

# **UC Riverside School of Medicine**

## **Faculty Handbook for Appointment, Advancement and Promotion**

October 5, 2016

This handbook provides essential information about faculty appointments, advancement and promotion. Whether you are considering joining the UCR School of Medicine (SOM) faculty or are already a member, we hope that you will find this information useful in all of your academic endeavors.

*This handbook is provided for the convenience of faculty. Among other things, it summarizes and attempts to clarify various University personnel and other related policies that may be of interest to faculty. This handbook is not meant to create new or to amend existing University policies, which should be consulted in their entirety for a fuller understanding of their provisions.*

***A note about World Wide Web links—***

As is often the case with online content, URLs may change from time to time. If you encounter an inactive link, please report it to [aa@medsch.ucr.edu](mailto:aa@medsch.ucr.edu)

## **FACULTY APPOINTMENTS AND PROMOTIONS**

Appointment to the faculty is the first step in an academic career at UCR. Initial faculty appointment should be into a series that is consistent with the candidate's academic background and career goals. Faculty should understand the complexity of the academic appointment system, the requirements for advancement and promotion, and the importance of negotiation. Please refer to the Checklist for New Faculty Appointments <http://medschool.ucr.edu/pdf/NewApptsChecklist.pdf> that has been created to help faculty to understand the important points for consideration at the time of appointment. Appointments are affirmed only after campus-wide peer and administrative review. If a faculty member has clinical responsibilities, they will need to obtain clinical privileges at medical centers where they may practice. Appointment to the University faculty is comprised of a title that includes a:

- Series: Professor (Ladder Rank), Professor In Residence, Professor of Clinical X, Health Sciences Clinical (compensated), or Adjunct
- Rank: Assistant Professor, Associate Professor, or Professor
- Step: Step 1, Step 2, Step 3, Step 4, etc.

It is important to carefully understand the different series, since this will not normally change during one's University career. Only faculty appointments in Professor (Ladder Rank), In Residence and Clinical X confer membership in the Academic Senate, and only appointments in the Professor (Ladder Rank) series lead to tenure.

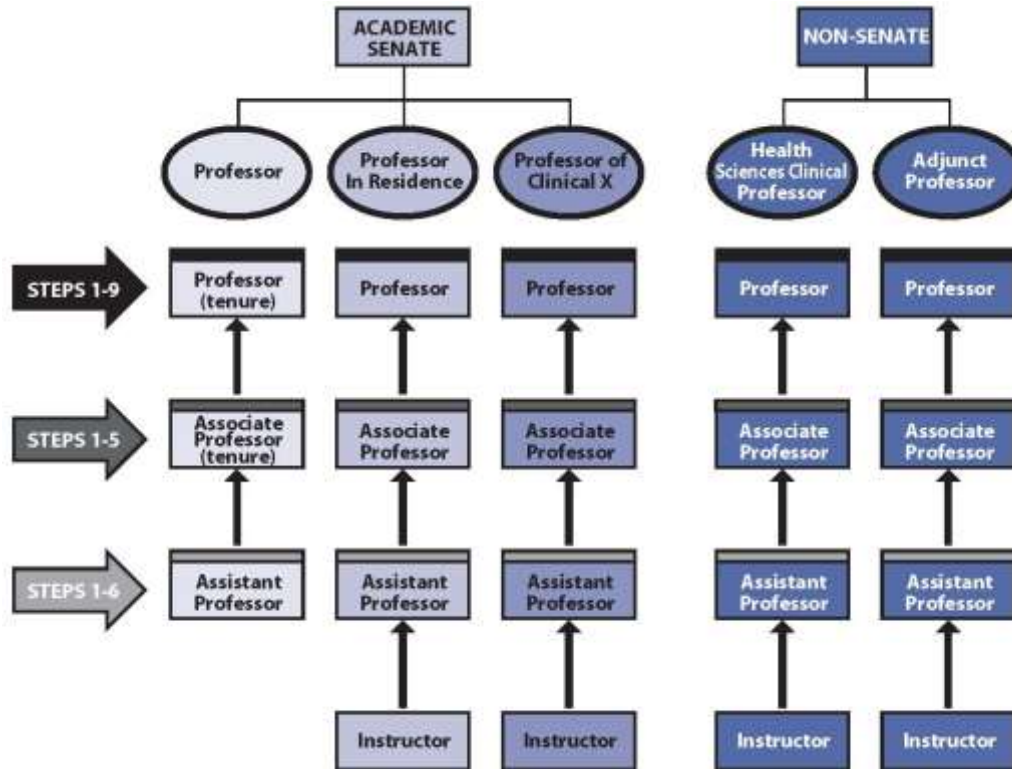
### **Licensure and Boards**

All faculty with clinical responsibilities must have appropriate licensure by the State of California. Documentation of your licensure should include your license number and the date received/renewed. Documentation of board eligibility and certification, both specialty and subspecialty, must be submitted and should include the date of your certification/recertification. It is required for all new faculty in clinical departments to have current licensure and board certification. Entry level clinical faculty who have just completed training must be board eligible.

### **Hospital Credentialing**

All faculty and allied health personnel who have any patient contact must be credentialed by the hospital(s) where they will practice prior to the initiation of any clinical care.

**FIGURE 1: SERIES PATHWAYS AT UCR**



**SERIES**

Explanation of each series for the benefit of new UCR faculty are described below.

**Professor, Professor In Residence, and Professor of Clinical X**

In each of these series, you must contribute with distinction in the areas of teaching and mentoring, research, University and public service, professional competence, and/or creative activities.

**Professor (Ladder Rank)**

Faculty in the Professor (Ladder Rank) series receive a portion of their salary from the State in the form of a Full Time Equivalent (FTE). Professor series faculty also obtain tenure at the rank of Associate Professor and are eligible for sabbatical leave. Promotion or appointment to Associate Professor requires national recognition for independent contributions to research or creative activities, as well as evidence of excellent teaching. Promotion to the rank of full Professor requires international recognition of one’s creative activity. Appointees in these series obtain extramural grant support and/or clinical support throughout their careers. More information may be found at APM 220 located at [http://www.ucop.edu/academic-personnel/ files/apm/apm-220.pdf](http://www.ucop.edu/academic-personnel/files/apm/apm-220.pdf).

## **In-Residence**

Faculty In-Residence are generally self-supporting through clinical and/or extramural funds. In-Residence faculty hold position titles that are equivalent to those in the Professor series. They are subject to similar criteria for advancement and promotion and are members of the Academic Senate, although they do not have tenure. In-Residence faculty have an ending date that may be renewed. This means that based on a review of your performance as well as programmatic needs, you are appointed with a fixed end date. More information on the Professor In Residence series can be found in Section 270 of the University of California Academic Personnel Manual: <http://www.ucop.edu/academic-personnel-programs/files/apm/apm-270.pdf>.

## **Professor of Clinical X**

Faculty in the Clinical X series are generally self-supporting through clinical and/or extramural funds. Clinical X faculty hold position titles that are equivalent to those in the Professor series. They are subject to similar criteria for advancement and promotion and are members of the Academic Senate, although they do not have tenure.

The University of California established this series to recognize outstanding clinician-scholars. Appointees in this series are expected to generate clinical support throughout their careers and are encouraged to obtain extramural grant support.

Appointment or promotion to Associate Professor of Clinical X requires distinction in teaching and mentoring, professional competence, and creative activity. Significant contributions in the areas of creative and scholarly activity must be made and disseminated, e.g., in a body of publications, in teaching materials used elsewhere, or in improvements or innovations in practice adopted elsewhere. Faculty are expected to achieve regional and national recognition for professional competence, contributions, and service to the profession. More information on the Clinical X series can be found in Section 275 of the University of California Academic Personnel Manual: <http://www.ucop.edu/academic-personnel/files/apm/apm-275.pdf>.

## **Health Sciences Clinical Professor (Compensated)**

The Health Sciences Clinical Professor series was established for salaried faculty in the health sciences who primarily teach in clinical programs; participate in patient care, and who engage in some scholarly activity. Faculty in this series are expected to contribute with distinction in the areas of teaching, mentoring of trainees and junior faculty, University and public service, professional competence, and creative and/or scholarly activity. Appointments in this series may be full-time or part-time.

Appointment or advancement to Health Sciences Associate Clinical Professor requires continued excellence in clinical activities and in teaching. Recognition for professional competence and contributions as well as service to the profession are also required. Although advancement within the Health Sciences Clinical Professor series does not require as extensive a publication record as in the Professor of Clinical X series, some creative experience is required for advancement. However, contributions to creative

activity need not be disseminated nationally for timely advancement within this series. Health Sciences Clinical Professors are supported primarily by clinical income. Appointees in the Health Sciences Clinical Professor series generally have a one-year term with a fixed end date that is renewable. Faculty in this series are not members of the Academic Senate.

### **Clinical Professor**

The series and title Clinical Professor is used for community practitioners who donate their time to the University and are governed by Section 279 of the Academic Personnel Manual which can be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-279.pdf>.

### **Adjunct Professor**

The Adjunct Professor series requires excellence in at least one, and preferably more than one, of the following categories: (1) research and creative work, (2) teaching and mentoring, (3) University and public service, and (4) professional competence and activity. Exceptional achievements in one area may compensate for less activity in another area, i.e., a balance in all four categories is not required.

As with the Health Sciences Clinical Professor series, faculty in the Adjunct series may hold appointments at less than 100% effort. More information related to the Adjunct Professor series may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-280.pdf>.

### **Other Academic Series**

There are other academic series than those listed here. It is important to note that while these are *academic* appointments, they are not *faculty* appointments.

**TABLE 1. CHARACTERISTICS OF VARIOUS FACULTY SERIES**

	PROFESSOR	IN RESIDENCE	CLINICAL X	HEALTH SCIENCES CLINICAL	CLINICAL
TEACHING/MENTORING	Essential	Essential	Essential	Essential	Essential
RESEARCH/CREATIVE WORK	Essential	Essential	Essential	Important	Not Required
PROFESSIONAL COMPETENCE & ACTIVITY	Essential	Essential	Essential	Essential	Essential
UNIVERSITY/PUBLIC SERVICE	Essential	Essential	Essential	Important	Not Required
APPRAISAL OF ACHIEVEMENT AND PROMISE	Yes	Yes	Yes	Yes	Yes
ELIGIBLE FOR TENURE	Yes	No	No	No	No
ACADEMIC SENATE MEMBERSHIP	Yes	Yes	Yes	No	No
LIMITATION ON YEARS OF SERVICE	8 Years at Assistant	8 Years at Assistant	8 Years at Assistant	8+ Years at Assistant	None
PERCENT TIME	100%	100%	100%	10-100%	N/A
PRIMARY COMPENSATION SOURCE	Extramural grants – State FTE	Extramural grants, Clinical & Other income	Clinical income – extramural grants	Clinical income	Clinical income

## RANKS

There are four academic ranks: **Instructor**, **Assistant Professor**, **Associate Professor**, and **Professor**. Most initial appointments are made at the rank of Assistant Professor, which is generally the entry rank for a junior faculty member.

### Instructor

The Instructor rank is not used in the Professor series (Ladder Rank) at the University of California and is limited to a maximum of two years in other faculty series. It is frequently used in the In Residence series, the Adjunct series, and the salaried Health Sciences Clinical series for entry-level appointees who have just completed training or who have limited experience in an academic teaching environment. Years as an Instructor in the In Residence

series do count towards the eight-year limitation. Junior faculty at the Instructor rank gain additional experience and enhance creative activity in order to meet the expectations for advancement to the rank of Assistant Professor. Remember that each series has different appointment criteria, as described above.

### **Assistant Professor**

In order to be appointed to the rank of Assistant Professor, candidates must show promise of achieving stature in their field as well as fulfillment of the criteria applicable to the series. During appointment to Assistant Professor, faculty are expected to develop into an excellent teacher and/or clinician, and to develop a clear research focus, depending on the criteria for the series.

### **Associate Professor**

In order to be appointed or promoted to the rank of Associate Professor, faculty must exhibit evidence of excellence in all applicable criteria in the appointed series. Only faculty in the Ladder Rank Professor series obtain tenure at this rank. If research is a criterion, you must attain national recognition for independent contributions to research or creative activities. Independence in research includes publications as first author in peer-reviewed journals, independent extramural research funding, and principal investigator status. In the clinical arena, significant contributions in the areas of creative and scholarly activity must be made. Creative activity might include the development of innovative clinical programs or new approaches to disease management. Scholarly activity might include contributions to the literature in the form of papers, chapters, and books that either track or bring new insights to the understanding of disease and its therapy. At the Associate level, significant service to the profession must be made. There should be involvement and leadership in professional organizations and societies. Faculty should serve on school and University committees. The criteria for appointment or promotion to Associate Professor are series dependent.

### **Professor**

Appointment or promotion to Professor requires continued professional growth and excellence in teaching. For promotion to full Professor rank, faculty should demonstrate national and international prominence related to research or creative activities. Creative activities should reflect the same or greater accomplishments met at the Associate level. As Professor, University and public service, including service to the profession, should be significant and regular.

### **Above-Scale**

Appointment or advancement to Professor Above-Scale is reserved for those faculty who have proven and sustained records with the highest distinction and achievement in their fields. This category describes advancement beyond the top of the Professorial range (currently Step IX). The review procedure is documented and processed like a promotion.



## STEPS

Promotions are based in part on the initial rank and step into which a faculty member was hired. Steps identify the salary level (and retirement salary) of a particular rank. Each rank has steps that indicate the level of advancement. The following chart shows the typical steps at which promotion or advancement occur:

**FIGURE 2 STEPS AND PROMOTION**

<b>ASSISTANT</b>	Step 1	2	3	4	5	6				
<b>ASSOCIATE</b>	1	2	3	4	5					
<b>PROFESSOR</b>	1	2	3	4	5	6	7	8	9	Above Scale

Steps have a corresponding number of standard years until promotion, e.g., an Assistant Professor normally spends two years at each step before advancement to the next step. Accelerated advancement refers to merit increases that are awarded one or more years earlier than the normal, on-time schedule for such advancements.

More information can be found in APM 210 entitled “Appointment and Promotion, Review and Appraisal Committees” which can be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-210.pdf>.

## Change in Series

Occasionally it may be appropriate to provide a change in series because of a change in the direction of the faculty's work. Such changes in series need to be discussed with the Division or Department Chair. Files submitted for a change in series are identical to those prepared for new appointments.

## Tenure

In the context of the academic appointment process at UCR, tenure is automatically conferred by promotion from the Assistant to the Associate rank for all individuals in the Ladder Rank Professor series. Tenure implies a permanence of position that is guaranteed by the University, absent good cause for removal. Situations in which tenure can be lost are articulated in the Standing Orders of the Regents 103.9, which may be found at <http://www.universityofcalifornia.edu/regents/bylaws/so1039.html>. Faculty members in the In Residence or Clinical X series do not receive tenure.

## Checklist for New Faculty Appointments

An important checklist of items to discuss during appointment in the school of medicine can be found at: <http://medschool.ucr.edu/pdf/NewApptsChecklist.pdf>.

The section regarding Academic Personnel on the UC Office of the President's Web site <http://www.ucop.edu/academic-personnel/files/apm/apm-600.pdf> features complete information on salary scales for the University of California.

## **ADVANCEMENT**

### **Merit Increases**

Merit increases reflect advancement through the steps. These are not automatic and require review and approval for faculty by both peers and administrators at different levels of the organization (e.g., division, school, and campus levels). Normal periods of service are assigned to various steps. Although these reflect the usual intervals for advancement, they do not preclude more rapid advancement in the case of exceptional merit or slower advancement, when warranted.

### **Promotion**

Promotion marks advancement through the ranks (e.g. Assistant Professor to Associate Professor.) Promotions are not automatic. Reviewers evaluate accomplishments and productivity based on the criteria outlined for each series and rank in the University of California's Academic Personnel Manual (APM) which can be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-200.pdf>.

### **Advancement to Professor, Step 6 and Professor, Above-Scale**

At the rank of full Professor (any series), there are more onerous criteria for advancement to Step 6 and Above Scale. While these are technically merit advancements, they are barrier steps requiring exceptional distinction and are reviewed in similar depth as promotions. Faculty may remain at Step 5 for an indeterminate duration, and typically may not apply for advancement to Step 6 until after three years at Step 5. International recognition is required for advancement to Step 6. Criteria for advancement to Step 6 are set forth in APM Section 220 which may be found at: <http://www.ucop.edu/academic-personnel/files/apm/apm-220.pdf>.

### **Criteria for Advancement**

**Creative Activity:** May include development of innovative programs, innovative teaching materials, or enhancement of a service.

**Scholarly Activity:** Includes contributions to the literature in the form of manuscripts, chapters, books, participation in invited lectureships, and development of new methods and tools.

**Research Productivity:** Includes publication of original articles, independent extramural research funding, principal investigator status, and long-term-extramural support.

**Teaching Activity:** Includes formal classroom lectures as well as teaching in the laboratory or clinical setting. Teaching in continuing education programs is also an important

component.

**Public Service:** Includes departmental, school, and University committee service as well as service to national academic societies and to the community.

### **Curriculum Vitae and Recordkeeping**

Careful attention should be paid to the preparation of the CV since it presents faculty activities and accomplishments in the most favorable light. The format expected for school of medicine CV's may be found at

[https://medschoolintranet.ucr.edu/academic\\_affairs/resources\\_faculty.html](https://medschoolintranet.ucr.edu/academic_affairs/resources_faculty.html).

### **Teaching: Student and Peer Review**

Student and peer review of excellence as a teacher are essential components of the promotion file. Student evaluations are solicited electronically both for formal classroom teaching and for work as a clinician with students and residents.

### **University and Public Service**

University and public service are important components of academic life (although it should be minimal at the Assistant level). University service may include administrative responsibilities and service on search committees, departmental committees, Academic Senate Committees (UCR or system-wide) or University of California system wide committees. During the Assistant Professor years, University service should be limited in order to assure that there is adequate time available for research activities. As advancement occurs through the Associate and Professor years, University service should increase.

### **Promotion File**

The promotion file that is submitted is identical for Professor, In Residence, and Clinical X faculty, and includes the following:

1. The Chair's letter
2. Formal course evaluations of teaching from students and/or peers (or letters attesting to teaching if formal evaluations are available)
3. At least 5 representative reprints reflecting your creative activity
4. At least 3 intramural letters of evaluation
5. At least 5 extramural letters of evaluation
6. A CV that includes a one-page description of your current research program as well as one page documenting your current teaching responsibilities.

### **Formal and Informal Complaints**

Faculty that feel that they have been unfairly evaluated for promotion, have several channels through which to express complaints and to seek appropriate corrections. It is generally advisable to seek informal resolution through internal consultation before filing a formal complaint. These informal channels include (1) the Division Chair, (2) the Associate Dean for Academic Affairs, (3) the Dean, and (4) the Vice Provost for Academic Personnel.

Any of these Administrators can look into the file, correct errors and injustices, and advise faculty about other courses of action. The Equal Employment/Affirmative Action office can also provide advice on courses of action, particularly related to discrimination issues. The Academic Senate Committee on Privilege and Tenure can also assist. After having exhausted informal consultations, faculty may undertake a formal internal complaint if they remain unsatisfied. A formal complaint can be filed with (1) the Vice Provost for Academic Personnel, (2) the Academic Senate Committee on Privilege and Tenure, (3) the Equal Employment/Affirmative Action office (complaint of discrimination only), (4) the Office of Title IX/Sexual Harassment, or (5) the campus' whistle blower coordinator.

### **Appraisals of Achievement and Promise**

Appraisals of Achievement and Promise constitute an evaluation of Assistant Professors midway through the eight-years of service at this rank (typically during the fifth year as assistant professor). The purpose of the Appraisal is to assess the progress and to provide advice and guidance for successful progression to the rank of Associate Professor. The Appraisal review does not normally result in a merit increase or promotion; rather, it is meant to provide junior faculty with constructive advice and sufficient time to address any deficiencies.

### **Eight-Year Rule for Academic Senate Series**

Faculty appointed to an Academic Senate series (Professor, In Residence, and Clinical X), are under the eight-year rule. An Assistant Professor, who has completed eight years of service in that title, or in that title in combination with other titles as established by the President, shall not be continued after the eighth year unless promoted to Associate Professor or Professor (APM 133) which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-133.pdf>.

The University gives unsuccessful candidates in this series a one-year terminal appointment; thus, review for promotion must be completed no later than the seventh year. The eight-year clock starts with the initial appointment, includes years as an instructor, and that progress will be evaluated during the fourth year by an Appraisal of Achievement and Promise as described in the previous section.

If a faculty member has received a final decision not to be promoted, and is given a one-year terminal appointment, the person may not be hired as a faculty member in any series on any UC campus for a period of five years after your appointment ends. There are categories of leave and time off which do not count as time spent in the system with respect to the eight-year rule.

### **Quinquennial Review**

Most advancement reviews take place every two to four years depending on one's rank and step. If a faculty member has not been reviewed in the previous five years, a quinquennial review is initiated. The purpose of this quinquennial review is to ensure that performance is appraised at regular intervals, to assess productivity since the last successful advancement, and to identify what needs to be accomplished for further advancement. At

UCR, faculty who are employed at less than 50% time will not be required to undergo a quinquennial review. However, if the faculty member wishes to be reviewed, he/she may request it. The quinquennial review may result in:

1. Advancement, if performance warrants it;
2. No advancement, but with performance monitoring and scheduling of the next review date if progress is satisfactory;
3. Establishment of a remedial plan and timetable for progress if progress is deemed unsatisfactory; or
4. Further disciplinary action consistent with UC policy governing incompetent performance in a ladder rank faculty member.

### **Mentors and Mentees**

A formal faculty mentoring program currently exists at UCR and is intended to help new faculty members adjust to the environment. Assistance from a well-respected mentor can be an invaluable supplement to the guidance that a department chair or Dean provides faculty during the early years at a new university. This program is described in more detail (<http://fmp.ucr.edu/>). Faculty who are appointed in the clinical series will be assigned a mentor who will meet with the faculty member at least yearly to review her/his progress and accomplishments.

### **Emeritus**

For every member of the Academic Senate in good standing, the title suffix “Emeritus” is automatically conferred for positions held at the time of retirement. Other academic appointees may be nominated for conferral of the Emeritus title suffix. In these cases, the nominee must have at least ten years of University service; attained the highest rank in the individual’s title series; and have evidence of noteworthy and meritorious contributions to the educational mission and programs of the University.

### **THE HEALTH SCIENCES COMPENSATION PLAN**

Faculty base salaries are directly related to academic series, rank, and step. The base salary increases with advancement. At times, base salary may also be increased by a cost of living adjustment directed by UC system-wide.

The Health Sciences Compensation Plan (HSCP) is used by each Division to foster balance between teaching, research, patient care, and other public responsibilities. Individual levels of compensation are established to recruit and retain the faculty necessary to fulfill the School’s missions at a level of excellence. Membership in the Compensation Plan is a term and condition of employment at UCR as specified in the Plan.

The HSCP for the School of Medicine is online at <http://medschool.ucr.edu/faculty.html>. Also consult APM 025, “Conflict of Commitment and Outside Activities of Faculty Members” which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-025-07-01.pdf>.

## **PRINCIPLES OF CITIZENSHIP AT UCR**

### **Faculty Code of Conduct**

The Faculty Code of Conduct was first adopted in 1971 by the Academic Senate to protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning. The Faculty Code of Conduct sets forth professional rights as well as the University's responsibility to protect and encourage faculty in its teaching, learning, research, and public service.

Every member of the faculty should read this code and be aware of the principles outlined therein. The Faculty Code of Conduct is set forth in the Academic Personnel Manual (APM), specifically located at <http://www.ucop.edu/academic-personnel/files/apm/apm-015.pdf>, and covers University Policy on Faculty Conduct and the Administration of Discipline <http://www.ucop.edu/academic-personnel-programs/files/apm/apm-016.pdf>. To learn more about the UCR process for handling faculty misconduct investigations and disciplinary proceedings, please refer to [http://senate.ucr.edu/bylaws/?action=read bylaws&code=app&section=05](http://senate.ucr.edu/bylaws/?action=read%20bylaws&code=app&section=05).

### **UCR Guidelines on Conflict of Interest**

Federal regulations, state laws, and University policies related to research conflicts of interest recognize that faculty may have financial interests in sponsors of their research and/or in entities whose business interests are closely related to their research. The phrase "conflict of interest in research" refers to situations in which financial or other personal considerations may compromise, or have the appearance of compromising a investigator's professional judgment in conducting or reporting research (Association of American Medical Colleges, February 22, 1990). Federal regulations, state laws, and University policies require that faculty submit financial disclosure forms at the time a proposal is submitted for funding. In those cases in which a financial interest and possible conflict of interest are disclosed, the laws provide for the review of each situation by an impartial review committee. UCR Guidelines on Conflict of Interest can be found in Appendix I. These guidelines supplement federal regulations, state laws, and UC policies.

### **Sexual Harassment Prevention**

UCR is committed to maintaining a community in which all individuals, including faculty, can work in an atmosphere free of harassment, exploitation, or intimidation. For example, when an individual in authority or power jeopardizes another's academic or career future through job discrimination, demotion, withheld promotion, or a decreased grade unless sexual favors are granted, "quid pro quo" sexual harassment has occurred. The second form of sexual harassment is often subtle and involves a "hostile environment" in which an individual engages in unwelcome sexual behavior that creates an offensive work or learning environment. Examples of hostile environment may include, but are not limited to, sexually demeaning language, the posting of offensive photographs or posters in common space, the unnecessary use of sexually offensive examples or slides in a classroom setting, and the implication that women are not as capable as men in the conduct of their jobs, or



vice versa.

Sexual harassment is best resolved quickly and directly with the offender. It is the University's responsibility to maintain a harassment-free environment; it is the individual's responsibility to maintain a record of events and to seek assistance from a campus advisor. The UCR campus has number of available advisors through the Title IX/Sexual Harassment Office who are trained to assist both faculty and staff, and who are aware of the law as well as resources within the University.

To learn more about sexual harassment prevention resources, please refer to the Title IX/Sexual Harassment Office <http://titleix.ucr.edu>.

### **UC Policy on Sexual Relations with Students**

The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The pedagogical relationship between faculty and students must be protected from influences or activities that can interfere with learning. Whenever a faculty member is responsible for academic supervision of a student, a personal relationship between them of a romantic or sexual nature, even if consensual, is inappropriate. Any such relationship jeopardizes the integrity of the educational process.

It is unacceptable behavior to enter into a romantic or sexual relationship with any student for whom a faculty member has, or could reasonably expect to have in the future, academic responsibility (instructional, evaluative, or supervisory). Likewise, it is unacceptable to exercise academic responsibility for any student with whom a faculty member has a romantic or sexual relationship. More information is available in APM 015 <http://www.ucop.edu/academic-personnel/files/apm/apm-015.pdf>.

### **UCR Administrative Holidays**

Official holidays are those administrative holidays occurring annually in the University calendar. For the scheduled holidays each year, please refer to the current calendar year.

### **Vacation**

Except for Postdoctoral Scholars, academic personnel appointed on a fiscal-year basis for six months or more, at 50 percent time or more, accrue vacation leave at two days (or 16 hours) per full month of service. Fiscal-year appointees at 50 percent or more time accrue vacation at a proportionate rate; appointees at less than 50 percent time do not accrue vacation. Vacation leave may not be taken prior to accrual. Vacation credit may accumulate to a maximum of 48 working days (384 hours). Hours accrued in excess of 384 are lost to the faculty member.

Regularly scheduled days off and University administrative holidays shall not be charged against vacation time. Periods of academic recess are not regarded as vacation, and vacation shall not accrue during a leave of absence without salary. Accrued vacation is portable across University locations if there is no break in service. If you separate from University or retire, your accrued vacation leave (up to 384 hours) is reimbursed at the rate of your final salary. Complete and current vacation policy is presented in APM 730 which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-730.pdf>.

### **Sick Leave**

Faculty within the five series (Professor, In Residence, Clinical X, Health Sciences Clinical, and Adjunct) do not accrue sick leave under UC policies. However, the school of medicine makes specific provisions in its compensation plan to allow faculty paid leave, which may include sick leave. Leave with pay may be possible under the disability guidelines. Under unusual circumstances, the Chancellor may also approve leave with pay.

### **Time Off to Attend Professional Meetings**

Faculty may be granted a leave with pay to attend professional meetings or for University business. If the leave is for more than seven days, the rules in APM 758, which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-758.pdf>, apply. Leave to attend professional meetings must be arranged with department chairs and must not interrupt usual University responsibilities.

### **Military Service**

With certain restrictions, faculty are eligible for military leave of absence without pay (as described in APM 751, which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-751.pdf>). In addition, you are entitled to receive salary or compensation for the first 30 calendar days while engaged in the performance of military duty if you have been in the service of the University a full year prior to the commencement of military leave.

### **Government Service**

Leaves of absence may be granted for consultation or other services to governmental agencies, e.g., NIH study section membership or jury duty. If faculty are fully compensated for services by the governmental agency, then usually these leaves of absence are granted without pay. However, full or partial pay may be granted for leaves of 30-days or less per year and partial pay may be granted for longer leaves under the conditions stated in APM 750-10 which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-750.pdf>, if the total compensation received during the leave does not exceed the compensation the appointee would normally receive from the University.



## **Stopping the Clock on the Eight-Year Rule**

Appointments to an Academic Senate series (Professor, Professor In Residence, and Clinical X) are limited by the eight-year rule. However, there are occasions when the clock can be stopped, i.e., take leave that does not count towards these eight years. Faculty can stop-the-clock more than once during the eight-year probationary period, but total leave excluded from the rule cannot exceed two years.

With the exception of childbearing and parental leave—which is discussed below—time-off, whether with or without salary, counts towards the eight-year rule. However, you may petition the Chancellor to have these periods excluded if your leave is unrelated to your academic career. Your petition should be filed at the same time at which leave is requested, or in the case of sick leave, within one quarter or one semester after the leave is taken.

## **Childbearing and Child Care**

The intense period of early career development is often precisely the time, from both a psychological and a biological standpoint, when a young faculty member might wish to start a family or already be engaged in the care of young children. The difficulties of the early career period are compounded by a promotion process that requires faculty to prove oneself within a specific time. Historically, the University introduced the eight-year time limit in response to criticism that it was unfair to keep a faculty member employed at a junior level without either promotion or dismissal. Seven years with a year's warning was considered sufficient time to make a decision. Unfortunately, pregnancy, childbirth, and the commitments required of parenting can make this eight-year time limit a highly stressful and all too rapidly passing period of time.

## **Pregnancy and Leave**

The federal Family and Medical Leave act as well as the California Fair Employment and Housing Act (FEHA) assure various forms of the leave during pregnancy. Under FMLA, any period of incapacity or treatment due to pregnancy, including prenatal care, is included as a "serious health condition." If eligible, and employee may take up to 12 workweeks of unpaid FMLA leave due to her pregnancy.

Under the California Fair Employment and Housing Act (FEHA), one may take up to four months of unpaid medical leave for the period of actual disability caused by pregnancy, childbirth, or related medical condition (G. C. Sec 12945(b)(2)). Since this is unpaid leave, one may want to reserve paid vacation to use during part or all of this period.

Childbearing Leave or Prenatal Leave taken that is equal to or in excess of one semester or one quarter, but not more than one year, is automatically excluded from time counted toward the eight year rule unless you inform the Associate Dean for Academic Affairs in writing before, during, or within one quarter or one semester after the leave, that it should not be excluded. University-guaranteed forms of childbearing and parental leave are detailed in APM 760, which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-760.pdf>.

Individuals may elect to take leave without pay for up to one year following the birth of a child. If such a leave is taken, time to tenure may be extended from eight to nine years.

### **Family Medical Leave Act (FMLA)**

As mentioned above, family and medical leave combined with University-supported leave provides a faculty member with leave up to twelve (12) workweeks in a calendar year, continuance of health plan coverage as if on pay status, and reinstatement rights. Leave may be taken to care for one's own serious health condition, to care for child, parent, spouse, or domestic partner (same sex or opposite sex) with a serious health condition, or to care for a newborn child or a newly placed adopted or foster child. No salary accompanies FMLA, and FMLA leave may not run concurrently with disability/sick/childbearing leave awarded by the institution. For more information regarding family and medical leave, refer to APM 715 which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-715.pdf>.

### **Sabbatical**

Professors, Associate Professors, and Assistant Professors in the Professorial Series are entitled to sabbatical leave or absence from regular scheduled duties, following a prescribed period of service (seven years) at the rank of Assistant Professor or higher. Sabbatical leaves are granted to enable faculty to engage in intensive programs of research and/or study; and thus, to become a more effective teacher and scholar, and to enhance service to the University. Sabbatical leaves may be granted every seven years but must be carefully planned in advance with the concurrence of the Division Chair. Salary during sabbatical leave usually is paid at the departmental base, but may be supplemented from other resources, such as grants and contracts. All University benefits continue during the sabbatical leave period. Guidelines governing sabbatical leave are covered in APM 740 which may be found at <http://www.ucop.edu/academic-personnel/files/apm/apm-740.pdf>.

### **Professional Development Leave**

Department Chairs may support a request to participate in a development program by flexible or alternate work scheduling, leave without pay, leave at full or part pay, full or part payment of fees and expenses, and temporary or part-time reassignment in another department. Such leaves must be planned well in advance and with the concurrence of the Division Chair. Professional Development leave generally is available and follows the same time schedule as Sabbatical leave. Salary during Professional Development Leave is negotiated with the Chair and is in accordance with the School's Compensation Plan policy.

Resources on campus to guide and assist faculty in their careers include the *University of California Faculty Handbook* published by the Office of the President which may be found at <http://www.ucop.edu/academic-personnel/programs-and-initiatives/faculty-resources-advancement/faculty-handbook.html>.

# Appendix I

## UCR Guidelines on Conflict of Interest

Additional information regarding UCR's standards and policies regarding conflict of interest and research integrity can be found at: <http://or.ucr.edu/ori.aspx>.

### Pertaining To Receiving/Disbursing Research Funds:

1. When a faculty member accepts a full time appointment at the University of California it is understood that he or she will accord the University his or her primary professional effort and will arrange outside professional obligations, financial interests, and activities so as not to conflict or interfere with this commitment to the University.
2. Faculty with a management or a financial interest or relationship in a commercial entity that could pose a real or potential conflict of interest will disclose that relationship to the Department Chair.
3. A potential conflict of interest exists when a faculty member:
  - a. Receives research funding from an entity, and he/she or his/her spouse or dependent child
  - b. Serves as a director, officer, partner, trustee, employee, or holds a position of management with the entity funding his/her research;
  - c. Has an investment (including, but not limited to, stock options) in this entity;
  - d. Receives income, including salary, which is not paid through the University, or consulting fees from this entity;
  - e. Has received personal gifts of \$50 or more from this entity; or
  - f. Has an outstanding loan with this entity;
  - g. Receives research funding from outside sources, and he/she, or his/her spouse or dependent child has a financial relationship valued at over \$10,000 in monetary value or 5% equity in a company which would reasonably appear to be related to his/her research.
4. A potential conflict of interest exists if an investigator disburses research funds to an entity in which he/she, or his/her spouse or dependent child, has a financial interest or relationship.
5. All potential conflicts of interest shall be reviewed by an independent substantive review committee known at UCR as the Conflict of Interest Committee (COIC) prior to acceptance/disbursement of any research funds. More information about the COIC may be found at: <http://or.ucr.edu/ori/committees/coic.aspx>.
6. The COIC shall review all sponsored research agreements, research gifts or consulting agreements where there is a potential conflict of interest, using the definitions set forth in University Policy on Disclosure of Financial Interest in Private Sponsors of Research (dated April, 1984) or in accordance with the University of California Policy on Disclosure of

# Appendix I

Financial Interests and Management of Conflicts of Interest Related to Sponsored Projects. Each disclosure shall be reviewed on a case by case basis using the University of California Guidelines on University-Industry Relations, issued in May, 1989 as a guide and paying specific attention to the following criteria: an open academic environment is maintained, freedom to publish and discuss research results is not compromised, and the intellectual freedom of students is protected; fair licensing practices are employed; and the use of University facilities and resources is appropriate.

7. In situations where a faculty member has a conflict of interest in the research, and this conflict is deemed acceptable by the University, the faculty member shall disclose his or her relationship with the sponsor in any publications emanating from this research and in public discussions of the research.

8. Faculty and administrators shall withdraw from any decisions by the University or the sponsor affecting the University in regard to a company in which they or their family members have a financial interest or relationship.

9. Any faculty member who serves on the Board of Directors of a for-profit company shall not be permitted to receive research funding from that company. This section does not apply to contracts and grants under the federal SBIR/STTR programs.

10. Any faculty member who has an investment in a company, which is more than five percent (5%) of the total value of the company, shall not be permitted to receive research funding from that company. This section does not apply to contracts and grants under the federal SBIR/STTR programs.

11. Faculty who have, or participate in, a privately sponsored clinical study shall not concurrently receive any compensation from the sponsor, including honoraria and consulting fees, during the course of the study. In addition, they shall not have any investment in, or serve in a decision-making capacity for (such as service on the Board of Directors or management committee), or be an officer or employee of the company sponsoring the study.