

**ATTACHMENT 4. GUIDELINES  
FOR PREPARING FACULTY RECRUITMENT PROPOSALS  
FOR TARGET YEAR 2010-11**

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Faculty recruitment plans should be a concise statement of the academic directions and projected needs of the department's programs. All positions should be justified with reference to programmatic strengths and weaknesses, special teaching and curricular concerns, particular replacement needs, and overall faculty workload considerations. For the target year 2010-11 review, you are asked to modify last year's submission, indicating how and why there is a change. If nothing has changed, please so note and resubmit last year's request.

As you develop your proposal, please note the following.

1. **FTE Management.** Authorized searches are approved following campus review of positions proposed by the units. FTE are reserved for these positions on the assumption that the positions eventually will be filled. When filled, the appropriate FTE and associated resources will be allocated based on the effective date of appointment. If an authorization is not extended to the following year, the reserved FTE is no longer committed to the unit.

Positions resulting from nontenure separations are retained by the unit, but recruitment authorizations to fill them must be requested and approved in the regular recruitment planning process. Departments are expected to submit a plan for using the nontenure FTE no later than in the review cycle of the year the appointment is expected to expire. For example, if a nontenure appointment is expected to expire on June 30, 2009 a proposal to fill the position should be included in the recruitment plan due January 7, 2009. If a proposal is not included and a new position is approved, whether at the nontenure or tenured level, it will be assumed that filling the position is the department's highest priority, and the nontenure FTE may be used for the new authorization.

An FTE that is reserved for a dean search will be allocated for the permanently budgeted professorial appointment only if the new dean comes from outside the UC Berkeley Campus. This FTE is not intended for any other purpose since it is committed without programmatic review. The position will float above the unit's target size while the incumbent holds the position as dean and will count against the unit's target when the incumbent steps down.

When an FTE is committed to a specific person, whether it is due to a search waiver or to a second position/candidate from an authorized search, the FTE is allocated only if the appointment is successful. If it is not successful, the FTE remains in the campus pool, which is the source for future allocations.

If a portion of a whole FTE is used for a joint appointment with another unit, the remaining partial FTE stays in the campus pool. It is not available to the unit for a second search. Rather, the unit may submit a new request for another position.

2. **Please submit the Forms and Start-up workbooks to [budget@berkeley.edu](mailto:budget@berkeley.edu).** You may download the forms from <http://budget.berkeley.edu/budgetprocess/index.html> .

**The Forms Excel workbook includes:**

**(Form I)--Projected Faculty Separations, 2008-09 and 2009-10.** Identify actual and projected separations through 2008-09 and 2009-10 and their areas of specialization. The department is guaranteed the opportunity to recruit for any position that has been or will be vacated due to an assistant professor separation. The specific discipline and timing of the replacement will be determined in the regular review process. If no separations in either year are anticipated, submit the form with “None” indicated so that faculty reviewers have this information.

**Form II--Status of Current Recruitments, Target Year 2009-10.** Provide a brief status report on all and only current year recruitments, i.e., recruitments targeted for appointment in 2008-09 and 2009-10. Authorizations that remain unfilled and are proposed for extension into the new cycle should be clearly identified using the new Form III, with their recruitment authorization ID numbers. Units are encouraged to weigh the relative priorities of extending failed searches with current programmatic needs and may propose redirecting the FTE from a failed search into an area now considered more critical.

**New Form III--Proposed New Faculty Searches, Target Year 2010-2011.** Identify new positions and describe the programmatic areas they are intended to serve. Positions that have been or will be vacated by assistant professors should be identified by name and FTE and specifically tied to new positions being requested. In the absence of this identification, the vacated assistant professor FTE may be used for the next new recruitment authorized and/or filled in the unit on the assumption that this newly requested position is the unit’s top priority. Please submit a form with “None” indicated if no requests are made so that faculty reviewers will know the unit’s intention.

Last year you were asked to provide a prioritized list that included both requested new and currently authorized positions. Because of the limited number of searches under consideration for 2009-10 (and appointment July 1, 2010), we ask that you once again rank order this year’s combined requested new and currently authorized positions. Currently authorized positions include the deferred searches. To assist you in completing this form, a list of the deferred searches is provided if you have any (Attachment 3). You are asked to submit the FTE forms workbook to [budget@berkeley.edu](mailto:budget@berkeley.edu) and in hard copy, as well.

3. **Space and Support Needs.** For all new positions (especially the NIC and BDRI requests), discuss specific plans to accommodate any extraordinary start-up costs, laboratory and equipment needs, space requirements, and ongoing support requirements.

If your unit receives campus support for new faculty start-up, please include projected start-up costs in the new Start-up workbook, which is available from the Campus Budget Office website (<http://budget.berkeley.edu/budgetprocess/index.html>). Vice Provost Zedeck will use this information in his start-up negotiations next year. You are asked to submit start-up forms to [budget@berkeley.edu](mailto:budget@berkeley.edu) and in hard copy, as well.

4. **Current Incumbent Faculty Profile Report.** The report will be provided biennially. Please update and use last year’s report.

5. **Permanent Incumbent Faculty Final FTE Report for 2008-09.** This document provides the detail behind the September 2008 Academic Breakdown Report. It shows actual 2007-08 separations and July 1, 2008 appointments processed on the campus Position Resource Tracking (PRT) system by September 30, 2008. It includes current recruitment authorizations and 2004-07 target information. 2008-09 separations are included if any are known. To make the exhibit more useful, we have simplified the summary section and tied the detail more obviously to the summary data. We welcome all suggestions to make the document more readable. A copy of your unit's exhibit is available upon request. Contact Pamela Egashira.

6. **Enrollment and Workload.** In last year's review you were asked to discuss undergraduate and graduate enrollment trends, major and non-major workload considerations, opportunities for teaching outside the unit, and ladder-rank versus temporary faculty staffing requirements. For this year's review, note only significant changes from data in last year's submission.

Campus reviewers will use Cal Profiles data. You are asked to use this data source as well. The url is <http://calprofiles.berkeley.edu>. Look for the section, "Cal Profiles Extracts" and select the extract entitled, "Executive Vice Chancellor and Provost Workload Measures." The reports on "Workload" and "Performance Indicators" are particularly useful. Data cover the time period 1999-00 to 2008-09. Units with student majors who are matriculated in other units ("affiliated majors") can now see these workload measures included with assigned major data.

7. **Search Level.** In proposing new positions, please specify the level for each new recruitment that you propose. Because recruitment restricted to a particular level is believed to be most effective for enhancing faculty diversification, only in unusual instances will a recruitment covering all levels be authorized. The campus goal is a ratio of 80:20, nontenure to tenured appointments.

8. **Faculty Positions related to Impacted Enrollment (NTPC), the Strategic New Initiatives (NICs), the Berkeley Diversity Research Initiatives (BDRIs), and the Energy Biosciences Initiative (EBI).** The allocation of NTPC faculty positions is considered complete. If you are participating in the NIC and BDRI initiatives, clearly identify any new NIC and/or BDRI faculty recruitment requests on Form III. Chairs and deans should discuss enrollment trends, major and non-major workload considerations, opportunities for teaching outside the unit, and other resource implications (including space and start-up issues) within the context of the initiatives. Chairs and deans are asked to incorporate the requests in their overall rank ordering of requested positions on Form III. Units authorized faculty searches related to the EBI should include updates on the searches on Form II (current searches).

9. **Non-recurrent FTE.** Non-recurrent positions are unfilled academic positions. The associated funds are used for the purpose of hiring temporary faculty. Issues related to non-recurrent FTE should be raised in the EVCP operating budget process for 2008-09. If there is a need for additional temporary teaching resources, it should be addressed through the operating budget process.

10. **Animal Research.** Management of campus animal housing and procedural space is the responsibility of the Director of the Office of Laboratory Animal Care (OLAC). No

commitment of centralized animal housing or procedural space can be made without prior consultation with the OLAC director. Chairs of faculty searches that involve or may potentially attract faculty that will need space in centralized animal facilities should contact the director as soon as needs are anticipated and certainly before any offers that imply a commitment of animal space are made. Please refer to the Attachment on animal care.

11. **Advertisement.** Please do not submit advertisements with your proposals. They should be submitted for positions that are authorized for recruitment.

The Forms and Start-up workbooks are available at <http://budget.berkeley.edu/budgetprocess/index.html> . Alternatively, you may contact Pamela Egashira (642-8472, [pegas@berkeley.edu](mailto:pegas@berkeley.edu)) to receive an electronic file.

We ask that you submit electronically both the Forms workbook and the Start-up workbook to [budget@berkeley.edu](mailto:budget@berkeley.edu). *In addition, please include Forms I, II, and III and the start-up forms as part of your hard copy submission. Six (6) hard copies of your complete faculty recruitment submission are needed no later than Wednesday, January 7, 2009.*

Please contact Marcia Kai-Kee (642-1652, [marcia@berkeley.edu](mailto:marcia@berkeley.edu)) or Pamela Egashira (642-8472, [pegas@berkeley.edu](mailto:pegas@berkeley.edu)) if you have any questions about these guidelines or the preparation of your recruitment proposal.