President Brown
Executive Vice Chancellors/Provosts
Executive Vice President and Chief of Staff Nava
Senior Vice President Bustamante
Acting Vice President Lloyd
Vice Provosts/Vice Chancellors for Academic Affairs/Personnel
Academic Personnel Directors
CUCEA Chair Kane
Deputy General Counsel Woodall
Executive Director Baxter
Executive Director Chester
Executive Director and Chief of Staff Henderson
Executive Director Peterson
Chief of Staff Levintov
Chief of Staff Peterson
Director Grant
Director Lee
Manager Donnelly
Manager Smith
Manager Crosson
Analyst Wilson

120-0 Policy

The policy on conferring the title suffix Emerita/Emeritus/Emer.¹ on academic appointees is set forth in [Regents Policy 1203: Policy on Emerita/Emeritus Title Suffix, Section C. Conferral on Academic Appointees](#), as follows:

1. The title suffix Emerita/Emeritus shall be conferred, upon retirement, on every Professor and Associate Professor.
2. Upon recommendation of the Academic Senate to the President of the University or designee, the title suffix Emerita/Emeritus for positions held at the time of retirement may be conferred, upon retirement, on those members of the Academic Senate who are not included in section (C)(1).
3. Upon recommendation of the Academic Senate to the President of the University or designee, the title suffix Emerita/Emeritus may be conferred, upon retirement, on other academic appointees who are not members of the Academic Senate but who meet specific criteria established by the President.

120-10 Criteria

An academic appointee must hold a title at the time of retirement² in order to be eligible to be conferred the Emerita/Emeritus/Emer. title suffix with that title.

¹ Academic appointees who are conferred this title suffix upon retirement may choose to use the title suffix Emerita, Emeritus, or the abbreviation of Emer. For the purpose of this policy, the abbreviation of Emer. will be recognized as the gender inclusive form of the title suffix.

² For the purpose of this policy, “retirement” for members of the University of California Retirement Plan (UCRP) 1976 Tier, the UCRP 2013 Tier and modified 2013 Tier, and the UCRP 2016 Tier includes regular basic retirement under the ~~University of California Retirement Plan (UCRP)~~, Lump Sum Cashouts from UCRP, and separation from service while receiving disability income from UCRP. For the purpose of this policy, “retirement” for Savings Choice participants is defined as having separated from the University after reaching normal retirement age (as defined in the UCRP for 2016 Tier members) with five (5) or more years of University service. The title suffix Emerita/Emeritus/Emer. shall be granted automatically to Professors and Associate Professors when the effective date of any of these actions is within 120 days of separation from the University.

a. Professor or Associate Professor

There are no special criteria for conferral of the title suffix Emerita/Emeritus/Emer. upon every Professor and Associate Professor since the title suffix is conferred automatically upon retirement.⁴

b. Member of the Academic Senate with an academic title other than Professor or Associate Professor

Upon recommendation of the Academic Senate, the title suffix Emerita/Emeritus/Emer. for academic positions held at the time of retirement may be conferred, ~~upon retirement~~, on those members of the Academic Senate who do not hold the title of Professor or Associate Professor at the time of retirement. In these cases, the appointee shall be judged by the following criteria:

(1) evidence of noteworthy and meritorious contributions to the educational mission and programs of the University as determined by local procedures; and

(2) lack of serious breaches of policy or law, dismissal from the University, or serious discipline while holding the position for which the Emerita/Emeritus/Emer. title is requested. Such occurrences disqualify the appointee from conferral of the title.

c. Non-Senate academic appointee

An academic appointee who holds a non-Senate position at the time of retirement and who is not a member of the Academic Senate may be nominated for conferral of the Emerita/Emeritus/Emer. title suffix upon recommendation of the Academic Senate. In these cases, the nominee shall be judged by the following criteria:

~~a.~~ (1) at least ten (10) years of University service;

~~b.~~ (2) attainment of the highest rank, level, or title in the individual's title series; ~~and~~

~~e.~~ (3) evidence of noteworthy and meritorious contributions to the educational mission and programs of the University as determined by local procedures; and

(4) lack of serious breaches of policy or law, dismissal from the University, or serious discipline while holding the position for which the Emerita/Emeritus/Emer. title is requested. Such occurrences disqualify the appointee from conferral of the title.

d. Dean or Faculty Administrator

A Dean or Faculty Administrator who holds that title at the time of retirement may be conferred the Emerita/Emeritus/Emer. title suffix for that title under the criteria set forth in APM - 120-10-b or APM - 120-10-c, as appropriate.

120-24 Authority

a. Professor or Associate Professor

The title Professor Emerita/Emeritus/Emer. for a retired Associate Professor or Professor is conferred by authority of The Regents but no formal Regental action is required in such cases. (See APM - 120-80-a.)
Authority for the curtailment of Emerita/Emeritus/Emer. status for a Professor or Associate Professor rests with the President, on recommendation of the Chancellor. (See APM - 016).

b. Member of the Academic Senate with an academic title other than Professor or Associate Professor

The title suffix Emerita/Emeritus/Emer. for ~~other~~ retired members of the Academic Senate who hold an academic appointment with a title other than Associate Professor or Professor at the time of retirement may be conferred by the Chancellor at the ~~ir~~ respective location following recommendation by the Academic Senate. This authority may not be delegated further.
Authority for the curtailment of Emerita/Emeritus/Emer. status for a member of the Academic Senate with a title other than Professor or Associate Professor rests with the President, on recommendation of the Chancellor. (See APM - 016).

c. Non-Senate academic appointee

The title suffix Emerita/Emeritus/Emer. for other non-Senate academic appointees described in APM - 120-~~10~~-c may be conferred by the appropriate Chancellor or the Vice President – Agriculture and Natural Resources ~~or Chancellor~~ following recommendation by the Academic Senate. This authority may not be delegated further. Authority for the curtailment of Emerita/Emeritus/Emer. status for a non-Senate faculty member rests with the President, on recommendation of the Chancellor. (See APM - 016). Authority for the curtailment of Emerita/Emeritus/Emer. status for a non-faculty academic appointee rests with the appropriate Chancellor or Vice President – —Agriculture and Natural Resources.

d. Exceptions should be rare and must be approved by the President.

120-80 Procedures

a. ~~For a Professor or Associate Professor:~~

Conferral of the ~~title~~ Professor Emerita/Emeritus/Emer. title suffix shall be effected by ~~issuance~~ the processing of the appropriate payroll ~~form~~ action which effects a change in employment status defined as “retirement” for the purposes of this policy.³

b. ~~For an academic appointee, other than a Member of the Academic Senate with an academic title other than Professor or Associate Professor, who is a member of the Academic Senate:~~

(1) The nomination process for conferral of the Emerita/Emeritus/Emer. title suffix shall be subject to local procedures.

~~(1)~~(2) Upon evaluation based on the criteria set forth in APM - 120-10-b and the recommendation of the Academic Senate to the Chancellor, the title suffix Emerita/Emeritus/Emer. may be conferred.

~~(2)~~(3) The Chancellor will notify the ~~nominee~~ appointee in writing of the conferral of the title suffix Emerita/~~or~~ Emeritus/Emer.

c. ~~For an Non-Senate academic appointee who is not a member of the Academic Senate:~~

(1) The nomination process for conferral of the Emerita/Emeritus/Emer. title suffix shall be subject to local procedures.

~~(1)~~(2) For an nominee appointee in an appointment academic title category that does not carry membership in the Academic Senate, there shall be consultation with the appropriate committee of the Academic Senate. Upon evaluation based on the criteria set forth in APM - 120-10-~~c~~, the Academic Senate may make a recommendation to the Chancellor or Vice President – Agriculture and Natural Resources ~~or Chancellor~~ for conferral of the title suffix Emerita/Emeritus/Emer.

~~(2)~~(3) The Chancellor or Vice President – Agriculture and Natural Resources ~~or Chancellor~~ will notify the nominee in writing of the conferral of the title suffix Emerita/~~or~~ Emeritus/Emer.

³ See footnote 2.

d. Allocation of space resources

The University is eager to support the activities of Emerita/Emeritus/Emer. faculty and to help assure that they continue to contribute actively to the intellectual enrichment of the campuses. To this end, yet recognizing office and laboratory space shortages and campus resource limitations, the needs of productive Emerita/Emeritus/Emer. faculty should be carefully considered in the allocation of available space resources on each campus, per local campus procedures.

Revision History

XXXX XX, 2020:

- Substantive revisions to: (1) add gender inclusive language; (2) define “retirement” for Savings Choice Participants for the purposes of this policy; (3) add criteria for the recommendation of members of the Academic Senate, other than a Professor or Associate Professor, non-Senate academic appointees, Deans, and Faculty Administrators; (4) add criteria for the disqualification of members of the Academic Senate, other than a Professor or Associate Professor, or non-Senate academic appointees; (5) add language clarifying that an individual must be holding a title at the time of retirement to be eligible for the use of the Emerita/Emeritus/Emer. title suffix for that title; (6) add language on the authority to curtail Emerita/Emeritus/Emer. status; and (7) incorporate the previous Appendix A relating to space and resource allocation into the policy text.

July 1, 2019:

- Technical revisions to comply with [Regents Policy 1203: Policy on Emerita/Emeritus Title Suffix](#).

For details on prior revisions, please visit the Academic Personnel and Programs website: <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>.

~~GENERAL UNIVERSITY POLICY
REGARDING ACADEMIC APPOINTEES
Emerita/Emeritus Titles~~

~~APM—120
APPENDIX A~~

~~January 29, 1991~~

~~Chancellors-~~

~~Dear Colleagues:~~

~~On October 12, 1954, then President Sproul issued a policy statement on the allocation of space to emeritus professors (copy attached). Consultation with the Academic Senate and the Council of Chancellors has led to a decision to replace that statement with the following principles:~~

~~Some of the University's most eminent scholars have retired recently, and many more will in the near future. Despite formal retirement, many are still among our most creative colleagues and continue to make major contributions in their fields. They, of course, continue to be members of the Academic Senate, their departments, and their disciplinary communities. Some are recalled to the University to teach, while many continue their scholarly or creative activities and their active service to the University. The University is eager to support their activities and to help assure that they continue to contribute actively to the intellectual enrichment of their campuses.~~

~~Unfortunately, the University has been unable to respond adequately to the increasing requirements for office and laboratory space generated by the growth of the University and the current wave of retirements. The recently approved Voluntary Early Retirement Incentive Program will place even further demands on limited space. While we are striving to alleviate these space shortages, current budgetary constraints and the lead time required to construct new buildings severely limit our ability to resolve this pressing problem in the immediate future.~~

~~Accordingly, I request that you consider carefully the needs of productive emeritus professors in the allocation of available resources on your campus, and I urge you to encourage their continued participation in the affairs of their departments. We collectively must resolve to search for ways to assure that the University continues to benefit from the intellectual contributions of these valued colleagues.~~

~~Sincerely,~~

~~David Pierpont Gardner~~

~~Attachment~~

~~Office of the President
October 12, 1954~~

~~CHIEF LOCAL ADMINISTRATIVE OFFICERS:~~

~~A state-wide policy for the allocation of space to emeritus professors having been requested, the following are established as the considerations which shall govern in the allocation of such space:~~

- ~~1.—The University will provide space, when available, to emeritus professors who desire and need space to continue their scholarly or creative work, but not for any other purpose. The provision of such space shall not imply any claim upon a departmental budget.~~
- ~~2.—Professors who wish space assigned to them as emeritus professors should formally request it prior to their retirement, stating the purpose for which it is to be used.~~
- ~~3.—Requests for space for emeritus professors shall be evaluated by the campus Committee on Buildings and Campus Development, and approved by the Chief Local Administrative Officer.~~
- ~~4.—The effectiveness of use of space assigned to emeritus professors shall be reviewed every two years by the campus Committee on Buildings and Campus Development. Space which is not effectively used shall be reassigned by the Chief Local Administrative Officer to another member of the University staff.~~

~~Robert G. Sproul~~

120-0 Policy

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1. The title suffix Emerita/Emeritus shall be conferred, upon retirement, on every Professor and Associate Professor.
2. Upon recommendation of the Academic Senate to the President of the University or designee, the title suffix Emerita/Emeritus for positions held at the time of retirement may be conferred, upon retirement, on those members of the Academic Senate who are not included in section (C)(1).
3. Upon recommendation of the Academic Senate to the President of the University or designee, the title suffix Emerita/Emeritus may be conferred, upon retirement, on other academic appointees who are not members of the Academic Senate but who meet specific criteria established by the President.

120-10 Criteria

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¹ Academic appointees who are conferred this title suffix upon retirement may choose to use the title suffix Emerita, Emeritus, or the abbreviation of Emer. For the purpose of this policy, the abbreviation of Emer. will be recognized as the gender inclusive form of the title suffix.

² For the purpose of this policy, “retirement” for members of the University of California Retirement Plan (UCRP) 1976 Tier, the UCRP 2013 Tier and modified 2013 Tier, and the UCRP 2016 Tier includes regular basic retirement under the UCRP, Lump Sum Cashouts from UCRP, and separation from service while receiving disability income from UCRP. For the purpose of this policy, “retirement” for Savings Choice participants is defined as having separated from the University after reaching normal retirement age (as defined in the UCRP for 2016 Tier members) with five (5) or more years of University service. The title suffix Emerita/Emeritus/Emer. shall be granted automatically to Professors and Associate Professors when the effective date of any of these actions is within 120 days of separation from the University.

a. **Professor or Associate Professor**

There are no special criteria for conferral of the title suffix Emerita/Emeritus/Emer. upon every Professor and Associate Professor since the title suffix is conferred automatically upon retirement.

b. **Member of the Academic Senate with an academic title other than Professor or Associate Professor**

Upon recommendation of the Academic Senate, the title suffix Emerita/Emeritus/Emer. for academic positions held at the time of retirement may be conferred on those members of the Academic Senate who do not hold the title of Professor or Associate Professor at the time of retirement. In these cases, the appointee shall be judged by the following criteria:

- (1) evidence of noteworthy and meritorious contributions to the educational mission and programs of the University as determined by local procedures; and
- (2) lack of serious breaches of policy or law, dismissal from the University, or serious discipline while holding the position for which the Emerita/Emeritus/Emer. title is requested. Such occurrences disqualify the appointee from conferral of the title.

c. **Non-Senate academic appointee**

An academic appointee who holds a non-Senate position at the time of retirement and who is not a member of the Academic Senate may be nominated for conferral of the Emerita/Emeritus/Emer. title suffix upon recommendation of the Academic Senate. In these cases, the nominee shall be judged by the following criteria:

- (1) at least ten (10) years of University service;
- (2) attainment of the highest rank, level, or title in the individual's title series;
- (3) evidence of noteworthy and meritorious contributions to the educational mission and programs of the University as determined by local procedures; and
- (4) lack of serious breaches of policy or law, dismissal from the University, or serious discipline while holding the position for which the Emerita/Emeritus/Emer. title is requested. Such occurrences disqualify the appointee from conferral of the title.

d. Dean or Faculty Administrator

A Dean or Faculty Administrator who holds that title at the time of retirement may be conferred the Emerita/Emeritus/Emer. title suffix for that title under the criteria set forth in APM - 120-10-b or APM - 120-10-c, as appropriate.

120-24 Authority

a. Professor or Associate Professor

The title Professor Emerita/Emeritus/Emer. for a retired Associate Professor or Professor is conferred by authority of The Regents but no formal Regental action is required in such cases. (See APM - 120-80-a.). Authority for the curtailment of Emerita/Emeritus/Emer. status for a Professor or Associate Professor rests with the President, on recommendation of the Chancellor. (See [APM - 016](#)).

b. Member of the Academic Senate with an academic title other than Professor or Associate Professor

The title suffix Emerita/Emeritus/Emer. for retired members of the Academic Senate who hold an academic appointment with a title other than Associate Professor or Professor at the time of retirement may be conferred by the Chancellor at the respective location following recommendation by the Academic Senate. This authority may not be delegated further. Authority for the curtailment of Emerita/Emeritus/Emer. status for a member of the Academic Senate with a title other than Professor or Associate Professor rests with the President, on recommendation of the Chancellor. (See [APM - 016](#)).

c. Non-Senate academic appointee

The title suffix Emerita/Emeritus/Emer. for other non-Senate academic appointees described in APM - 120-10-c may be conferred by the appropriate Chancellor or the Vice President – Agriculture and Natural Resources following recommendation by the Academic Senate. This authority may not be delegated further. Authority for the curtailment of Emerita/Emeritus/Emer. status for a non-Senate faculty member rests with the President, on recommendation of the Chancellor. (See [APM - 016](#)). Authority for the curtailment of Emerita/Emeritus/Emer. status for a non-faculty academic appointee rests with the appropriate Chancellor or Vice President – Agriculture and Natural Resources.

d. Exceptions should be rare and must be approved by the President.

120-80 Procedures

a. Professor or Associate Professor

Conferral of the Professor Emerita/Emeritus/Emer. title suffix shall be effected by the processing of the appropriate payroll action which effects a change in employment status defined as “retirement” for the purposes of this policy.³

b. Member of the Academic Senate with an academic title other than Professor or Associate Professor

- (1) The nomination process for conferral of the Emerita/Emeritus/Emer. title suffix shall be subject to local procedures.
- (2) Upon evaluation based on the criteria set forth in APM - 120-10-b and the recommendation of the Academic Senate to the Chancellor, the title suffix Emerita/Emeritus/Emer. may be conferred.
- (3) The Chancellor will notify the appointee in writing of the conferral of the title suffix Emerita/Emeritus/Emer.

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- (3) The Chancellor or Vice President – Agriculture and Natural Resources will notify the nominee in writing of the conferral of the title suffix Emerita/Emeritus/Emer.

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MODEL COMMUNICATION

The University invites comments on proposed revisions to Academic Personnel Manual Section 120 (APM - 120), Emerita/Emeritus Titles.

In May of 2018, the Board of Regents rescinded Standing Order 103.5 relating to the conferral of emeritus status and incorporated the provisions into Regents Policy 1203: Policy on Emerita/Emeritus Title Suffix. The revised Regents Policy changed eligibility requirements regarding automatic emeritus status for non-tenured Senate faculty, such as Professors of Clinical (e.g., *Medicine*), Professors in Residence, and Lecturers with Security of Employment. Recommended changes to the Regents Policy were developed with the input of the Academic Senate and UCOP Academic Affairs.

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- **Clarification of curtailment authority.** Language is proposed in APM - 120-24 to clarify authority for the curtailment of emeritus status.
- **Rescission and incorporation of Appendix A.** The previous Appendix A documents relating to space resource allocation are proposed for rescission, as the key principles of the documents have been incorporated into the policy text in APM - 120-80-d.

The proposed revisions to APM - 120, Emerita/Emeritus Title Suffix, are posted under the “Systemwide Review” tab at: <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. It may also be viewed at _____ [e.g., the campus Academic Personnel Office or Human Resources Office].

If you have any questions or if you wish to comment, please contact _____ at _____, no later than _____, 2020.