

I. Overview

In accordance with APM 191, this policy guides the establishment, appointment, and review of Endowed Chairs and Endowed Professorships. These endowed positions are awarded to honor extraordinary academic achievement and to recruit and retain the most distinguished scholars.

Endowed Chairs and Professorships are perquisites supported by income from endowment funds, funds functioning as an endowment, or annual allocations¹ typically established by gifts from private sources, made available to distinguished faculty members in support of their teaching, research, and service activities. While an Endowed Chair or Professorship may be assigned to a School, Department, or Organized Research Unit (ORU), the Office of the Provost provides oversight and coordination for all endowed positions referenced in this policy.

Details on both Chairs and Professorships are provided in the sections that follow, but the central differences between these two types of endowed position are summarized in the table below.

	Endowed Chair	Endowed Professorship
Minimum endowment to establish	\$1,000,000	\$500,000
Rank eligibility	Associate and Full	Assistant and Associate
Appointment term	Five years	Three years
Reappointment	Possible, after review	No reappointment*

* But see footnote 4.

II. Establishment of Endowed Positions

Per Presidential Delegation of Authority 2631, Chancellors have been granted the authority to establish, name, and disestablish Endowed Chairs and Professorships. No establishment or naming commitment shall be made to a prospective donor prior to approval by the Chancellor, and upon appropriate consultation with the Academic Senate.

An Endowed Chair or Professorship will be established only upon acceptance by the Chancellor of either:

- An outright gift that meets or exceeds the minimum threshold required to establish an Endowed Chair or Professorship.
- A binding pledge to be paid in full within a period agreed upon by the donor and the University. The Chair or Professorship will remain conditionally established until the pledge is fully paid and the endowment corpus meets the required minimum.
- A legally binding commitment to provide appropriate income at the end of each fiscal year from an equivalent corpus held inviolate by a trustee.

¹ An annual allocation may be on a term or permanent basis and must provide annual funding equivalent to, or greater than, the amount provided from the annual payout of an endowment established at the endowment minima. If funding is by annual allocation, the allocation must be guaranteed for the full term of the Chair or Professorship.

In the case of a legally binding pledge or commitment, see UC policy, APM 191, B.7. Following approval by the Chancellor, the Chair or Professorship will be deemed “conditionally established” until full funding is achieved. [Note: UC policy provides for contingent approval of Chairs to be funded through a bequest or deferred gift. See APM 191.B.6,7]

A Chair or Professorship may be named in honor of the donor or an honoree proposed by the donor, subject to approval by the Chancellor.

Vice Chancellor of External Relations Officer, or designee shall coordinate all contacts and discussions with prospective donors.

A. Minimum Endowment Principal

The minimum standards for establishing endowed positions at UC Merced are set to:

- \$1,000,000 for Endowed Chairs²
- \$500,000 for Endowed Professorships

Prior to any commitment on the part of the University, the campus must have available and must commit, if necessary, the general fund faculty provision and salary for the holder of the Chair or Professorship.

B. Subject Area

The subject area of the Endowed Chair or Professorship must be consistent with the mission of the University of California and the academic plan of the campus. The gift instrument shall permit appropriate alternative distribution of the income by the campus if the subject area of the Endowed Chair or Professorship ceases to be consistent with the University's mission or the academic plan of the campus. Such alternative distribution shall be as closely related to the donor's original intent as is feasible.

III. Administration of Endowed Positions

Income from an Endowed Chair or Professorship is to be made available to the appointed faculty member in support of teaching, research, and service. Endowed Chairs and Endowed Professors are encouraged to consider ways in which their expenditures demonstrate institutional benefits that align with the subject area of the Chair/Professorship.

Unless expressly prohibited by the gift instrument, allowable uses of payout include but are not limited to the following:

- Graduate Student Researchers
- Administrative salaries and/or expenses
- Travel expenses

² Note that these revised minimums apply to the establishment of new endowed positions and do not affect existing Endowed Chairs previously established before the effective date of these revisions. Thus, there will no changes to the term length or other conditions for those holding an Endowed Chair at the time these revisions take effect.

- Research equipment and professional materials (items purchased with endowment funds are property of the University)
- Expenses of special seminars and conferences
- Additional summer compensation
- Salary support while on approved leave

All University regulations and procedures governing personnel, purchasing, and accounting shall be observed.

Use of funds will be reviewed annually by the EVC/Provost and Vice Chancellor of External Relations or designee.

The budget in any given year will not exceed the income available from the existing endowment except in cases where the budget is supplemented with unexpended distributions from prior years, subject to the associated gift terms and approval from the endowment.

The terms of the endowment shall be reviewed at least once every five years to ensure that the campus is continuing to fulfill its legal obligations to use the endowment income in a manner consistent with the donor's expressed intent. (APM 191.D.4)

During any period in which the Chair/Professorship is not occupied while the search proceeds for a suitable candidate, the Chancellor or the EVC/Provost may authorize use of the funds, after consultation with the relevant department(s) and if allowable per the terms of the gift or allocation, to use the endowment's income for other purposes in support of research, teaching, and public service in the designated area of study.

If an established, fully-funded Chair or Professorship has remained vacant for a period of three consecutive years or more, or if the endowed position's accumulated income exceeds five years of payout, the office of the EVC/Provost, in consultation with Philanthropy and Strategic Partnerships, shall review the fund's terms and administrative history to ascertain the reason for the accumulation and take appropriate corrective action consistent with the terms of the gift agreement or consistent with the terms of the administrative allocation.

Provision shall be made in the gift document for the addition of unexpended endowment income to principal when circumstances warrant such action.

IV. Appointment to Endowed Positions

Appointments to endowed positions shall be made in accordance with regularly established procedures for faculty appointments (MAPP 2013 and MAPP 2053).

While the initial decision to put forward a candidate for an endowed position can be constrained by the terms of the gift and/or influenced by time-sensitive recruitment and retention considerations, when possible this initial selection decision should be as inclusive and open as possible.

Before an appointment case is initiated, the School Dean must first consult with the Provost.

A. Endowed Chairs

Endowed Chair appointments are intended to recruit, retain, and/or support outstanding senior faculty (i.e., Senate faculty at the Associate or Full rank). An Endowed Chair may be filled

successively by a series of individuals appointed for prescribed periods, unless otherwise provided in the terms of the gift.

The EVC/Provost has final approval authority for appointment to an Endowed Chair.

1. Appointment Term

Unless otherwise provided in the terms of the gift, Endowed Chair appointments are for a period of five years, with the option of reappointment. All Endowed Chair appointments must be reviewed at least once every five years. The Chair appointee should be informed of this policy during recruitment.

2. Appointment Process

If an Endowed Chair is used as a recruitment tool during the faculty appointment negotiation process, the case materials for the Endowed Chair appointment recommendation may come to the Academic Personnel Office (APO) in tandem with the faculty appointment case file. Appointment to an Endowed Chair should be considered a separate action from a faculty appointment, and requires a separate faculty vote. The Case Analysis and Dean's Recommendation memo, however, may be identical documents for both actions. The Endowed Chair recommendation will be supported by the faculty appointment documents (CV, Statement of Research, letters of reference, etc.). The unique materials required for the Endowed Chair recommendation will include:

- Transmittal Memo with Faculty vote
- Documentation from Philanthropy & Strategic Partnerships containing description and stipulations of the endowment

If an Endowed Chair appointment recommendation is made for an existing UC Merced faculty member, then the case file for such a recommendation would include:

- Current Curriculum Vitae
- Self-Statement describing the alignment of candidate's accomplishments and interests with the Endowed Chair
- Case Analysis
- Documentation from Philanthropy & Strategic Partnerships containing description and stipulations of the endowment
- Transmittal Memo with Faculty vote
- Dean's Recommendation Memo

Unlike senate faculty reviews, there is no Procedural Safeguard or review of file materials by the candidate for Endowed Chairs and Professorships.

The file will be submitted by APO to the Committee on Academic Personnel (CAP) for recommendation, and then to the EVC/Provost for consideration and final decision. If the decision is a positive one, the appointment letter for the Chair will be issued separately from any faculty appointment letter.

3. Reappointment

The Dean of the relevant School, following consultation with the Department Chair (and Philanthropy & Strategic Partnerships to verify continued funding), will make a decision

whether to recommend reappointment of the incumbent to the Endowed Chair or to seek a new Chairholder. If the recommendation is for reappointment, a case file with the following documents will be prepared and submitted, no later than April 1, to APO which will forward it to CAP for recommendation and then to the EVC/Provost for consideration and final decision:

- Self-Statement, including description of accomplishments during the previous period
- Current Curriculum Vitae
- Bibliography for the previous four-year period
- Materials such as publications and creative works may be submitted. These should be dated from the four-year period in which the Chair has been held, and may include “new” materials (i.e., those not yet administratively reviewed as part of a regular faculty review). Such “new” materials will be allowed to “count” in any upcoming faculty reviews as appropriate to the academic review process.
- Documentation from Philanthropy & Strategic Partnerships containing description and stipulations of the endowment
- Case Analysis
- Transmittal Memo with Faculty Vote
- Dean’s Recommendation

Unlike senate faculty reviews, there is no Procedural Safeguard or review of file materials by the candidate for endowed chairs and professorships.

Should the need to renew an Endowed Chair appointment happen to coincide with the Chairholder’s faculty advancement review, these shall be treated as entirely separate actions with two separate faculty votes, and therefore two Transmittal Memos. Other documents from the list above may be identical for both actions, and need only be submitted once.

If the recommendation is for non-reappointment of the incumbent, the Dean will provide written notice, with copies to the EVC/Provost and APO, to the faculty member notifying him or her of the reasons for not seeking reappointment (limitations of funding, service limits imposed by the endowment agreement, performance or alignment issues, etc.).

If a new Chairholder is to be sought, the processes under “Appointment Process” above shall be followed.

When a Chairholder is not reappointed, whether due to not re-applying or the renewal not being approved, the former Chairholder may continue to access and use the remainder of funds that were allocated to them during their term as Chairholder for as long as they continue to have an active faculty appointment at the university (excepting for approved leaves and other special circumstances).

For retired faculty holding emeritus titles who also held a Chair, the Dean, in consultation with the Department Chair, can create a [Memorandum of Understanding \(MOU\)](#) for a period not to exceed 3 years to permit the retiree to use any amount up to the remaining balance of their Chair funds. The MOU would be appropriate if the emeritus faculty member is demonstrably active at UC Merced as evidenced by active grants, active research projects, active student supervision, active participation in departmental service activities, or a recall appointment.

B. Endowed Professorships

Endowed Professorship appointments are intended to recruit, retain, and/or support outstanding early to mid-career faculty (i.e., Senate faculty at the Assistant and Associate ranks).³ These appointments are for a single three-year term and are not intended to be renewed.

Final approval authority for appointments to Endowed Professorships parallel those for faculty appointments and thus depends upon the rank of the faculty member proposed for the Professorship. If the candidate for a Professorship is an Assistant (Teaching) Professor I-III, the School Dean has the final approval authority. For Assistant Professors IV+ the Vice Provost for Academic Personnel has final approval authority. For Associate Professors, the Provost has final approval authority.

Regardless of approval authority, the Provost must first be consulted by the School Dean before an appointment case can be initiated.

1. Appointment Term

Unless otherwise provided in the terms of the gift, Endowed Professorship appointments are for a period of three years with no reappointment.⁴ The Professorship appointee should be informed of this policy during recruitment.

2. Appointment Process

If an Endowed Professorship is used as a recruitment tool during the faculty appointment negotiation process, the case materials for the Endowed Professorship appointment recommendation may proceed in tandem with the faculty appointment case file. Appointment to an Endowed Professorship should be considered a separate action from a faculty appointment, and requires a separate faculty vote. The Case Analysis and Dean's Recommendation memo (if applicable), however, may be identical documents for both actions. The Endowed Professorship recommendation will be supported by the faculty appointment documents (CV, Statement of Research, letters of reference, etc.). The unique materials required for the Endowed Professorship recommendation will include:

- Transmittal Memo with Faculty vote
- Documentation from Philanthropy & Strategic Partnerships containing description and stipulations of the endowment

If an Endowed Professorship appointment recommendation is made for an existing UC Merced faculty member, then the case file for such a recommendation would include:

- Current Curriculum Vitae
- Self-Statement describing the alignment of candidate's accomplishments and interests with the Endowed Professorship
- Case Analysis

³ A Professorship may continue to be held for the remainder of the three-year term if an Associate-rank faculty member is promoted to the Full (Teaching) Professor rank during that term.

⁴ In exceptional and well-justified circumstances, the Vice Provost for Academic Personnel may allow a faculty member to be considered for a reappointment to a Professorship for one additional three-year term. The reappointment process would follow that for an Endowed Chair, with the final approval authority determined by the rank of the holder of the Professorship. A third term will not be considered.

- Documentation from Philanthropy & Strategic Partnerships containing description and stipulations of the endowment
- Transmittal Memo with Faculty vote
- Dean's Recommendation Memo (if applicable)

The School Dean has the final approval authority for appointments to Endowed Professorships for Assistant (Teaching) Professors I-III. For Assistant (Teaching) Professors IV+ and Associate (Teaching) Professors, the file will be submitted by APO to CAP for recommendation and then to the Vice Provost for Academic Personnel (for candidates at the Assistant rank, steps IV-VI) or Provost (for candidates at the Associate rank) for final decision.