

5.

Retirement, Leaves, Vacations, and Holidays

Professorial Faculty Retirement Options

Federal law eliminated mandatory retirement of university professors on the basis of age after January 1, 1994. The early retirement and half-time options described below are available to all tenured professorial faculty.

All emeritus professors are eligible for the privileges described below.

Any deviations from the procedures specified below require the approval of the Division Chair and the President or Provost.

Privileges of Emeritus Professors

The Divisions are authorized to make the following privileges available to emeritus professors:

1. Provide office space, as space needs and priorities of the Division permit, and provide office support, appropriate to the level of activity of each individual.
2. Provide opportunities for teaching, with or without compensation, by mutual agreement.
3. Provide an emeritus professor who remains active in research on campus and does not receive outside support, annual research support for incidental expenses for telephone, travel, etc., up to \$3,000, for use if needed.
4. Allow emeritus professors to be principal investigators on research grants with the approval of the Division Chair. In this role they will be able to supervise non-academic staff and postdoctoral scholars in their groups. They can be research supervisors of graduate students, as long as an active professorial faculty member ensures the Institute's responsibility to the student by being the advisor of record. In such cases, responsibilities of the advisor of record include general advising, monitoring student progress, meeting with the student at least twice a year, and in most cases, being a member of the thesis advising committee. The research operation, the size of the research group, and the laboratory space made available should be consistent with the aims of the Institute, the priorities of the Division, and the ability of the faculty member.
5. Allow emeritus professors to make reasonable and appropriate charges of their own salary to grants and to receive the funds charged. The effort and associated salary charges for emeritus professors cannot exceed 49% of the most recent full-time equivalent annual base salary earned prior to retirement. Emeritus professors cannot charge their own salary to grants within the first six months of retirement.

In addition to these specific actions, the administration tries to provide significant opportunities for emeritus faculty to be active in Institute and community service.

Overview of Retirement Transition Options

The Institute encourages its professors to retire at an appropriate age. To smooth the path from full duties to retirement, the Institute offers three special transition options to professors who are at least age 62 and who have been full-time faculty members for at least 10 years.

1. A bonus payment of two years' pay, which is reduced if the professor continues to work after age 68, or the time of qualifying for this benefit, whichever is later.
2. A reduction of duties and pay by one half for a period of up to four years. This period is reduced if the professor continues to work full-time after turning age 68, or the time of qualifying for this arrangement, whichever is later.
3. Relief from teaching and committee duties for a period of two years prior to retirement. This option, known as Scholarly Leave, may be taken after age 62, and before turning age 69.

This is just a summary of these transition options, full details may be obtained from the Provost's Office.

Other Information

In addition, the Institute is pledged to help in the following ways:

1. Provide information for faculty approaching retirement age so they can, if they choose, purchase insurance for nursing-home care or for in-home care for themselves and their spouses.
2. Provide information so they can, if they choose, purchase more extensive health insurance to complement what they and their spouses have with the Institute and with Medicare.
3. Provide information about professional services that are available so individuals can seek advice on tax situations faced by faculty considering retirement.

Non-Tenured Faculty

Consideration of age in the retirement of non-tenured faculty members is forbidden by law. A non-tenured faculty member may be terminated upon failure to perform the normal functions of the position or upon failure to conform to the bona fide requirements of the position. However, standards for performance must not be based on, or related to, age.

In light of the above requirements, full-scale reviews at specified periods (as outlined in Chapter 4) will be made of the performance and need for the services of non-tenured faculty with regard to continuation of appointment. The conditions of each review must be age-independent and will include, to the degree appropriate to the category of the appointment, evaluation of competence, productivity, status in the field, continued association with a professorial faculty member, and the Institute's need for and financial support for services in the area.

Resignation

Faculty members who wish to terminate their appointments should address their letters of resignation to the President with copies to the Chair of their Division and to the Provost. Division Chairs should also notify the Provost of any such termination. It will then be the responsibility of the Provost to see that the proper termination forms are prepared. Notification of resignation by faculty with important teaching or research responsibilities should be made before May 15 if the effective date is to be before or at the start of the new academic year.

Scholarly Leave of Absence for Professorial Faculty Members

Active tenured or tenure-track professorial faculty members may request a leave of absence to take advantage of opportunities for continued professional growth and new, or renewed, intellectual achievement through study, research, writing, and travel. Although the Institute has no formal program of sabbatical leaves, it encourages professorial faculty to plan leaves for scholarly purposes at reasonable intervals. Where the Institute approves the plan and purposes of the proposed leave, and if resources are available, the Institute may provide financial assistance up to a maximum of six months of the academic year at full salary. If external funds are available in support of a leave, these are to be considered in determining the Institute's financial assistance.

Proposed scholarly leaves of absence by professorial faculty members must be approved both by the Division Chair and by the Provost. Precise terms for the leave must be specified in writing prior to its approval. Where professorial faculty members receive Institute support during a leave, they assume an obligation to return to the Institute for at least one year after completion of the leave.

For non-tenured assistant and associate professors (i.e., untenured professorial faculty) on scholarly leave for one year or less, the period of leave will count as a part of the probationary period toward tenure as if it were prior service at another institution. Any exceptions to this policy must be mutually agreed to in writing before the leave.

Ordinarily, leaves of absence, whatever the source of funding, may not be for more than one year in length, but exceptions to this rule may be possible in cases involving health, public service, or other special circumstances. Leaves of absences will not be extended beyond two years absent extraordinary circumstances and approval of the Provost.

Tenured or tenure-track professorial faculty members who wish to take leave should apply well ahead of time and through established procedures, in order that they, their Division, and the Institute can make suitable arrangements to take care of their teaching and research duties. Professorial faculty members should also request

leave for an absence of more than three weeks or for an absence of more than three weeks plus one month (if annual vacation is included). It is necessary for faculty members to receive approved leaves of absence to maintain eligibility for coverage under some group insurance plans.

Under certain circumstances, tenured professors who accept permanent positions at other institutions may, at the sole discretion of the Institute, be granted unpaid leaves of absence for one year, potentially renewable for an additional year. Unless otherwise specified in writing, professors on such leaves will have none of the duties or privileges associated with being a Caltech professor other than the opportunity to return to a tenured position at the Institute if they resign their position at the other institution and return to full-time employment at Caltech before their leave ends. The Institute's decision as to whether to grant such a leave will consider factors such as the opportunity costs to Caltech associated with granting a leave (e.g., restrictions on potential searches and the possible tying up of resources while the professor is on leave); the likelihood of the professor returning to Caltech; and the best interests of the Institute. Professors who request such leaves must inform the Institute if their new employer requires that they resign their Caltech faculty position; if so, Caltech will not consider a leave of absence.

As stated in Chapter 7 of this handbook, "Membership in the Caltech faculty involves a commitment that is full time in the most inclusive sense. Each faculty member is expected to accord complete professional loyalty to the Institute, and to arrange outside obligations, financial interests, and activities in such a way that they do not interfere with this primary, overriding commitment." One of the consequences of this statement is that a full-time Caltech professor or research faculty member cannot simultaneously hold a professorial, administrative, or research faculty position, paid or unpaid, at another institution, unless: (1) the conditions described in the previous paragraph hold; (2) the professor has a one-year (or less) appointment at the other institution as a *visiting* professor (or the equivalent; also, see "Off-Campus Teaching" in Chapter 7) or *visiting* researcher; or (3) an exception has been specifically granted by the Provost based on a recommendation by the Division Chair. For any and all exceptions covered by the previous sentence, specific permission to hold such a concurrent appointment at another institution must be requested and approved annually by the relevant Division Chair and the Provost for each such appointment. If the faculty member is given a leave of absence to pursue such a concurrent position, the principles and practices for evaluation and approval of such requests as described earlier in this section will apply (including whether their Caltech salaries will continue in part or in full while they hold such appointments).

Sick Leave

Professorial faculty members on appointments of two or more years duration may take up to six months of paid sick leave in any twelve-month period. At the end of six months of continuous sick leave, the long-term disability plan for those enrolled in it becomes effective. Other members of the faculty may take up to one month paid sick leave in any twelve-month period.

Disability; Child-bearing Leave; Child-Care Leave; Paid Parental Leave

The Institute offers a long-term disability plan, in which members of the faculty may enroll voluntarily. Details are available from the Provost's Office.

Child-bearing leave of up to 4 months with pay is available to female voting faculty members. This leave is intended to cover normal pregnancy and childbirth. If a longer leave is needed because of medical complications, a 6-month extension of leave beyond 4 months can be taken as sick leave (see above).

A tenured or tenure-track professorial faculty member of either sex is entitled to full relief, with pay, from classroom teaching and administrative duties from the date of childbirth or adoption until the end of the first full academic term thereafter. A tenured or tenure-track professorial faculty member of either sex may request a complete release from professorial duties as a leave of absence without pay for the purpose of caring for a newborn or newly adopted infant for up to a period of one year (not counting child-bearing leave) following childbirth or adoption. In addition, all Caltech employees are eligible for family care and medical leave as provided under federal and state law.

Please see Chapter 3 if the birth or adoption of a child occurs during the tenure probationary period.

Non-professorial faculty members are entitled to up to eight (8) weeks of paid parental leave following the birth of an employee's child or the placement of a child with an employee in connection with adoption or foster care. The purpose of paid parental leave is to enable the employee to care for and bond with a newborn or a newly adopted or newly placed child. Paid parental leave may be used during a pregnancy disability leave, but not to exceed a total of 8 weeks. This policy will run concurrently with federal or state mandated leave as applicable.

Vacations and Holidays

Faculty members appointed on a twelve-month basis are entitled to a vacation of one month each calendar year. The Institute encourages its faculty to take a real vacation every year.

New faculty members appointed on an annual basis are entitled to three weeks of vacation after nine months of service; after eleven months of service they are entitled to one month.

Vacation accrual will not exceed a maximum of twenty-one days (one month). Any unexpended vacation will be addressed at the time of resignation, retirement, transfer, or termination consistent with accrual limits.

The following holidays are recognized by the Institute: New Year's Day, Martin Luther King Day, Presidents' Day, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving and the following day, and Christmas. Additional floating holidays and special release days may be designated each year by the President (see the Academic Calendar in the *Caltech Catalog* for these dates). One additional day is allowed as a "personal holiday."