Faculty Review Process:
Appointment, Merit & Promotion

Brian Alldredge, Renee Binder, Jeffrey Critchfield, Tom Kearney, Sunita Mutha, Catherine Waters
http://academicaffairs.ucsf.edu (includes links to UCSF and UCOP official Policies)

https://senate.ucsf.edu/faculty-handbook

Revised 09/06/2019

https://senateserviceportal.ucsf.edu/pmap/all.php
<table>
<thead>
<tr>
<th>HR Shared Services</th>
<th>Academic HR Analyst</th>
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<tbody>
<tr>
<td>Department</td>
<td>Mentor; Chair</td>
</tr>
<tr>
<td>School</td>
<td>Vice/Associate Dean for Academic Affairs</td>
</tr>
<tr>
<td></td>
<td>Dentistry – Sunita Mutha</td>
</tr>
<tr>
<td></td>
<td>Medicine – Elena Fuentes-Afflick, Renee Binder, Paul Garcia</td>
</tr>
<tr>
<td></td>
<td>Nursing – Catherine Waters</td>
</tr>
<tr>
<td></td>
<td>Pharmacy – Thomas Kearney</td>
</tr>
<tr>
<td>Campus</td>
<td>Vice Provost, Academic Affairs – Brian Alldredge</td>
</tr>
<tr>
<td></td>
<td>Assistant Vice Provost – Emerald Light</td>
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</table>
Details all faculty should know

- Series, rank, step
- Salary, covered compensation, sources of $, compensation plan

Responsibilities
- % time research – “protected time”
- % teaching
- % clinical practice
- Service requirements

Support
- Space
- Mentoring
- Equipment, facilities for research
- Administrative/clerical support
- Benefits, parking
UCSF Faculty Appointments

- **Series**
  - 5 - UC is different from most universities

- **Rank**
  - Assistant, Associate, Professor

- **Step**
  - Assistant 1 to 4 (5 and 6 are “special steps”)
  - Associate 1 to 3 (4 and 5 are “special steps”)
  - Professor I to IX and Above Scale
UCSF Faculty Series

- **Academic Senate**
  - Professor – ladder rank – tenure track
  - Professor In Residence
  - Professor of Clinical X

- **Non-Senate**
  - Adjunct Professor
  - Health Sciences Clinical Professor
## Senate and Non-Senate Faculty at UCSF

<table>
<thead>
<tr>
<th></th>
<th>Senate Faculty</th>
<th>Non-Senate Faculty</th>
</tr>
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<tbody>
<tr>
<td>Participation in shared governance</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Service on campus Academic Senate committees</td>
<td>Yes (except P&amp;T)</td>
<td>Yes</td>
</tr>
<tr>
<td>Vote on academic actions</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Participate in UC-sponsored Mortgage Origination Home Loan Program</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>File grievance with Privilege &amp; Tenure Committee</td>
<td>Yes (except dismissal)</td>
<td>No</td>
</tr>
<tr>
<td>Eligible for Professional Development Leave</td>
<td>Yes</td>
<td>Yes</td>
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## What is expected?

<table>
<thead>
<tr>
<th></th>
<th>Ladder-rank</th>
<th>In Residence</th>
<th>Clinical X</th>
<th>Adjunct</th>
<th>HS Clinical</th>
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<tr>
<td>Teaching/mentoring</td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>+*</td>
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<tr>
<td>Research/Creative work</td>
<td>+++</td>
<td>+++</td>
<td>++</td>
<td>++++*</td>
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<tr>
<td>Professional competence</td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>+*</td>
<td>+++</td>
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<tr>
<td>Service</td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>+*</td>
<td>++</td>
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</table>

* One or more areas of review must be +++
# Rules and Privileges

<table>
<thead>
<tr>
<th></th>
<th>Ladder Rank</th>
<th>In Residence</th>
<th>Clinical X</th>
<th>Adjunct</th>
<th>HS Clinical</th>
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<tbody>
<tr>
<td>Tenure/length of</td>
<td>Yes</td>
<td>No/Varies(^1)</td>
<td>No/Yearly</td>
<td>No/Yearly</td>
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<td>Appointment</td>
<td></td>
<td></td>
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<tr>
<td>Senate member</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
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<tr>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Sabbatical/Professional</td>
<td>Yes</td>
<td>Yes(^2)</td>
<td>Yes(^2)</td>
<td>Yes(^3)</td>
<td>Yes(^3)</td>
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<tr>
<td>leave</td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>Appraisal</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No(^4)</td>
<td>No(^4)</td>
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<tr>
<td>8 year rule</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No(^5)</td>
<td>No(^5)</td>
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<tr>
<td>% time</td>
<td>100(^6)</td>
<td>100(^6)</td>
<td>100(^6)</td>
<td>Any</td>
<td>Any</td>
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</table>

\(^1\) appointed without end date at Assoc/Prof level, no tenure  
\(^2\) eligible for professional development leave; \(^3\) may be granted by exception to policy  
\(^4\) available upon request at Department and/or School level  
\(^5\) no 8 year rule at UCSF, but applies at other campuses  
\(^6\) exceptions possible for family needs
Academic Advancement

Criteria (APM)
- Teaching and mentoring
- Research & other creative activities
- Professional competence
- University & public service

Weighting of Criteria
- Series-dependent
- Department-defined

Promotion expectations in clear terms:
- APM-210 “Review & Appraisal Committees”
Academic Review During COVID-19

Senate Faculty: Stop-the-Clock
• For Assistant Professors the 8-year clock has been extended to nine years by default (an automatic 1-year extension) without the need to submit any formal request or justification.
• Faculty need not use the additional year if they are ready for promotion prior to the 9th year.
• Up to 3 stop-the-clocks may be granted

Non-Senate Faculty: Deferment
• At UCSF, non-Senate faculty are not subject to the 8-yr limitation on service at Assistant rank. However, non-Senate faculty may request deferral of academic review.
Academic Review During COVID-19

• At UCSF, there is a long-standing campus practice to take context into account in all academic personnel reviews

• Faculty are encouraged to use CV to document positive contributions related to COVID

• Faculty are encouraged to use the “Candidate Personal Statement” in Advance to address professional and/or personal challenges and/or positive contributions related to COVID

• Examples:
  • Impact of personal illness or caregiving responsibilities
  • Transition to distance instruction (including prep and impact on teaching evaluations)
  • Impact of shelter in place or reduced lab/office occupancy on scholarly/creative activity
  • Conference presentations canceled due to COVID
  • Advocacy, media or social media contributions related to COVID-19
Uploading a Candidate Personal Statement in Advance

1. Navigate to the 'My Packet' tab.
2. Click on the 'Attachments' section.
3. Select 'Candidate Personal Statement' from the list.
4. Click 'Upload' to attach the document.

Questions? Inaccuracies?
Your contact is Betsy Ross, HR Academic.
AdvanceTest@ucsf.edu - (415) 502-2871
Policy Changes for HS Clinical Series

What changed?

• Review criteria for appointment and advancement:
  • APM-278-4: “Health Sciences Clinical professor series faculty engage in scholarly or creative activities which derive from and support their primary responsibilities in clinical teaching and professional and service activities.”
  • The definition of scholarly/creative activities for the HS Clinical series is very broadly defined.

• Current language does not require regional or national reputation
Policy Changes for HS Clinical Series

What types of activities are considered “scholarly or creative” in this series?

• See APM-210-6 – some examples below:
  • Contributions to educational curricula
  • Contributions to community-oriented programs
  • Contributions to administration/supervision of a clinical service or health care facility
  • Contributions to clinical guidelines
  • Contributions to quality improvement programs
  • Contributions to medical or other disciplinary information systems
  • Development of novel mentoring programs
Guidelines for Accelerated Advancement

- **Exceptional performance in one area**
  - Prestigious competitive grant beyond expectations
  - Competitive professional service award for national/international service (e.g., to a discipline, to education, or to diversity, equity and inclusion)
  - Sustained level of outstanding achievement
  - Unusual productivity
  - Extraordinary service – administrative, innovative program, 3 year service on major committee (e.g. IACUC / IRB / Admissions [varies by School])

- **Meet all other expectations for the proposed advancement**
Academic Personnel Review - Promotions

Faculty

Department/HR Shared Services

cv, reference names

ref letters
teach eval
fac vote
Chair letter

ADVANCE

Academic Affairs Vice/Assoc Dean

Dean evaluation

CAP

Recommendation

VPAA

Final Decision

UNIVERSITY OF CALIFORNIA, SAN FRANCISCO
Office of Academic Affairs and Faculty Development and Advancement

CAMPUS COUNCIL ON Faculty Life

National Mentoring Month
ADVANCE

Faculty Information System

• A resource for academic career information
• Online tool to facilitate the appointment, merit and promotion process
• Create custom CV’s for other uses
• NIH Biosketch

Goals

• Reduce the time for the review
• Increase transparency of the appointment/advancement process
• Enable search of faculty data

How? MyAccess.ucsf.edu, Click on Advance

For training:
http://AcademicAffairs.ucsf.edu/Advance/GuidesFaculty.php
Brian K Alldredge (UCSF ID: 020097820)

My academic appointments

Professor of Clinical Pharmacy, Step 8 (Primary 0%)
Clinical Pharmacy

HS Clinical Professor WOS (Joint)
Neurology

What is my next eligible action?
Packets in process.

Questions? Inaccuracies?
Your contact is Jessica Cheng, HR Academic.
Jessica.Cheng@ucsf.edu - (415) 502-4529
Packet tracking page

Brian K Alldredge

Overview  My CV  My Packet  Proxy  For Review

General  Salary  Packet tracking  Academic Leave

Where is my packet?

**Merit effective 07/01/20**

- ✔ Sent to Candidate for academic review materials (03/22/19)
- ✔ Sent to HR Shared Services for processing (04/19/19)
- ✔ Sent for Departmental Review (05/02/19)
- ✔ Sent for Chair for departmental recommendation (07/22/19)
- ___ Sent to HR Shared Services for review
- ___ Sent to Candidate for review
- ___ Sent to AP Specialty Center (Pre-Dean review)
- ___ Sent to Dean for decision
- ___ Sent to AP Specialty Center (Post-Dean)

My packet history

<table>
<thead>
<tr>
<th>Action</th>
<th>Series</th>
<th>Rank</th>
<th>Step</th>
<th>Accel/ Decel</th>
<th>Effective Date</th>
<th>Status</th>
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<tbody>
<tr>
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<td>8</td>
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<td>Merit</td>
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<td>07/01/02</td>
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</table>
Your Promotion Packet Contains:

- CV
- Student/peer teaching evaluations; mentee evaluations
- Letters of evaluation ($\geq 3$ internal and $\geq 3$ external)
  - Not required for most merits
- Faculty vote
  - Not required for most merits
- Departmental recommendation letter
Your CV

- Develop a system for recordkeeping - ADVANCE
- Comply with all department deadlines
- Accuracy and clarity are your responsibility
- The importance of your accomplishments should be clear to those outside of your discipline
- Use descriptive summary text sections wisely (e.g., teaching, clinical activities, research, service summaries; contributions to diversity)
- The “Significant Publications” section provides an opportunity to describe your independent contributions
- Report percentile scores for grants not funded
Letters of Evaluation

- Required for appointment, appraisal, promotion, merit to Prof. Step 6 and Above Scale
- Begin cultivating professional relationships early
- Be strategic in your choices (discuss with mentors, department chair)
- Letters should come from individuals at higher academic rank
- Contact prospective letter writers to gauge their willingness to write a supportive letter
- Your department may request more internal and external letters than is required
Committee on Academic Personnel
When does CAP get involved?

- CAP reviews faculty at **major events**:
  - Appointments above Assistant rank
  - Appraisals
  - Promotion to Associate or Full Professor
  - Change in Series
  - Accelerations (>1 yr and/or consecutive accelerations)
  - Merit advancement to Professor Step VI and to Above Scale
Summary

- Know your series and what is required
- Seek out effective mentors and use them
- Seek collaborators and help when needed
- Be outstanding in teaching, research, professional competence, service
- Seek expert advice in special circumstances
- Use the CV, Candidate Personal Statement and provide input to your Chair (for the departmental letter) so that special circumstances are made clear in your dossier
- Be successful!
Possible Discussion Questions

- Is there a freeze on faculty merits and promotions this year?
- How will merits and promotions be affected because of COVID-19?
- What are the pros/cons of changing faculty tracks (e.g., from HS Clinical to Clinical X or Adjunct to In Residence)?
- How important are publications to my advancement in the HS Clinical series?
- I wonder if I’m a good candidate for accelerated advancement. How should I proceed?
Possible Discussion Questions

- Why does it seem that research productivity requirements vary across departments even when clinical effort is about the same?

- I have received feedback that continuing to publish with more senior colleagues may hinder my promotion because it does not demonstrate "independence." Isn't that idea outdated given the focus on collaborative science?

- I’m concerned that my Chair and/or peers are not supportive of my promotion. What are some considerations?