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Subject: Campus review of proposed revisions to UCD 275 and UCD 220I
Date: Wednesday, April 07, 2010 10:34:29 AM
Attachments: [UCD 275\[1\].doc](#)
[220I.doc](#)
[220IExhA.doc](#)

Dear Colleagues,

Attached for your review and feedback are draft revisions to UCD 275, Professor of Clinical (____) Appointments in the School of Medicine, and UCD220I, School of Medicine: Use of Fractional FTEs for Full-Time Appointments. A brief summary of the proposed changes to each is outlined below.

If you have any feedback regarding these proposed changes, please send it to me by May 7, 2010.

If you have any questions regarding these changes, please contact Renee Korte, Academic Personnel Analyst, at 530-752-6069 or rbkorte@ucdavis.edu.

Sincerely,

Sandi Glithero
Academic Personnel
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UCD 220I, School of Medicine: use of Fractional FTEs for Full-Time Appointments

The name of this policy was changed from School of Medicine to Health Sciences. This

will include the School of Veterinary Medicine and School of Nursing who also use these types of appointments. Including all Health Sciences will insure that all faculty with fractional FTEs understand the requirements for their appointments.

Another change was the removal of the restriction on only allowing clinical departments to use this policy so that other departments may have faculty with a fractional FTE. Office of the President has informed us that this restriction is not necessary.

We have also clarified that the maximum FTE that can be split in a school is ten percent of the FTE not ten.

The sample agreement (Exhibit A) was changed to make it clear that the University is not obligated to increase the tenured appointment if the In Residence position ended or was reduced and the faculty needs to fund the remainder of the appointment.

UCD 275, Professor of Clinical ()

The only revision proposed for UCD-275 is changing the name of this policy from a School of Medicine policy to a Health Sciences policy. This change is needed since the Schools of Veterinary Medicine and Nursing also use this series. This change more appropriately includes the units that use this policy.

Appointment and Promotion

Section 275, Professor of Clinical (___) Appointments in the ~~School of Medicine~~ Health Sciences

Date: 10/28/02

Supersedes: New

Responsible Department: Academic Personnel

Source Document: UC APM-275

275-4 Definition/objectives/expectations for the Professor of Clinical (___) series

The Professor of Clinical (___) series is designed for individuals whose primary interest, expertise, and commitment is in clinical service and teaching. Creative/scholarly activities are required for individuals in this series, but they differ from those required in the regular series in two ways: (1) the amount of time spent in creative work is less in view of the increased responsibilities for clinical service and teaching; and (2) the type of scholarly activity may be focused primarily on integrating/improving clinical care, conducting clinical research studies, and/or improving medical education. A minimum of 20% protected time (from clinical responsibilities) is advised for Professor of Clinical (___) faculty for scholarly and creative activities.

275-10 Accomplishments appropriate for appointment/promotion of Professor of Clinical (___) faculty

- a. Documentation of expectations for Professor of Clinical (___) faculty

In the departmental letter that accompanies the dossier of a candidate for appointment or advancement in the Professor of Clinical (___) series, expectations should be stated explicitly, including the responsibilities and amount of time the candidate has spent (and is expected to spend) in the areas of clinical care, teaching, and creative/scholarly work. These expectations should reflect both the Academic Personnel Manual and the agreed-upon expectations at the time of hire. If the unit, division, or department does not have the resources to support a minimum of 20% protected time for Professor of Clinical (___) faculty to engage in creative activities, then appointment into another series is advised.

For faculty in the Professor of Clinical (___) series, the division of effort and time between teaching, creative/scholarly work, and patient care may vary considerably between candidates and between departments and divisions. For example, some may act primarily as clinician-educators and demonstrate innovation and/or creative accomplishments in education, training techniques, and teaching methods that are disseminated in appropriate venues (i.e., scholarship of education; see paragraph b(3)(a), below). Other appointees to the Professor of Clinical (___) series may have a primary interest working as a clinician-investigator.

- b. Criteria for appointment and advancement

Section APM-275 describes the process/procedures for appointment and promotion of Professor of Clinical (___) faculty. The criteria for advancement are described in APM 210-2. In accordance with these criteria, Professor of Clinical (___) faculty are evaluated for appointment and advancement on the basis of teaching activities, professional (clinical) competence, creative activities, and University and public service.

- 1) Teaching. Faculty in the Professor of Clinical (___) series must demonstrate excellence in teaching. Instruction for the Clinical (___) faculty may include lectures, small group settings, and tutorials (one-on-one instruction); and settings for instruction may be classrooms, wards, or clinics. Teaching efforts should be documented based on a teaching activity record (site, time spent, attendees, type of work). Teaching effectiveness

can be documented by teaching awards; positive evaluations from students, house officers, and peers; invitations to present lectures; and extramural letters. For promotion, teaching excellence must be documented.

- 2) Professional (clinical) competence. A physician in this series must demonstrate clinical competence and be recognized for accomplishment in a focused area of clinical practice. This should be documented by evaluations from peers; by evaluations from housestaff; and by reputation for clinical excellence locally for Assistant Professors, regionally (Northern California) for Associate Professors, and nationally for Full Professors, as measured by patient referrals, extramural letters, and invitations to speak on clinical topics.
- 3) Creative activities. Faculty in this series must demonstrate scholarship and creativity and are judged on the basis of the quality and innovation of their work. For all creative activities, accomplishments must be documented by peer-reviewed publication and/or by dissemination in the medical community and their use at other institutions. Individual contributions to and leadership in collaborative scholarly activities must be documented. Because the amount of time Professor of Clinical (___) faculty have available for creative activities may differ substantially among divisions and departments, the amount of protected time should be documented and scholarly productivity weighed proportionately. However, clinical service and teaching cannot substitute for the lack of creative activity, making it imperative that faculty in this series have protected time for their scholarly work.

Persons in the Clinical (___) series may participate in a variety of creative activities. For promotion to Associate Professor level, the faculty member should document local or regional recognition while promotion to Full Professor level requires national recognition in these activities. Creative activities commonly include the following four categories, which are considered of equal value.

- a) Contributions to innovations in medical education/training. Examples include the development, dissemination, and use by other institutions of innovative educational tools/methods and of new or revised courses/curricula.
- b) Contributions to the improvement or integration of new information into clinical practice. Examples include case reports, clinical review articles, book chapters, development of procedures and techniques, collaborative clinical research programs/studies, applications of new technologies to the clinical setting, and analysis of previously collected data in meta-analyses. Electronic publications are appropriate if they are rigorously peer reviewed. Participation in multi-center clinical trials is an appropriate creative activity for Professor of Clinical (___) faculty if they have demonstrated a contribution to the study by participating in protocol design, data analysis, or preparation of the manuscript/report to the degree that it justifies authorship.
- c) Contributions to the study of community health education, health policy, and health care delivery. Examples include publication of information regarding the development of new health care delivery systems and the published evaluation of the effectiveness of health care delivery systems in improving the health of their constituents.
- d) Contributions to discovery-type research. Professor of Clinical (___) faculty may show evidence of creative activity through either independent research or

collaboration with other research faculty. For example, they may provide unique insights from the clinical perspective in the design of clinical trials or clinical applications of technology from the research laboratory that justify authorship or publication.

- 4) University and public service. Expectations are for Professor of Clinical (___) faculty to provide University and public service similar to faculty with other Academic Senate titles. Work for or with national societies should be recognized and provides evidence of national reputation.

Draft

UC Davis Academic Personnel Manual

Appointment and Promotion

Section UCD-220I, ~~School of Medicine~~Health Sciences: Use of Fractional FTEs for Full-Time Appointments

Date: 6/25/97

Supersedes: 6/25/97

Responsible Department: Academic Personnel

Source Document: UC APM-220 and UCD-220

Exhibit A, Sample Agreement

220I-0. Policy

- a. Within the provisions of ~~Section-APM~~ 220-16-d, the ~~Health Sciences Schools~~School of Medicine may be authorized, subject to the approval of the Chancellor, to make a FULL- TIME University appointment with not less than 50% of the appointment in the regular professorial series and with not less than 50% of base salary provided by General (State) Funds and a corresponding fractional FTE allocated to the position. The remaining portion of the appointment will be in the Professor in Residence series, will be paid from non-General Funds, will not obligate an FTE commitment for that percentage, will not embody a permanent commitment to that appointee, and will be governed by regulations in ~~Section-APM~~ 270 on the Professor in Residence Series.
- b. In accordance with ~~Section-APM~~ 220-16-d, an appointee provided with not less that 50% of base salary from General Funds and covered by a fractional FTE must sign the agreement in Exhibit A.
- c. The University has no responsibility for funding the in Residence portion of these appointments in the absence of non-General Fund sources. When funding for the in Residence portion of a specific appointment is no longer available, that portion of the individual's salary will be paid from a reserve fund of non-General Fund monies for a period not to exceed one year. (See 220I-28-d, below.)

220I-16 Restrictions

- a. ~~This type of appointment shall be restricted to clinical departments.~~
- b. No more than ten percent of the School's complement of regular professorial FTEs shall be available for use in this type of appointment.
- c. An appointment of this type will be made to a specific individual. Upon resignation, retirement, or death of that individual, the General-Funded percentage of the salary and the associated percentage of an FTE provision will revert to Provisions for Recruitment and may not be utilized for another appointment OF THIS KIND without the approval of the Chancellor.
- d. The non-General Funded percentage of the base Professor in Residence salary does not carry any entitlement to space or to academic support. ~~Academic support must be provided by the School from non-General Fund sources to provide equivalence in this respect between appointees having a fixed percentage (not less than 50%) of their base salary provided by General Funds and those having 100% of base salary General Funded. The in Residence portion of the salary must be provided by non General Fund sources.~~

220I-20 Terms of Appointment

- a. The eight-year limit on appointment in a probationary title, as set forth in Section APM-133, shall apply to these appointees in the same manner as to those members of the regular professorial

series receiving 100% of the base salary from General Funds and provided with 1.0 FTE.

- b. Promotion or appointment to the Associate Professor or Professor level of such an appointee will confer tenure for only that portion of the position covered by General Funds.

2201-28 Funding Sources of Retirement, Fringe Benefits, Sabbatical Leave, and Reserve Fund

- a. Use of General Funds for retirement and fringe benefits of these appointees will be limited to the percentage of base salary paid by General Funds. The University shall provide sabbatical pay from General Funds in the same percentage as that provided toward base salary during the years of accrual of sabbatical credit.
- b. In order to provide, as far as possible, equality of terms and conditions of employment for ~~medical~~ faculty with appointments as defined herein, the Health Sciences SchoolsSchool of Medicine will be required to accrue funds from non-General Fund sources (e.g., clinical income) for the non-General Fund percentage of the salary. (This will provide that the full sabbatical payment for the base salary will be available to a fractional appointee in the same manner as to an appointee in the regular professorial series with 1.0 FTE and 100% of base salary from General Funds.) This requirement is separate from, and should not be confused with, the provisions made in the UCD Health SciencesMedical Compensation Plan ~~and Nursingthey are~~ for sabbatical pay, or leave with pay in lieu of sabbatical leave, for the by-~~arrangement-~~agreement portion of the compensation of appointees in the regular professorial series or for appointees in the in Residence series who are compensated entirely from non-General Fund sources. This applies to Veterinary Medicine and Nursing if they are part of an approved compensation plan that includes a by-agreement salary component.
- c. Accrual of the funds for other fringe benefits, e.g., terminal vacation pay, for these academic appointees for the non-General Funds percentage of base salary will be ensured by the campus payroll system.
- d. For each faculty member appointed under the terms and conditions defined herein, the Health Sciences SchoolsSchool of Medicine will establish a reserve fund from non-General Fund sources (e.g., clinical income) sufficient in amount to cover for one year the percentage of the base salary paid from non- General Fund sources. This requirement is separate from provisions made in the UCD Health SciencesMedical Compensation Plan ~~and Nursing they are~~ for a "contingency fund" for the by-~~arrangement-~~agreement portion of the compensation for all appointees who are members of the Medical Compensation Plan. This applies to Veterinary Medicine and Nursing, if they are part of an approved compensation plan that includes a by-agreement salary component.

Sample Agreement

In accepting a FULL-TIME appointment as _____ Professor (____%) and _____ Professor in Residence (____%) in the School of ()~~Medicine~~ at the Davis campus of the University of California, I am aware that ____% of my base salary is being provided by General (State) Funds. I recognize that promotion or appointment to the Associate Professor or Professor level confers tenure for only that portion of my appointment supported by General Funds, and the University is not obligated to increase the percentage of time of the tenured appointment. Thus, a tenured appointment constitutes a commitment on the part of the University of California for payment of only that percentage of my base salary that is provided by General Funds. I recognize that I will need to work with my Department to fund the remainder of my appointment on a yearly basis.

In addition, academic privileges specifically related to the regular ranks professorial series, such as sabbatical leave, will naturally be available to a fractional appointee in the same manner as to an appointee in the regular professorial series with 1.0 FTE. However, the rate at which I realize that other benefits of the appointment, such as credit for University service for various and fringe and retirement benefits accrues will be commensurate with your my total appointment percentage for your base salary in both titles., are to be paid by General Funds and other funds in the same proportion as the funding of my base salary.

Please sign and return this form as an indication of your understanding of these provisions. If you have any questions about this, the ~~School of Medicine,~~ Dean's Office will be glad to assist you.

Signature of Appointee

Date

Signature of Chancellor/Associate Dean

Date