

275-4 **Definition**

Titles in this series are assigned to academically qualified individuals who are occupied full time in the service of the University, whose predominant responsibilities are in teaching and clinical service, and who also engage in creative activities. These appointments are reserved for salaried positions in the health sciences with the University and/or an affiliated hospital. For an exception to the requirement of full-time service, see APM - 275-16-a.

An appointee to a title in this series will normally carry a heavier load of teaching and/or clinical service than appointees in the regular Professor series or in the Professor in Residence series.

275-8 **Types of Appointments**

- a. Titles and (and ranks) in this series are:
 - (1) Assistant Professor of Clinical (e.g., *Medicine*)
 - (2) Associate Professor of Clinical (e.g., *Medicine*)
 - (3) Professor of Clinical (e.g., *Medicine*)
- b. An *appointment* (as distinguished from a promotion) occurs when a person is employed in one of the three ranks above, if the individual's immediately previous status was:
 - (1) not in the employ of the University; or
 - (2) in the employ of the University but not with a title in this series.

A *transfer* is a type of new appointment for an individual whose last appointment was in a University of California title, usually a faculty title. Regular academic review is required. An affirmative action search is not normally required. For example, a transfer may occur because an individual's duties change. On some campuses, a transfer is called a "change of series."

- c. A *promotion* is an advancement from one rank to a higher rank within this series, usually the next rank as listed above.
- d. A *merit increase* is an advancement in salary step or to an above-scale salary rate without change of rank (see APM - 615).

- e. The term *reappointment* is used for the renewal of an appointment immediately following the ending date of a previous appointment in this series. A reappointment may or may not be accompanied by a promotion or a merit increase.

275-10 Criteria

A candidate for appointment or advancement in this series shall be judged by the following criteria:

- a. Teaching
- b. Professional competence and activity
- c. Creative work
- d. University and public service

These criteria and standards are set forth in APM - 210-2, *Instructions to Review Committees Which Advise on Actions Concerning the Professor of Clinical (e.g., Medicine) series*.

275-16 Restrictions

- a. An appointee holding a title in this series either must be a full-time academic employee of the University, with 100 percent of the employment allocated among one or more appointments to academic titles, or be certified by the Chancellor that his or her sole professional commitment is to the University.

- b. Funding

- (1) On a campus where *all* appointees in this series have one-year appointments or less, funding may come from General (State) funds or from other sources. The use of State funds in this case does not involve any commitment of tenure or security of employment. The State money is a temporary funding source for one year or less, and may be renewed.

The Chancellor shall notify appointees on State funds of the above conditions and restrictions.

- (2) Limits on State funding for campuses not covered by (1) above.

On campuses not covered by (1) above, 50 percent or more of the base salary of the appointee shall come from funds other than General (State) funds, except that the Chancellor is authorized, under justifying circumstances, to fund more than 50 percent of the base salary from General (State) funds for a limited period of time. When an appointment in any title in this series is supported by General (State) funds for more than 50 percent time (0.5 FTE), the total period of such appointment, in combination with any other State funded appointments in those titles specified in APM - 133-0-b and -c, shall not exceed eight years. In other words, there is a cumulative eight-year limit on State funding on these particular campuses for an individual who holds any title or titles in this series, i.e., Assistant, Associate, and Full Professor of Clinical (e.g., *Medicine*).

- c. Regardless of funding source, there is an eight-year limitation of service for an Assistant Professor of Clinical (e.g., *Medicine*) in that title alone or in combination with other titles listed in APM - 133-0-b and -c.
- d. Transfer of appointees in the regular Professor series or the Professor in Residence series to the Professor of Clinical (e.g., *Medicine*) series.
 - (1) For transfer of an Assistant Professor or an Assistant Professor in Residence, see APM - 133-0-a.
 - (2) An appointee with the title Associate Professor, Professor, Associate Professor in Residence, or Professor in Residence may, upon recommendation of the department and regular academic review, transfer to the Professor of Clinical (e.g., *Medicine*) series.
- e. Movement from the Professor of Clinical (e.g., *Medicine*) series to the regular Professor series and the Professor in Residence series.

A faculty member with a title in the Professor of Clinical (e.g., *Medicine*) series may be appointed to the Professor series or to the Professor in Residence series only following a competitive search. Under special circumstances, the Chancellor may grant an exception to allow transfer to the Professor in Residence series.

- f. Number of appointees
 - (1) In order to maintain an appropriate balance in the health sciences schools between research and education and clinical service, the Chancellor, in consultation with the Senate, may establish a quota on the number of

appointments in this series. If so desired, a quota may be set for each school or department.

- (2) If the number of appointees in the series exceeds 1/6 of all local Senate members in all the clinical departments on the campus, a Senate committee will review the appropriateness of adding new members to the Professor of Clinical (e.g., *Medicine*) series. For purpose of calculating the 1/6 ratio, current appointees to the Professor of Clinical (e.g., *Medicine*) series are to be included in the number of “all Senate members”, and all Emeriti Senate members are to be excluded.

It is the responsibility of the Chancellor to monitor the number of appointments.

- g. An appointee in this series shall be a member of an approved compensation plan in the University or the equivalent in an affiliated hospital. The Chancellor shall determine which plans are considered equivalent for purposes of this provision.

As an exception to the above, if a School or College does not have a compensation plan, such as the School of Veterinary Medicine, the Chancellor may authorize use of this series for that particular academic unit.

275-17 **Terms of Service**

- a. Title of Assistant Professor of Clinical (e.g., *Medicine*)

An appointment to the title of Assistant Professor of Clinical (e.g., *Medicine*) shall be made with a specified ending date. The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specific period and that the appointment *ipso facto* expires at the specified date.

Each appointment and reappointment is limited to a maximum term of two years. The appointment may be made for a shorter term. Total University service in this title in combination with those titles listed in APM - 133-0-b and -c shall not exceed eight years. Time in this title does not count toward service as an Assistant Professor in Residence or any title eligible for tenure.

- b. Appointments to the title of Associate Professor of Clinical (e.g., *Medicine*) and Professor of Clinical (e.g., *Medicine*) may be made in two ways.

(1) **With a specific ending date:**

For an Associate Professor of Clinical (e.g., *Medicine*) (Steps I, II, III), each appointment is limited to a maximum term of two years. For an Associate Professor of Clinical (e.g., *Medicine*) (Steps IV and V) and for a Professor of Clinical (e.g., *Medicine*), each appointment is limited to a maximum term of three years. These appointments may be made for a shorter term.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment is for a specified period and that the appointment *ipso facto* ends at the specified date.

Termination prior to the specific ending date of such appointments shall be only for good cause and is subject to the provisions of Standing Order 103.9. (See APM - 275-20.)

(2) **With no specific ending date:**

It is recommended that such appointments be made only when there is a reasonable expectation of long-term funding.

The appointee shall be advised by letter and/or on the appropriate campus approval document that the appointment does not carry either tenure or security of employment.

For provisions concerning termination, see APM - 275-20-a.

- c. Rules concerning effective dates of appointments shall be as stipulated in APM - 200-17, except that normally an appointment period will coincide with the University's fiscal year of July 1 through June 30. The effective date of a promotion or merit increase is normally July 1; however, exceptions may be approved by the Chancellor, subject to the provisions of APM - 275-24-a(6) and -a(7).

275-18 **Salary**

- a. Appointments to titles in this series shall be made either with salary or without salary. The academic salary scales for the regular Professor series shall apply, subject to the terms of the compensation plan. Without-salary appointments in this series are to be made only when the affiliated hospital pays the salary and the individual is full-time in the service of the University.

- b. The normal periods of service at each step in this series coincide with those of the Professor series as described in APM - 220-18-b.
- c. Individuals with a salaried appointment in this series may hold a non-salaried appointment in this series in another Department or School.

275-20 **Conditions of Employment**

- a. Expiration of an appointment and termination
 - (1) **Appointment with specific ending dates are subject to the following policies:**

- (a) An appointment to a title in this series with a specified ending date expires by its own terms on that date, and additional notice of the ending of the appointment is not required.

However, in cases when appointments have been renewed at least once, and if the funding sources and campus procedures permit, it is desirable (but not required) that a reasonable period of notice be given:

- appointees who will have more than two years of service by the end of the current appointment, might be given as much as 12 months' notice;
- appointees who will have at least one year of service and not more than two years of service by the end of the current appointment, might be given six months' notice.

The Chancellor shall establish procedures for the review of cases when an appointee with between 1 and 2 years of service is given less than 30 days' notice, and when an appointee with more than 2 years of service, is given less than 60 days' notice. The Chancellor may establish procedures that include notice periods greater than those mentioned above.

- (b) Non-reappointment as a result of a personnel review:

When an individual is not reappointed as a result of a personnel review, an individual who so requests in writing shall be given a written statement of the reasons for non-reappointment. This

written statement shall be given to the individual before the specified ending date, whenever possible. The appointment, however, will expire on the specified ending date, regardless of such statement.

For information on the formal appraisal of an Assistant Professor of Clinical (e.g., *Medicine*), see APM - 275-83; for non-reappointment for academic reasons, see APM - 275-84.

(c) Termination prior to the specific ending date:

Termination prior to the specific ending date shall be only for good cause and is subject to the provisions of Standing Order 103.9.

(2) **Appointment with no specific ending date:**

Except in instances of resignation or dismissal for good cause, termination of an appointment with no specific ending date is subject to the following policies:

(a) Establishment of a specific ending date:

Written notice by the Chancellor of termination as a result of a personnel review for inadequate performance, budgetary reasons, programmatic changes, and/or lack of work serves to establish a specific ending date. Once a specific ending date has been established, appointments are subject to the provisions of Standing Order 103.9; termination before the specific ending date shall be made only for good cause and after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

Budgetary reasons include discontinuation of the funding for all or part of a program or project on which the appointee works and/or from which all or part of his or her salary is budgeted.

Programmatic changes include discontinuation of all or part of a program or project on which the appointee works.

Lack of work may be because of a change in the emphasis of the ongoing program, lack of funds, and/or the termination of an individual's appointment at a hospital affiliated or associated with the University.

Each appointee shall be notified in writing regarding this policy by the department chair or corresponding administrative officer at the time of appointment.

(b) Order of termination:

The order of termination for appointees with the same rank who are supported from the same funding source in the same department, unit or project, shall be on the basis of special skills, knowledge, or ability essential to the operation of the department, unit, or project.

When there is no substantial difference in the degree of special skills, knowledge, or ability essential to the department, unit, or project, the order of termination shall be in inverse order of seniority.

(c) Review procedures:

The Chancellor shall establish procedures for the review of a recommendation by a department or a division to terminate an appointee as a result of a personnel review for inadequate performance, budgetary reasons, programmatic changes, and/or lack of work.

(d) Written notice of specific ending date:

The Chancellor or designee shall provide the appointee with written notice of termination. If the funding source will permit, it is desirable that the written notice of termination take effect on June 30 of the next academic year and, in any event, not less than 30 days after notification. If the funding source for the appointment will not permit 30 days' notice, the University shall provide a minimum of 30 days' notice and, if necessary, use 19900 (State) funds for that period. Appropriate pay in lieu of notice may be given.

(e) Performance evaluation:

Upon receipt of notice of termination, the appointee may request in writing an evaluation of his or her academic achievements. In cases involving termination because of budgetary reasons, programmatic changes, and/or lack of work, such an evaluation will serve to establish for the record an institutional assessment of the appointee's qualifications and performance independent of those considerations.

(f) Dismissal for misconduct:

The faculty Code of Conduct applies to appointees in this series.

- b. Appointees in this series are members of the Academic Senate. See Standing Order 105.1(a).
- c. Neither tenure nor security of employment is acquired by appointment to a title in this series.
- d. An appointee with a title in this series is eligible for leave with pay under APM - 758 when the leave is in the interest of the University and to the extent that provision is available in the fund source(s) from which the salary is paid. The Chancellor may approve leaves for twelve months or less.

When the base salary of the appointee is supported wholly or partially by General (State) funds, leaves will be supported by General (State) funds in the same percentage of time. Each Chancellor shall establish campus procedures to provide for the administration of a leave program.

Appointees are not eligible for the sabbatical leave program as described in APM - 740.

275-24 **Authority**

Authority to approve appointments, reappointments, merit increases, promotions, and terminations in this series, following appropriate review and subject to the restrictions in APM - 275-16 and 275-17, rests with the Chancellor except as noted in (a) below.

(a) **Professor of Clinical (e.g., *Medicine*) at an above-scale salary:**

The Chancellor has authority to approve above-scale salaries up to and including the Regental compensation threshold. For salaries beyond the Regental compensation threshold, authority rests with The Regents on recommendation of the President, after appropriate review and as prescribed in Section 101.2(a)(1) of the Standing Orders of The Regents. (See also APM - 275-85.)

- (b) An initial appointment or subsequent reappointment of any person after his or her retirement may be made only on a year-to-year basis and with specific approval of the Chancellor.

- (c) The Chancellor's authority as stipulated above extends also to the approval of promotions and merit increases having effective dates other than July 1.
- (d) The Chancellor's authority as set forth above extends also to the retroactive approval of appointments, promotions, and merit increases (that is, with the beginning date of service prior to the date of actual approval).

275-80 Review Procedures

The provisions of APM - 220-80-c, -d, -e, -f, -g, -h, -i, -j, and 220-84-b apply to appointees in this series.

275-82 Procedures for Appointment or Reappointment to the Rank of Assistant Professor of Clinical (e.g., *Medicine*)

The general provisions of APM - 220-80, as listed in Section 275-80, apply here. In addition:

- a. The Committee on Academic Personnel shall be consulted in these cases, unless the Chancellor and the Committee on Academic Personnel have explicitly agreed to waive Committee on Academic Personnel review. A review committee shall be appointed if the Chancellor or the Committee on Academic Personnel requests it. On the basis of the recommendations and evidence provided and any additional information obtained, the review committee shall prepare and submit its comments and recommendation to the Chancellor.
- b. The final decision is made by the Chancellor. The Chancellor shall give written notification to the candidate of the final decision concerning the candidate's appointment or reappointment. The ending date of an appointment or reappointment shall be clearly shown on the appropriate campus approval document that effects the action.
- c. The Chancellor shall inform the Assistant Professor of Clinical (e.g., *Medicine*) in writing of the nature and conditions of the appointment or reappointment.

275-83 Procedure for the Formal Appraisal of an Assistant Professor of Clinical (e.g., *Medicine*)

Formal appraisals of Assistant Professors of Clinical (e.g., *Medicine*) shall be made in order to arrive at preliminary assessments of the prospects of candidates for promotion as well as to identify appointees whose records of performance and advancement are below the level of excellence desired for continued membership in the faculty.

The general provisions of APM - 220-80, as listed in APM - 275-80, apply here. In addition:

- a. Normally each Assistant Professor of Clinical (e.g., *Medicine*) shall be appraised well in advance of possible promotion (usually two and one-half years before the anticipated effective date of the promotion). A case of initial appointment from outside the University, with anticipation of promotion within two or three years after appointment, obviously calls for an exception to the general rule. Each Assistant Professor of Clinical (e.g., *Medicine*) shall be appraised no later than the first half of the appointee's sixth year of service in the University with the title Assistant Professor of Clinical (e.g., *Medicine*) or with this title in combination with the titles listed in APM - 133-0-b and -c. Earlier appraisals are permissible. Subject to these guidelines and restrictions, each Chancellor shall establish general schedules and rules for the timing of formal appraisals on the respective campus.

No formal appraisal is required if, prior to the normal occurrence of an appraisal, the Assistant Professor of Clinical (e.g., *Medicine*) is being recommended for promotion to take effect within a year, has given written notice of resignation, or in cases when no appointment beyond the eighth year is contemplated and the individual has been so notified.

- b. Except in situations in which the Chancellor and the Committee on Academic Personnel have explicitly agreed to waive Committee on Academic Personnel Review, the Committee on Academic Personnel shall be consulted in appraisals.

An *ad hoc* review committee shall be appointed if the Chancellor or the Committee on Academic Personnel so determines. On the basis of its study of the case, the review committee shall submit a report to the Chancellor stating whether or not, on the basis of all available information, there is evidence of achievement and promise sufficient to justify the Assistant Professor of Clinical (e.g., *Medicine*)'s continued candidacy for eventual promotion. If the committee finds that the evidence does not justify the continued candidacy, it

shall recommend non-reappointment or terminal appointment consistent with the limitations of service in APM - 133-0. The report of the *ad hoc* committee will then be considered by the Committee on Academic Personnel and the Chancellor. See APM - 220-80-g.

- c. The Chancellor shall make the final determination concerning the outcome of an appraisal, taking into account all the available evidence and the recommendations made in the course of the appraisal.
- d. The Chancellor shall inform the chairperson, through the Dean or Provost, of any decision and of any information or advice resulting from the appraisal that the Chancellor may think helpful to the chairperson or the appointee.

275-84 Procedures for Non-Reappointment of an Assistant Professor of Clinical (e.g., *Medicine*) for Academic Reasons

The general provisions of APM - 220-80, as listed in APM - 275-80, apply here. In addition:

- a. A proposal not to reappoint an Assistant Professor of Clinical (e.g., *Medicine*) may originate with the department chair as a result of departmental review during consideration for reappointment. In this event, the case shall be reviewed in accordance with the provisions of APM - 275-82.
- b. During a review of a formal appraisal, or consideration of reappointment or promotion of an Assistant Professor of Clinical (e.g., *Medicine*), if the Academic Vice Chancellor's (or designee's) preliminary assessment is to make a terminal appointment, is not to reappoint or promote, or is contrary to the departmental recommendation, the department chair and the candidate shall be notified of this in writing by the Academic Vice Chancellor. The candidate also shall be notified of the opportunity to request access to the records placed in the personnel review file subsequent to the departmental review in accordance with APM - 160-20-c. When the candidate is provided copies of such records, the department chair also shall be provided with copies of the extradepartmental records. The candidate and the chair, after appropriate consultation within the department, shall then have the opportunity to respond in writing and to provide additional information and documentation. The candidate may respond either through the department chair or directly to the Academic Vice Chancellor. The personnel review file, as augmented by the added material, shall then be considered in any stage of the review process as designated by the Academic Vice Chancellor before a final decision by the Chancellor is reached. The Chancellor's final decision to

make a terminal appointment, or not to reappoint or promote, shall not be made without the appropriate preliminary assessment notification process and opportunity to respond being provided to the candidate as specified herein.

- c. The Chancellor is responsible for a decision not to reappoint or to make a terminal appointment of an Assistant Professor of Clinical (e.g., *Medicine*). The Chancellor shall, through the Dean or Provost, inform the chairperson of a decision not to reappoint. The Chancellor will provide a written statement to the individual advising of the outcome of the personnel review. Provisions regarding notice requirements are in APM - 275-20-a.
- d. Each Chancellor is authorized to establish guidelines for responding to requests for written statements of reasons for non-reappointment subject to these conditions:
 - (1) No such written statement shall be furnished except in response to a request in writing from the appointee.
 - (2) When a written response is provided, it shall be given by the Chancellor.

275-85 Procedures for Appointment or Promotion to the Rank of Associate Professor of Clinical (e.g., *Medicine*) or Professor of Clinical (e.g., *Medicine*)

The general provisions of APM - 220-80, as listed in APM - 275-80, apply here. In addition:

- a. With a recommendation for promotion, the following information shall be included in the chairperson's detailed statement:
 - (1) the nature and extent of the faculty member's responsibilities in clinical teaching and in supervision of individual students over a specified period of years;
 - (2) the nature and extent of the faculty member's professional competence and activity, creative achievement, University and public service; and,
 - (3) current biographical and bibliographical information.
- b. An *ad hoc* committee shall be appointed in accordance with the provisions of APM - 220-80-g, and it shall carry out its duties as therein specified.

- c. The Chancellor makes the decision regarding appropriate action on the basis of the accumulated evidence and recommendations and in accordance with the provisions of APM - 220-80-g, -h, -i, and -j.
- d. The Chancellor is authorized to approve above-scale salaries up to and including the Regental compensation threshold.

In a case involving initial appointment or advancement to above-scale salary beyond the Regental compensation threshold (see Section 101.2(a)(1) of the Standing Orders of The Regents), if the Chancellor supports the appointment or advancement, the recommendation shall be sent to the President, with supporting material. If the President endorses the proposal, the President will forward the proposal to The Regents. Upon Regental approval, the President will notify the Chancellor of The Regents' action and the Chancellor will notify the appointee.

275-96 **Reports**

See APM - 200-96.