

Guidelines for Joint Academic Appointments between the College of Humanities, Arts and Social Sciences (CHASS), the Graduate School of Education (GSOE), and the School of Public Policy (SPP) at UC Riverside

April 5, 2017

Contents

I. Introduction

II. Principles

III. Recommended Practices for Joint Faculty Appointments

IV. Special Circumstances

A. Junior Faculty

Appendix A: Sample Memorandum of Understanding (MOU) for a Joint Faculty Appointment

I. Introduction

Joint appointments in more than one department can promote multi/interdisciplinary research and education and help faculty interested in such efforts. Joint appointments are commonly split 50%-50% or 75%-25% between units. Appointments may be between departments within a college or between departments from different colleges. A faculty member with appointments in more than one department and, who is knowledgeable of both, can promote collaborations between the units, thus contributing to the cultural diversity of the departments. The faculty may benefit from the ability to better collaborate, teach and advise students in both departments.

This document provides a set of principles and guidelines to help the administration, departments, schools and colleges to make processes related to joint faculty appointments as clear and direct as those for faculty with appointments in a single unit. We are focused on the need to appoint, review, promote, retain, and, in some cases, terminate any tenure-track or tenured faculty member who holds a joint academic appointment. The purpose of these guidelines is to assist in helping faculty members who hold joint appointments to succeed and thrive at Riverside and to avoid difficulties such as the following:

- Departments may have different policies and expectations on the relative time spent on research, teaching and service; and different policies and practices on start-up funds, administrative and technical support, teaching loads, and so on;
- Teaching assignments are more complex;
- Unless there is very careful coordination among the departments, faculty may end up performing additional service beyond what is expected by either department;
- Faculty may have difficulty being considered an integral part of either of the departments in which they have an appointment;
- Faculty may spend a non-trivial amount of time traveling between departments; and perhaps most significantly:
- At the time of tenure, two departments may have to be satisfied, and the norms and requirements of the departments may differ from one another.

II. Principles

The following principles are designed to help faculty members with joint appointments succeed in their academic careers at UC Riverside:

- A. When a joint appointment is created, an MOU between the two units should be written and signed; signatories should include the heads of the units involved as well as the faculty member. This will detail how key procedures related to the faculty member's academic career will be carried out (see Appendix A for a sample MOU). Details should include procedures for academic case review, teaching load, and assignment of department service. In addition, the MOU may address issues pertaining to the "startup package," space, compensation (e.g., summer ninths), and leave practices and policies (e.g., sabbaticals; teaching buy-out policies). The goal should be that the faculty member's obligations across the two units are not greater than those of others who are full-time in their unit.
- B. Units should agree on a single, joint process for preparing academic review cases, especially at times of mid-career appraisals, tenure, promotion, and advancement (Full Professor Step VI and Above Scale) cases. This ensures both units have input on the review, streamlines the process so both units are not independently preparing a case, and reduces the risk of a faculty member getting conflicting feedback from his or her two units.
- C. One unit shall be selected by mutual agreement between the faculty member and the two unit heads as the administrative home in the MOU. The home department will take the lead on academic review cases.
- D. The MOU should also state which unit will handle extramural funds administration (funds may be handled by more than one unit).
- E. Each unit should take steps to help the faculty member become part of the departmental community. This includes full participation in departmental faculty meetings and unit events. (The time spent in such participation, which is likely to be significant, could possibly be offset by reducing other duties required of the faculty member.) The faculty member should be included on regular communications, such as email lists, departmental and unit web pages, and the campus directory (which should identify both units for the faculty member).
- F. Units should work together to ensure jointly appointed faculty members are not excessively burdened and, in total, have comparable access to resources as faculty with single appointments. These resources include mentors, space, equipment, funding, and access to graduate students.
- G. Academic review cases should acknowledge the faculty member's multiple academic commitments and interdisciplinary work. This may entail making special effort to evaluate the work that falls outside of the normal purview of a single discipline. Reviewers for tenure and promotion should be selected carefully, with the goal of identifying scholars who are capable of looking beyond disciplinary

“centers.” In non-traditional, innovative, and cross-disciplinary research, few people grasp or understand the whole picture of the faculty member’s academic agenda. Consequently, the jointly appointed faculty member may be more vulnerable to critique from colleagues across the disciplines in which he or she works. Scholars in a single discipline can be inclined to break down the work into discipline-specific components. Careful choice of reviewers can mitigate these risks.

- H. The jointly appointed faculty member plays an active role in facilitating the effective collaboration of the two units. If the faculty member becomes aware of conflicting procedures regarding his or her appointment, he or she must bring these to the unit heads’ attention in a timely manner. The unit heads will then work together to resolve the conflict and make note of the resolution in the MOU via an addendum.

III. Recommended Practices for Joint Faculty Appointments

A. Recruiting and initial appointment

Joint appointments can be established by the following means:

- Two or more units create a joint appointment, advertise the position, and jointly hire a faculty candidate;
- Two or more units create a joint appointment for a specific faculty candidate through a targeted recruitment and an off-cycle FTE request;
- During a faculty recruitment, a unit learns a faculty candidate wants to hold a joint appointment with another department or school; or
- A current faculty member wants to have part of an appointment in another department or school.

In any of these scenarios, a general plan for the appointment should be agreed to by the cognizant deans’ offices in consultation with the faculty of the relevant departments. An MOU detailing the appointment should be created and agreed to by all parties before the appointment is finalized. The MOU should include:

1. Designation of a home department. One unit shall be selected by mutual agreement between the faculty member and the two unit heads as the administrative home in the MOU. This will help ensure reviews and other administrative tasks are completed in a timely fashion and that nothing falls through the cracks. The home department takes responsibility for notifying the other unit of reviews, preparing/modifying MOUs, and providing opportunities for review and renegotiation of agreements and plans. However, this designation does not release the other unit from its responsibility for providing clear communication with the faculty member and being responsive to issues as they arise. The home department may be changed subsequently if there is good cause and mutual agreement; the dean or deans of the division(s) or college(s) should be asked to advise in the event of disagreements on this issue. Ideally, the chairs of the two units will meet at least annually to discuss the coordination of the joint appointment.
2. Rank and appointment percentage in each unit.
3. Workload. Lay out expectations with regards to the faculty member’s teaching and

service. Make sure the overall demands on the faculty member are reasonable and appropriately balanced in terms of the appointment percentage. Teaching and service assignments should be coordinated between the units. Possibilities for cross-listing courses should be explored. The faculty member should be prepared to participate in both units' faculty meetings. The unit heads will consider all service obligations when making assignments. The goal should be that the faculty member's obligations across the two units are not greater than those of others who are full-time in their unit.

4. Salary scale. If the joint appointment involves different salary scales, the salaries in each unit should be clearly stated. However, if at least 50% of the joint appointment is in a department on the Business/Economics/Engineering faculty salary scale, the faculty member's entire salary will be on the higher scale.
5. Access to resources. Discuss and agree on the faculty member's access to resources in each unit (e.g. office space, administrative support, startup funding, mentoring, and graduate student support). New appointments should receive support from both units in accord with normal departmental/unit practices and such support should be proportional to the faculty member's percentage of appointment.
6. Graduate student admission process. Clarify the faculty member's input into the graduate student admission process in both units.
7. Eligibility for locally-controlled chairs. Clarify the faculty member's eligibility for locally-controlled endowed chairs, should such chairs become available.
8. Allocation of research revenues. If applicable, the units should agree in advance how revenue generated by the faculty member's research will be distributed. Such an agreement should be described in the MOU.
9. Mentoring. Ideally, the units should coordinate their mentoring programs so the faculty member has one mentor who is familiar with interdisciplinary work and can provide sound advice on how to achieve tenure and thrive in two units. Key mentoring issues are:
 - Provide adequate mentoring to all junior faculty, but especially those whose research areas are interdisciplinary. In particular, junior faculty should be given clear guidelines about what is expected and valued by a particular department; for example, they should not be surprised to learn, at the time of their tenure review, that the department does not recognize some publication venues as valuable for tenure. It may be necessary to provide two (or more) mentors to ensure coverage of the different areas in which the faculty member works. Having a mentor who has conducted interdisciplinary research can also be very useful. If a faculty member is heavily involved in a center or institute, it is especially important to provide advice about how to balance work on large team projects with work that establishes a strong individual scientific reputation.
 - Provide particular guidance in navigating funding: somewhat paradoxically, while acquiring funding increasingly calls for interdisciplinary collaboration, most funding still comes from agencies that are known within individual disciplines.
 - A faculty member hired in an interdisciplinary position is more likely to be "first of a kind" in the department. The member may need to establish new research facilities, arrange collaborations with other departments, develop new

courses that are possibly cross-listed in several programs, and train teaching assistants for these courses. Such faculty will have a higher overhead while being more isolated than faculty joining an established area and should be provided adequate support and possibly release time to compensate for this overhead; the same applies to any “first of a kind” junior faculty, but more so for those involved in interdisciplinary research and teaching. Any release time, from either or both units, should be documented so the amount of release time and the duration are known to both units.

- Assure that the feedback provided in reviews is detailed and specific, and provide it in written form, if not adequately addressed in the department letter, as well as conveying it verbally.
- When a faculty member is involved with a center or institute, develop mechanisms that include the participation of representatives from the center/institute in all merit and tenure reviews.

10. Faculty leave without salary: Salary savings, if any, will be split according to the percentage of appointment within each unit.

B. Changes in appointment

Faculty members with joint appointments may wish to change them over the course of their academic career at UC Riverside. Similarly, faculty without joint appointments may wish to establish a joint appointment over the course of their UC Riverside career. Schools/colleges and/or departments/units may also wish to change the terms of the appointment. These changes may arise because of new opportunities, changes in faculty interest and focus, or difficulties in the original joint appointment. Thus, it is important to establish procedures for reviewing and negotiating or renegotiating joint appointments.

The following are recommended practices related to changes in joint appointments:

1. Making changes to a budgeted appointment. The deans’ offices should agree, in advance if possible, on the procedures by which the faculty member can request to change a budgeted joint appointment or create a budgeted joint appointment. Before undergoing the process to make a change, the school or college should consult with the other school or college.
2. Discontinuing an appointment. The deans’ offices should clarify the terms under which a faculty member would be allowed to discontinue a joint appointment. For example, if a review shows a faculty member’s duties or connections to one of his or her departments have weakened, or the faculty member has no sustained interest in the domain of one of the units, the joint appointment arrangement should be considered for discontinuance. The same consultations mentioned in (a) above, should be followed.
3. Faculty right of retreat. If a faculty member holds a tenured appointment in two or more units, it should be clear at the time of appointment if the faculty member has the option of retreating to a 100% appointment in any of the units. When it is not possible for any of the schools or colleges to offer this option, the faculty member should be fully informed about what options are available.
4. Conflict resolution. The deans’ offices should identify the steps the faculty member should follow if he or she experiences concerns about the terms of the appointment

and/or the actions of the departments involved. In general, conflicts should be resolved at the departmental level. If the departments' efforts to resolve the issue prove unsatisfactory, then the deans' offices should become involved. If a dean's office is directly involved in the conflict, the VPAP will assist in resolving the issues. If there are concerns about a faculty member's performance or conduct, the administrator most knowledgeable about the concern should handle the issue. Each dean's office has a responsibility to notify the faculty member's other school or college of disciplinary action toward the jointly appointed faculty member.

C. Review Processes

The following are recommended practices for handling joint appointment faculty reviews:

1. Departmental recommendation. Each department will undertake the review in the normal manner with a letter from the faculty review committee as detailed in C.2 below.
2. Review committee. A faculty review committee will be constituted with balanced representation from each department/unit. The review committee will prepare a summary and preliminary recommendation to be presented to both departments/units. Each department/unit will undertake the review in the normal manner with the letter from the review committee included as part of the review. This document will be treated as a Departmental Ad Hoc Committee report as stated within the procedures of "The Call" for the current year.
3. Faculty members conducting the review should adopt an open-minded stance. They may need to calibrate the metrics for impact and academic success within another discipline, even a closely related one. In addition to the need to evaluate the types of research products—books, journal papers, conference papers, artifacts, and so on—it is also critical to understand the quality of each product. Which conferences are important? Which awards carry the greatest prestige? Which people are the luminaries whose letters of recommendation should be taken most seriously, and which are known to be hypercritical? In tenure cases, there is a great deal of implicit knowledge within a discipline that is taken into account that may be missing in interdisciplinary cases.
4. In requesting letters of recommendation, use wording that specifically asks the letter-writer to evaluate the candidate on the basis of his or her own area of expertise, while recognizing that the candidate has conducted interdisciplinary research. For example, "Dr. X is engaged in interdisciplinary research. S/he holds a joint appointment in the departments/units of X and Y. We invite your consideration of the interdisciplinary nature of Dr. X's work, while recognizing you may be best qualified to review only a portion of his/her scholarly work based on your own area of expertise."
5. Timeline for case preparation. Anticipate that the promotions will take longer to prepare and evaluate than purely disciplinary cases, and plan accordingly. It will take more time to select the review committee, more time to select the outside reviewers, and more time to evaluate the dossier.
6. Departmental votes. If a departmental vote is required, faculty from both

departments need to vote. Both votes will then be reported in the departmental letters.

IV. Special Circumstances

- A. Junior faculty. Special consideration should be taken to ensure junior faculty with joint appointments are properly mentored and understand the criteria for achieving tenure in both departments.
1. For budgeted joint appointments: in the event that the two departments come to different recommendations on the question of tenure, and tenure is subsequently granted, complications in carrying out the appointment can be foreseen. It is likely to be the case that all parties will concur with transfer of the faculty member's affiliation to the favoring department. However, in order that the issue of FTE allocation should not influence the respective deliberations of each department, the candidate's appointment and FTE should continue to be shared between the two departments if tenure is granted. This default action can be altered subsequently, according to existing policies for changing the departmental affiliation of a faculty member.

Enclosure: Appendix A

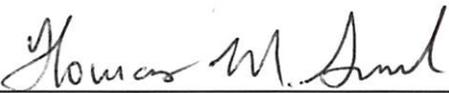
Acknowledged and Agreed

 6/13/17

Anil B. Deolalikar Date
Dean
School of Public Policy

 6/14/17

Milagros Peña Date
Dean
College of Humanities, Arts, and Social Sciences

 6/13/17

Thomas M. Smith Date
Dean
Graduate School of Education

Appendix A: Sample MOU
MEMORANDUM OF UNDERSTANDING FOR JOINT APPOINTEES
BETWEEN THE COLLEGE OF HUMANITIES, ARTS AND SOCIAL
SCIENCES (CHASS), THE GRADUATE SCHOOL OF EDUCATION
(GSOE), AND THE SCHOOL OF PUBLIC POLICY (SPP)

1. The Home Department shall be selected by mutual agreement between the faculty member and the two unit heads and the Secondary Department is assigned by default. The Home Department is designated the administrative home department. If the Home Department cannot provide support to the Joint Appointee, the Secondary Department may provide support in consultation with the Home Department.
 - a. All office space and associated office/equipment and setup needs will be addressed by the Home Department.
 - b. Business and administrative support services will be provided by the Home Department. These services may include travel planning and reimbursement, procurement, and accounts payable, etc.
 - c. The Home Department will serve as the primary fiscal steward responsible for all financial administration of the Joint Appointee's resources to include contract and grant administration and financial reporting.
 - d. Office and/or laboratory renovations beyond initial startup costs will be proportionately charged to each department according to the Joint Appointee's FTE. Each Department must be notified ahead of time before costs are incurred.

2. Salary: If the Joint Appointee's Home Department is on the Business/Economics/Engineering salary scale, and the appointment is at 50% or more, all of the Joint Appointee's salary will remain on the Business/Economics/Engineering scale.

Any salary savings generated remains with the department generating the savings.

3. Teaching
 - a. Course Assignments/Teaching Load
 - i. The normal teaching load is 4 courses per academic year, subject to change by the respective Deans.
 - ii. Teaching assignment will be proportional to appointment (e.g., 50/50 split equals 2 courses per department).
 - iii. The Joint Appointee is responsible for working with both departments in the Spring to ensure teaching assignment for the upcoming year is balanced.
 - iv. Any future teaching assignments will be discussed between the Joint Appointee and the cognizant chairs.
 - b. Course Release/Buyout
 - i. The Joint Appointee may use extramural funds to buyout up to two courses per academic year.

- ii. The Joint Appointee must teach a minimum of one course per department per academic year (excepting sabbatical).
- iii. Buyout requests must be coordinated across both units.
- iv. Buyout Costs:
 - 1) Internal buyout (from other campus departments or units): \$8,000 per course.
 - 2) External buyout (from extramural funding): 10% of 9-month salary and benefits for one course and 25% of 9-month salary and benefits for two courses.
 - 3) Units reserve the right to approve buyout requests at lower rates.
 - a. If a course release or buyout is granted at a negotiated rate, it must be used in the unit in which it was granted.

4. Leave Administration:

- a. Leaves will be approved by both departments prior to the start of the leave.
- b. The Joint Appointee will submit all leave requests to the Home Department who will conduct initial review, obtain clarification (if needed), and forward a copy of the request to the Secondary Department. After both Chairs and Deans have reviewed the request, the Home Department will issue the final response to the Joint Appointee.
- c. Salary savings, if any, will be split according to the percentage of appointment within each department.
- d. Each department is independently responsible for addressing their department's teaching accommodations.
- e. Sabbatical Leaves – Teaching Implications*:
 - i. One sabbatical quarter = 1 course release
 - ii. Two sabbatical quarters = 3 course release
 - iii. Full year sabbatical = 4 course release

Note: The use of course releases must be coordinated between departments. A spreadsheet will be used to track course releases and a rotating schedule will be applied, starting with the Home Department. The spreadsheet will be reviewed annually and signed by the Joint Appointee and both Department Chairs.

*GSOE teaching implications are different than stated above. Joint Appointees must coordinate with relevant Deans.

- f. Sabbatical Leave – In Residence: Expected to teach one class and surrender six sabbatical leave credits per quarter. Faculty member may apply for an exception from the VPAP to permit substitution of significant University service for some or the entire teaching/instructional requirement of the in residence sabbatical leave.

5. Fellowships:
 - a. Leaves will be approved by both departments prior to the start of the leave and must be consistent with College/School policy.
 - b. Salary savings, if any, will be split proportionately according to percentage of appointment in each department.
 - c. The use of Sabbatical credits is not required for leaves associated with Fellowships.
6. Active Service-Modified Duties: Duties to be assumed during this period shall be arranged between the Department Chairs and the Joint Appointee.
7. Review of future academic personnel actions: Any future reviews for advancement of the Joint Appointee should be coordinated between all involved departments. The Home Department will take the lead on processing review cases [there is currently discussion regarding a modified review procedure for joint appointees].

Service: The Joint Appointee's departmental committee assignments will be coordinated annually between the two departments during the Spring quarter in preparation for the upcoming academic year. Service in both departments will be expected to be proportionate to the Joint Appointee's FTE in each department. The Joint Appointee should be prepared to participate in both department's faculty meetings. The department chair(s) will consider all service obligations when making assignments.

The Joint Appointee will participate in selection of graduate students in both departments.

8. Start-Up Funds:
 - a. Start-up funds will be managed by the Home Department.
 - b. The Home Department will carry all associated expenses and will provide a reconciliation report on a fiscal year basis to the Secondary Department along with a funding request.
 - c. Expenditure of this funding will be split based on the Joint Appointee's prorated appointment percentage.
 - d. Start-up funds will be available to the Joint Appointee to be drawn down over the first six active years of employment at UCR and may be used toward allowable expenses.
 - e. The Home Department is responsible for ensuring that all expenditures of these funds must be in accordance with University policies, guidelines, and restrictions.
 - f. Any unexpended Start-up funds will be recovered by the departments at the end of the six-year period based on the prorated percentage of the faculty member's appointment.
 - g. A final reconciliation report will be provided by the Home Department to the Secondary Department.

9. Indirect Cost Recovery (ICR) collected at the College/School level will be split as follows:
 - a. 50% will be allocated to the Home Department and 50% will be allocated to the Secondary Department unless another ICR-sharing arrangement has been determined in advance by the relevant departments.
 - b. The Home Department will process a fund transfer and provide a financial report on a fiscal year basis to address the ICR allocation to the Secondary Department.

10. This MOU is at-will and may be modified by mutual consent of authorized officials from CHASS, GSOE, and SPP. This MOU shall become effective upon signature by the authorized officials from CHASS, GSOE, and SPP and will remain in effect until modified or terminated by any one of the partners by mutual consent. In the absence of mutual agreement by the authorized officials from CHASS, GSOE, and SPP this MOU shall continue in perpetuity. This MOU will be reviewed on an annual basis in the Spring prior to the upcoming academic year and may be modified as needed.

11. This MOU defers to the Academic Personnel Manual and Senate Review Procedures, “The Call”, for current policy and guiding regulations.

In case of any issues not resolved by this MOU, every effort will be made to resolve matters according to the guiding principles.

Signatures:

 First Last

 First Last
 Dean
 School/College 1

 First Last
 Dean
 School/College 2

Cc: Vice Provost for Academic Personnel
 CFAOs
 FOMs