



## **Executive Summary**

Appointees in the In Residence series are a highly valued component of our faculty. The expectations of these faculty mirror those of faculty in the Ladder Rank (Tenure Track) series. However, there are also distinct differences between these two important faculty series.

In response to a 1995 systemwide Academic Senate report, which included recommendations specific to In Residence faculty, campuses were tasked with developing local procedures governing the recruitment, appointment and termination of In Residence faculty. In February 1999, a joint UCSF Administration-Academic Senate Task Force issued the In Residence Task Force Report, which was amended in 2005 for procedural updates.

In 2020, the vice provost academic affairs (VPAA) convened a new In Residence Task Force (the Task Force) charged with the following:

Propose revisions/updates to the existing report in light of campus experience to date on the interpretation and application of the report, including:

- Clarify/address identified concerns about policy application
- Identify best practices in the application of the report
- Look for commonality in approach across all schools to achieve consistency as appropriate
- Develop/endorse resources (e.g. checklists, FAQs, templates) that facilitate consistent and efficient processes

The Task Force met their charge in multiple ways, including developing templates to ensure consistency in communications to In Residence faculty members across departments and schools, and reinforcing the importance of timely communications between a department chair and faculty member when projections forecast a depletion of salary support.

In addition to revising and updating the report, the Task Force made a number of recommendations to support best practices and facilitate consistency in the application of the policy and processes governing In Residence faculty. These recommendations are found in Appendix B of this report.

Upon adoption and implementation, the 2020 In Residence Task Force Report will supersede prior reports.

## **BACKGROUND**

Reliance on state funds to support faculty positions limited the University's ability to maintain existing programs and to develop new ones. In response, the State agreed that the University could implement a faculty series that has academic equivalency to the Ladder Rank (Tenure Track) series with minimal use of state funding. The In Residence faculty series was developed to fulfill this need. Faculty appointed in the In Residence series are a highly valued component of our faculty, however there are some distinct differences between this series and the Ladder Rank series.

Appointments in the In Residence series are assigned to academically qualified individuals who engage in teaching, research or other creative work, and University and public service to the same extent and at the same level of performance as those holding corresponding titles in the Ladder Rank series in the same department. Professor in Residence titles are intended to be used for individuals supported by non-state funds.

### **History**

In 1995, the systemwide Academic Senate Committee on Academic Personnel (UCAP) submitted a report with recommendations specific to In Residence faculty. The 1995 report elicited a range of comments from the administration and the Academic Senate. UCAP subsequently formed a task force to address these comments. In May 1996, a communication was issued by the University of California Office of the President (UCOP) indicating areas of agreement, possible compromise, and significant disagreement between the recommendations provided by UCAP and the administration. In 1998, the Committee of Vice Chancellors (COVC) agreed with the general terms of the UCAP report and tasked campuses with developing local procedures governing the recruitment, appointment, and termination of In Residence faculty. UCSF convened an In Residence Task Force to evaluate the original recommendations and to propose interim rules for the campus. The UCSF Task Force Report was adopted in 1999 and amended in 2005 for procedural updates.

In 2020, Vice Provost Academic Affairs Brian Alldredge (VPAA) convened a new In Residence Task Force (the Task Force, see Appendix A) charged with the following:

Propose revisions/updates to the existing report in light of campus experience to date on the interpretation and application of the report, including:

- Clarify/address identified concerns about policy application.
- Identify best practices in the application of the report.
- Look for commonality in approach across all schools to achieve consistency as appropriate.
- Develop/endorse resources (e.g. checklists, FAQs, templates) that facilitate consistent and efficient processes.

In addition to revising and updating the 2005 report, the Task Force made a number of recommendations to campus procedures, which can be found in Appendix B of this report.

## Governing Policies

UC systemwide policy governing In Residence faculty is available in the UC Academic Personnel Manual Section 270 ([APM 270](#)). As noted in APM 270-20a.(2)(c), *“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 budgetary reasons, programmatic changes, and/or lack of work.”* This report serves to document that procedure for the UCSF campus.

While this report serves to provide additional clarification and rights for In Residence faculty at UCSF per APM 270, it is not intended to amend or supersede other existing University policies. All University policies should be consulted in their entirety for a fuller understanding of their provisions.

Upon adoption and implementation, this report will supersede any prior reports. Actions that are in process, e.g. a terminal year notification, at the time of the adoption of this report will continue under the terms of the report in effect at the time the action was initiated.

## General Provisions for Appointees in the In Residence Series

- Faculty appointed in the In Residence series do not have tenure.
- In Residence faculty are members of the Academic Senate.
- Per APM 270, appointees in this series must either be a full-time academic employee of the University, with 100 percent of their employment allocated to academic titles, or under exceptional circumstances and with justification be certified by the chancellor that their sole professional commitment is to the University. Generally, appointees generate the funding for their salary from contracts and grants, and/or clinical activities, or receive a salary from an affiliated institution.

For appointees employed solely by UCSF, appointments are typically at 100 percent paid effort, with exceptions allowable for family or health reasons.<sup>1</sup>

Appointees employed and paid by an institution with a formal master affiliation agreement with UCSF may have concomitant appointments at UCSF with paid effort at less than full-time, or without salary, depending on their employment at the affiliate. Affiliates with formal master affiliation agreements with UCSF include, but are not limited to, the Veterans Affairs Medical Center (VAMC) and the Gladstone Institute. Please refer to the Affiliate section of this report for further clarification.

- Appointees are not eligible for sabbatical leaves. At UCSF, appointees are eligible for professional development leaves that can be negotiated with the department chair.

## Assistant Professor In Residence

An appointment at the Assistant rank is given with a specific ending date. Information about the Assistant rank can be found at (APM 270-20-a(2)(a)). The remainder of this report is not applicable to appointees at the Assistant rank.

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<sup>1</sup> See APM 760-29 and the [UCSF Temporary Reduction in Percentage of Time fact sheet](#).

## Associate and Full Professor In Residence

Per APM 270-17b, an appointment to the title of Associate Professor In Residence or Professor In Residence may be made in two ways: with a specific end date; or with no specific end date (“indefinite”). At UCSF, an appointment or advancement to the associate or professor rank shall be made with no specific ending date. At such time, there must be an explicit understanding that the faculty member will be responsible for generating their funding through grants, clinical earnings and/or other sources, and any departmental/school support must be explicitly committed in a formal letter of agreement from the department chair and/or dean.

### Indefinite Appointments

All faculty at the Associate or full Professor rank hold indefinite appointments. An indefinite appointment may be converted to an appointment with an ending date due to budgetary reasons, programmatic changes and/or lack of work.

**Budgetary reasons** include discontinuation of the funding for all or part of a program or project on which the faculty member works and/or from which all or part of their salary is budgeted, resulting in a lack of funds to support their salary at X+X’.

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

**Lack of work** may be caused by a change in the emphasis of an on-going program or project, lack of funds, and/or the termination of an faculty member’s appointment at a hospital, clinic, treatment or care facility, and/or research institution affiliated or associated with the University.

### Establishment of a Terminal Year Appointment (In Residence Faculty Termination Process)<sup>2</sup>

Establishment of a terminal year appointment refers to the process whereby the appointment of an Associate or (full) Professor In Residence is converted from one without an end date (“indefinite appointment”) to an appointment with a specific end date. This process includes a one-year notice period that the faculty member’s appointment in the In Residence series will end, which is referred to as the terminal year appointment.<sup>3</sup>

In the event that salary support at the level of X+X<sup>4</sup> is in jeopardy due to budgetary reasons, programmatic changes and/or lack of work, the department chair shall counsel the faculty member as early as possible regarding the process for establishing a terminal year appointment. The faculty member is encouraged to request a meeting with, and ask questions of, the vice or associate dean for academic affairs at any point during this process including before a Notification of Terminal Year Appointment is issued. Any such meeting does not

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<sup>2</sup> The process of establishing a terminal year appointment described in this Report is not applicable to instances of resignation or dismissal for good cause. Termination of an Appointment prior to the ending date may be only for good cause and is subject to the provisions of Regents Standing Order 103.9.

<sup>3</sup> See Appendix F for a visual overview of the terminal year appointment process.

<sup>4</sup> Definition available in Appendix C.

represent and is not an opportunity to formally appeal the establishment of a terminal year appointment.

Order of Termination:

The order of establishment of terminal year appointments among In Residence faculty members 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. This determination is made by the department or unit head and shall be reviewed by the school vice/associate dean for academic affairs and the vice provost academic affairs. 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.<sup>5</sup>

Salary Support:

If the faculty member does not have available fund sources to support their salary at the level of X+X' for one or more of the reasons mentioned above, the department chair begins the establishment of a terminal year appointment process.

During the terminal year appointment, the department must ensure that the faculty member maintains a paid appointment at 100 percent effort at a salary rate of X+X' for their rank and step. By policy, a faculty member appointed in the In Residence series must hold a 100 percent effort appointment, except as outlined in the General Provisions section above; therefore, a faculty member facing a funding shortfall may not reduce their effort below 100 percent to conserve funds.

For a faculty member who is appointed at less than 100 percent effort because they are paid directly by an affiliate or because they have an approved exception for family or health reasons, the department must ensure that the faculty member maintains an appointment at the percentage effort immediately preceding their shortfall at a salary rate of X+X'. Please see details specific to part-time appointments in the affiliate section of this report. For clarity, the remainder of this section is written using *100% effort* with the understanding that the support discussed would be pro-rated for part-time appointees. If the faculty member has a without-salary appointment, the department is not required to provide salary support during the terminal year.

If a faculty member does not have sufficient funds to support their salary at the level of X+X' for their rank and step, then the department is required to provide salary support to ensure that the faculty member maintains an appointment at 100% effort<sup>6</sup> during the terminal year appointment. At UCSF, two practices have evolved to address how departments meet this requirement: "Day 1/Dollar 1" and "Bank". The Day 1/Dollar 1 approach meets the salary support requirement established in this report while the Bank approach exceeds it.

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<sup>5</sup> Seniority is defined as the number of months of full-time equivalent service with the University.

<sup>6</sup> Or pro-rated for part-time appointees

### Day 1/Dollar 1:

- The Department must only provide enough salary support to help the faculty member maintain 100% effort at the level of X+X' during their terminal year.
- In the event a faculty member loses all (100%) of their funding, the department/school must provide 12 months' full X+X' salary support.

### Bank:

- The Department establishes a bank, thereby making funds available to the faculty member that are equivalent to one year of X+X'.
- The value of the "bank" is established during the first year of use and inflates annually in accord with any UC systemwide range adjustments (i.e., changes to UC salary scales), assuming it is not used entirely during the first year.
- The bank works similar to a line of credit: the faculty member may draw from it as needed. The faculty member may draw it down over one year, several consecutive years, or several non-consecutive years.
- Once the bank funds are exhausted to the point where budget projections indicate that it will be fully depleted within one year, the Notification of Terminal Year Appointment is given and the indefinite end date appointment is converted to a terminal year appointment.
- At the time the Notification of Terminal Year Appointment is given, the department remains obligated to provide 12 months' salary support at X+X' as needed to maintain a salary rate of X+X' at 100% effort. Therefore, accurate accounting projections and timing of the Notification are key.

Not all departments have the resources available, nor the administrative infrastructure to provide the increased financial oversight required of the Bank approach. Therefore, the 2020 In Residence Task Force endorses the continuation of both the Day 1/Dollar 1 and Bank practices as described above provided that each department:<sup>7</sup> (1) establishes which practice will be used, (2) ensures the decision is communicated to faculty, and (3) applies the practice consistently to all faculty for whom a terminal year appointment is established. Refer to Appendix B for additional information on salary support practices.

### Process:

#### 1. Notification of Terminal Year Appointment:

Regardless of the salary support practice chosen by the department, the establishment of a faculty member's Terminal Year Appointment is initiated by the issuance of a Notification of Terminal Year Appointment ("Notification") by the faculty member's department chair.

The beginning date of the terminal year appointment is the date stated in the Notification. The Notification must:

- State the reason for the Notification;

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<sup>7</sup> Or School if one practice will be adopted School-wide.

- State the dates of the terminal year appointment;
- Provide details regarding the salary support that the department will provide during the terminal year as well as the practice (Bank or Day 1/Dollar 1) being followed;
- Inform the faculty member of their right to have the establishment of the terminal year appointment brought to a vote; and
- Inform the faculty member of their right to request a hearing before the UCSF Divisional Privilege and Tenure Committee within 90 days of receiving the Notification of Terminal Year Appointment.

To ensure consistency, the template notification letter in Appendix D should be used by the department.

Upon receipt of a Notification, the faculty member may request in writing a written evaluation of their academic achievements<sup>8</sup>. Such an evaluation will serve to establish for the record an institutional assessment of the faculty member's performance independent of budgetary, programmatic or lack-of-work considerations. The written statement shall be reviewed by the Committee of Academic Personnel (CAP) and shall be given to the faculty member before the appointment end date whenever possible.

## 2. Vote:

Following receipt of a Notification, the faculty member has 14 calendar days to inform the chair if they are requesting that a vote be held. If the faculty member does not respond, a vote will be held. All faculty in the faculty member's academic home department who are at or above the rank of the faculty member may vote with the following exceptions:

1. The faculty member and chair are not entitled to vote.
2. Other decision makers who may hold an appointment in the department are not entitled to vote, e.g. vice/associate dean for academic affairs, dean, viceprovost academic affairs.

See Appendix E for details regarding the vote process.

## 3. Vote Outcome:

If the voting faculty vote in favor of establishment of a terminal year appointment, the In Residence appointment will end on the date noted in the Notification letter unless the conditions in the reinstatement section below are met.

If the voting faculty vote against the establishment of a terminal year appointment, the chair shall notify the faculty member that their indefinite end date appointment is being reinstated. However, in each/any subsequent year that the faculty member does not have funds available

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<sup>8</sup> The Department Chair writes a letter using the format in Advance for the Department Chair Letter. The Vice/Associate Dean, Vice Provost for Academic Affairs and CAP will review this letter and the faculty member's curriculum vitae.

to support their X+X' salary, the eligible department faculty have the right to vote on whether the department should continue supporting the faculty member for another year.

If the faculty vote against establishing a terminal year appointment, then the department must determine a mechanism consistent with prudent financial management to cover the faculty member's salary at the rate of X+X' for their rank and step as well as their expenses (see Contingency Funding Section below).

### **Joint Appointments**

Termination of an appointment in the academic home department results in the automatic termination of any joint appointment(s), *unless* a joint department offers the faculty member a new appointment. If a joint appointment department wishes to retain the faculty member, a new offer letter is required.

### **Faculty Employed by an Affiliate**

This section is specific to faculty who are employed by (paid directly from) an institution with which UCSF has a master affiliation agreement. These include, but are not limited to, the Veterans Affairs Medical Center (VAMC) and the Gladstone Institute. For the purpose of this report, these institutions will be referred to as "affiliates."<sup>9</sup>

As noted in the General Provisions section above, an appointee in the In Residence series must either 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 their sole professional commitment is to the University (APM 270-16a). At UCSF, appointees employed directly by an institution with a master affiliation agreement (e.g., VAMC, Gladstone) are considered to meet this criterion as long as the combination of employment at the affiliate and UCSF totals at least 100% effort.

Faculty employed directly by an affiliate must hold a concurrent UCSF faculty appointment which is directly related to and contingent upon continued employment with the affiliate. The concurrent UCSF appointment may be paid or without salary (WOS). When the terms of employment with the affiliate change, or if the employment ends, faculty must notify their department chair immediately. If the affiliate appointment is terminated or reduced for any reason, UCSF has no obligation to continue the salary support that was paid by the affiliate. The following outlines the conditions for Establishing a Term Appointment for faculty employed by an affiliate.

Resignation or Retirement from an Affiliate: Voluntary resignation or retirement from employment at an affiliate results in resignation from the UCSF faculty appointment. As noted in the Establishment of a Term Appointment section above, the process of establishing a term appointment described in this report is not applicable to instances of

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<sup>9</sup>This section does not apply to faculty who may receive salary support from an outside entity via a professional service agreement or other funding mechanism because the faculty member is solely employed and paid by UCSF, even though the entity may have a formal affiliation with the University.



resignation. Specifically, no departmental support is required, and there is no notification requirement or opportunity for a faculty vote.

Termination by an Affiliate for Lack of Work, Loss of Funding, or Programmatic Change:

Termination from employment at an affiliate does not necessarily result in the termination of the UCSF faculty appointment.<sup>10</sup> However, it may constitute justification for invoking the Establishment of a Term Appointment Process. As noted in the Indefinite Appointment section above, “...*Lack of work may be caused by...the termination of an individual's appointment at a hospital, clinic, treatment or care facility, and/or research institution affiliated or associated with the University.*” In such instances, In Residence terminal notification and opportunity for a faculty vote is required. If the faculty has a paid appointment at UCSF, then departmental salary support may be required during the terminal year. Any *required* salary support shall not exceed the amount/percent of support provided prior to the termination of the affiliate appointment. If the faculty has a without salary appointment at UCSF, then no departmental salary support is required.

Termination by an Affiliate for Cause: In the case of termination for cause (or a termination for misconduct) from an affiliate where the faculty member is paid at 100%, the WOS UCSF faculty appointment would be co-terminus.

Considerations for an ongoing faculty appointment:

At the Department’s discretion, a new UCSF appointment may be considered in cases of resignation, retirement, or termination from an affiliate. The following conditions apply:

- A new offer letter must be provided.
- The terms of an appointment may differ from the original appointment, e.g. paid versus WOS.
- If 100% salary support is not available, then the appointment can no longer be in the In Residence series (per APM 270) and must be made in a different series that allows for appointments at less than 100% effort. A change of series must meet all of the relevant policy requirements such as faculty vote and academic search if applicable.

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<sup>10</sup>Nothing in this Report limits the University’s right to pursue termination for good cause subject to the provisions of Regents Standing Order 103.9 or to pursue termination of an appointment pursuant to an applicable section of the Academic Personnel Manual.

## **Reinstatement to Indefinite Appointment Upon Securing Funding**

Once a Notification of Terminal Year Appointment has been issued, a faculty member may request reinstatement to an In-Residence appointment with an indefinite end date if they are able to secure financial support sufficient to cover the following for three or more years:

- 1) X+X' salary for their rank/step; and
- 2) All necessary research/laboratory expenses and shared departmental expenses consistent with what is required of other faculty in the department/unit.

Chairs are encouraged to consider supporting faculty beyond the end of the terminal year if adequate funding to warrant reinstatement has been secured but not necessarily distributed, depending on available department resources.

The faculty member shall be notified of a reinstatement by a letter signed by all signatories to the Notification of Terminal Year Appointment.

In any subsequent year that the faculty member cannot cover their X+X' salary, the department chair may initiate a new Establishment of Terminal Year Appointment process.

## **Change In Series**

Unless the conditions in the reinstatement section above are met, the faculty appointment will end on the date specified in the Notification letter. An appointment to a different academic series may be considered prior to the end of the terminal year provided that the faculty member meets the criteria of the proposed academic series. All of the relevant policy requirements such as faculty vote and academic search, if applicable, must be met<sup>11</sup>. A new offer letter and the submission of a new packet for academic review are required. If approved, a change in series to a non-Senate series may enable a faculty member to continue in a faculty appointment at a lower percent paid effort (i.e., less than 100 percent) consistent with their available salary support.

## **Grievance Rights**

The faculty member must be informed in the Notification of Terminal Year Appointment that they have 90 days from receipt of the Notification to request a hearing before the UCSF Divisional Privilege and Tenure (P&T) Committee. The P&T Committee shall make every effort to complete the proceedings prior to the faculty member's end date. In the event that this is not possible, the appointment of the In Residence faculty member shall end on the specified end date and the proceedings of the P&T Committee shall continue. The chancellor shall review and consider the recommendation of the P&T Committee and shall render a final decision within thirty (30) days of receipt of the P&T recommendation. If the proposed terminal year appointment is overturned, the faculty member may be reinstated to an appointment with an indefinite end date.

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<sup>11</sup> Per APM 270-16 e. (3), "The Chancellor may approve transfer of an Associate Professor in Residence or a Professor in Residence to other titles, with the individual's consent, the recommendation of the department, and regular academic review."

## **Contingency Funding**

The dean of each school shall ensure that departments with In Residence faculty have a policy for adequate funding to maintain the base salaries ( $X+X'$ ) of In Residence faculty during the potential terminal year of their appointment. However, it is recognized that a department or school should not be held financially liable for situations beyond the University's control and affecting large numbers of In Residence faculty (e.g., closure of an affiliated hospital or research institute).

## **Appendix A. Members of the 2020 In Residence Task Force**

### **Brian Alldredge, PharmD, Chair**

Vice Provost, Academic Affairs

Professor of Clinical Pharmacy, Department of Clinical Pharmacy, School of Pharmacy, and Health Sciences Clinical Professor, Department of Neurology, School of Medicine

### **Michelle Arkin, PhD**

Member at Large

Professor In Residence, Department of Pharmaceutical Chemistry, School of Pharmacy

### **Dan Dohan, PhD**

Member at Large

Professor In Residence, Department of Humanities and Social Sciences, School of Medicine

### **Amy Friedli, JD**

Task Force Facilitation

Office of the Vice Provost Academic Affairs

### **Paul Garcia, MD**

Associate Dean Academic Affairs

Professor of Clinical Neurology, School of Medicine

### **Tom Kearney, PharmD, DABAT, FAACT**

Associate Dean Academic Affairs

Professor of Clinical Pharmacy, School of Pharmacy

### **Cynthia Lynch Leathers, MBA**

Assistant Vice Provost, Strategic Initiatives, Office of the Vice Provost Academic Affairs

### **Shibani Pati, MD, PhD**

Member at Large

Associate Professor In Residence, Department of Laboratory Medicine, School of Medicine

### **Lynn Pulliam, PhD**

Academic Senate Committee on Academic Personnel (CAP)

Professor In Residence, Department of Laboratory Medicine, School of Medicine

### **Nadia Roan, PhD**

Member at Large

Associate Professor In Residence, Department of Urology, School of Medicine

### **Esther Yuh, MD, PhD**

Member at Large

Associate Professor In Residence, Department of Radiology, School of Medicine

### **Elad Ziv, MD**

Academic Senate Committee on Research (COR)

Professor In Residence, Department of Medicine, School of Medicine

## Appendix B. Recommendations by the In Residence Task Force<sup>12</sup>

The following recommendations are offered as important considerations to support best practices and facilitate consistency in the application of the policy and processes governing In Residence faculty.

### **Communication**

Clear communication regarding the terms and conditions applicable to the In Residence series is critical to all prospective In Residence faculty, beginning with communication at the time of appointment or change in series.

The Task Force recommends that the following documents be updated accordingly:

1. **Offer Letter:** The Task Force recommends the addition of the italicized text below to the offer letter template:

You will also be asked to review and sign an Important Points for Discussion form prior to your hire date. Information about the series may also be found in the [Academic Personnel Manual](#) (APM). *Faculty appointed in the In Residence series should review the [2020 UCSF In Residence Task Force Report](#).* Another useful resource (though not official policy) is the *Faculty Handbook for Success, Advancement and Promotion at UCSF*, which may be found at <https://senate.ucsf.edu/faculty-handbook>.

2. **Important Points Checklist:** UCSF requires the inclusion of the “Important Points for Discussion Between Department Chairs/ORU Directors and New Faculty Appointees”<sup>13</sup> document in all appointment and change in series packets. The Task force recommends that that the document be updated to include the following bullet point:

- For faculty with a proposed appointment in the In Residence Series:** Provision of 2020 UCSF In Residence Task Force Report and the opportunity to have questions answered about its content.

### **Documenting the Salary Support Practice**

As noted in the Report, the Task Force endorses the continuation of both the Day 1/Dollar 1 and Bank practices provided that each department:<sup>14</sup> (1) establishes which practice will be used, (2) ensures the decision is communicated to faculty, and (3) applies the practice consistently to all faculty for whom a terminal year appointment is established.

**Recommendation:** The Task Force recommends that the salary support practice adopted by the Department/School be documented in the corresponding Health Science

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<sup>12</sup> Implementation of the Task Force Report is not contingent on these recommendations. Likewise, implementation of these recommendations requires vetting and communication independent of this report.

<sup>13</sup> <https://facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement/Important-Points-for-Discussion-Faculty-Appt.pdf>

<sup>14</sup> Or school if one practice will be adopted school-wide.

Compensation Plan (HSCP) document. The Task Force further recommends:

- If the practice is documented in the HSCP, then any subsequent changes to the salary support practices require faculty consultation in accordance with HSCP revision requirements.
- Template language for the HSCP should be developed by the VPAA, in consultation with the vice and associate deans of academic affairs, to support consistency across schools/departments.
- A faculty member should be subject to the practice in the current HSCP and not the practice in place at the time of hire.
- The chosen salary support practice must be used and applied to all faculty within a given compensation plan consistently.
- Special consideration must be given to In Residence faculty who may not be members of the HSCP, e.g. faculty who are paid by an affiliate, and be documented appropriately.
- For ORUs with their own Health Sciences Compensation Plan:
  - Because ORUs do not have the independent authority to hire, advance, or terminate faculty, In Residence faculty assigned to an ORU must follow the process adopted by their academic home department.
  - Reference to a salary support practice for In Residence faculty should not be included in the ORU's HSCP.
  - The appropriate language from the faculty member's academic home department should be documented in their offer letter.
  - Even though the In Residence process is documented in the academic home department's HSCP, that does not imply that the faculty becomes a member of the department's HSCP if it has previously been established that they are a member of the ORU's HSCP.

**Legacy Clause:**

At the time this report was written, approximately five In Residence faculty were identified who had previously resigned or retired from an affiliate and continued to hold an appointment in the In Residence series at less than 100% paid effort. Such appointments are not in compliance with APM 270 nor the 1999 In Residence Task Force Report.

The 2020 Task Force has developed and documented the appropriate process to prevent faculty from moving to less than 100% paid effort appointments in the In Residence series in the future (see Affiliate section).

**Recommendation:** The Task Force recommends that the identified faculty retain their In Residence appointments until such time as the faculty member is unable to support their salary at their current paid UCSF effort, or when other circumstances warrant that the appointment be ended. The Task Force recommends that these faculty be afforded the process for the Establishment of a Term Appointment including a terminal year

notification, the option for a vote, and proportional salary support during the notice period as applicable.

### **Education for department chairs and administrators**

Department chairs and administrators are expected to fully understand and consistently apply the concepts and processes in the report. The Task Force has identified a number of nuanced topics for which further elaboration would be beneficial to chairs and administrators in meeting this expectation.

Recommendation: The Task Force recommends that education on this report be developed and delivered to department chairs and administrators by the vice and associate deans of academic affairs. Suggested topics include, but are not limited to: approaches to salary renegotiation and exhausting all funding opportunities before initiating the terminal appointment process, guidance for assessing and determining whether the Day 1/Dollar 1 versus Bank approach might best suit a departments needs and resources, implications for faculty who are appointed/paid by an Organized Research Unit (ORU), and considerations for changes in series and provision of support beyond the terminal year.

## **Appendix C. Terms And Relevant Policy Citations**

### **Terms/Definitions<sup>15</sup>:**

X: The approved rate on the Fiscal Year Salary Scale (HSCP Scale 0) for the faculty member's rank and step.

X-prime (X'): The differential between X (Scale 0) and the faculty member's rank and step on their designated HSCP Salary Scale. The HSCP Salary Scale to which a faculty member is assigned is based on teaching, research, and clinical (if applicable) responsibilities.

### **Relevant Policies**

I. UC Academic Policies Relative to Appointments in the In Residence Series

APM 270

APPOINTMENT AND PROMOTION

Professor of (e.g., Psychology) in Residence Series

<https://www.ucop.edu/academic-personnel-programs/files/apm/apm-270.pdf>

II. UCSF Policy on Faculty Voting  
UCSF Division Academic Senate  
APPENDIX IX Standing Rule for Faculty Voting  
<https://senate.ucsf.edu/appendix-IX>

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<sup>15</sup> Excerpted from [APM 670-18b](#).



## Appendix D. Notification Templates

### I. Notification of Term Appointment

[Date]

Dear Faculty Member:

*Day 1/Dollar 1: As was discussed in our meeting on/outlined in the letter dated [XX], you anticipated a lack of funds [or lack of work or programmatic change] to support your salary at X+X' effective [XX].*

**or**

*Bank: As was discussed/outlined in the letter dated [XX], effective [XX], you began to draw down on the departmental commitment of funds equivalent to twelve months of X+X'. Based on our projections on the rate at which you will need departmental support to cover your salary, we anticipate that the departmental support will be depleted by [XX].*

In accordance with Academic Personnel Manual (APM) 270 and the 2020 In Residence Task Force Report, this letter serves as formal notification that the In Residence termination process is being initiated effective [date] and your appointment as a [Associate] Professor In Residence will end on [date].

This letter highlights what our department will do to support you during this period and how you may be able to maintain an appointment with the University. Additionally, it outlines the process going forward and informs you of your rights. If you have questions about this process, please contact me or [the vice/associate dean for academic affairs].

- In accordance with the 2020 In Residence Task Force Report, you are entitled to request that a vote of the Department of [X] faculty be held regarding the decision to establish this terminal year appointment.
- Questions regarding the vote or the vote process may be directed to your vice/associate dean of academic affairs [insert name].
- You may waive the right to such a vote. If you choose to waive your right to a departmental faculty vote, please let me know in writing by [XX]. If you do not respond by [XX], then a vote will be conducted.
- Your salary rate from [effective date] to [end date] will be \$[XX].
- Effective [XX], the Department will provide any funds necessary to ensure that you are able to maintain a 100% effort appointment at the rate of \$[XX], which is the X+X' salary for your rank and step.
  - The sources available to support your salary are:
  - The Department will provide \$[XX] in salary support. The Department's salary support will continue through [end date].
- [Your joint appointment in the Department of [X] will also end on [date].

- If during the twelve-month interval indicated above, you are able to secure satisfactory long-term funding, your appointment may be reinstated with the written concurrence of the vice/associate dean, dean, and the vice provost academic affairs. Satisfactory long-term funding support is defined as a minimum of three years of salary support at the level of X+X', and all necessary research/lab expenses and shared departmental expenses in line with what is required of other faculty in the department/unit.
- Per the 2020 In Residence Task Force Report, you have 90 days from receipt of this Notification to request a hearing before the UCSF Divisional Privilege and Tenure Committee. Please refer to the Report for further information.
- [The department may wish to add language about changing series, increasing the faculty member's clinical load and/or other funding options if feasible and *if* supported by the department.]

As a Professor In Residence, the general responsibilities of your position are as follows: [outline responsibilities and expectations for the terminal notification period].

[Recommended expression of appreciation, for example: I appreciate your many contributions to the Department of XX, as well as your service to UCSF and its community, and regret the circumstances that make this Notification necessary.]

Sincerely,  Department Chair	I concur:  Joint Department Chair if applicable
I concur:  Vice/Associate Dean Academic Affairs	I concur:  Dean
I concur:  Vice Provost Academic Affairs	

cc: Department Manager  
Academic HR Shared Services/Personnel File  
[Joint Department Chair if Applicable]

## **II. Reinstatement Letter Following Acquisition of Funding**

Dear [Faculty Member]:

On [XX] you received a Notification of Terminal Appointment that your appointment as a [Associate] Professor in Residence, Step [X] would end on [XX]. The Notification stated that if during the twelve-month interval indicated above, you are able to secure satisfactory long-term funding, your appointment may be reinstated with the written concurrence of the vice/associate dean, dean and the vice provost academic affairs. Satisfactory long-term funding support is defined as a minimum of three years of salary support at the level of X+X' and all necessary research/lab expenses and shared departmental expenses in line with what is required of other faculty in the department/unit.

You have provided the following details regarding updated sources of funding:

Based on this information, I am writing to inform you that your appointment as [Associate] Professor in Residence, Step [X] has been reinstated effective [date]. Your appointment will be recorded with an indefinite end date. [Include any details regarding reinstatement of a joint appointment if applicable.]

Effective immediately, your responsibilities are: [Include details about responsibilities, work assignments etc.].

I [or chief] am the person to whom you report and with whom you should discuss matters related to your employment in the Department of [XX].

[Recommended expression of appreciation, for example: I appreciate your many contributions to the Department of [XX] and look forward to continuing to work together.]

Sincerely,  Department Chair	I concur:  Joint Department Chair if applicable
I concur:  Vice/Associate Dean Academic Affairs	I concur:  Dean
I concur:  Vice Provost Academic Affairs	

cc: Department Manager  
Academic HR Shared Services/Personnel File  
[Joint Department Chair if Applicable]

## Appendix E. Vote Process and Communication Templates

### Vote Process

The faculty member receives a Notification of Terminal Year Appointment signed by the department chair of their academic home department with written concurrence of the vice/associate dean for academic affairs, the dean, and the vice provost academic affairs. The Notification must inform the faculty member that they are entitled to have the establishment of a terminal year appointment brought to a vote.

- The faculty member has 14 calendar days to either request that a vote be held or waive the right to a vote. A lack of response results in a vote being held.
- It is recommended that if the faculty member does not respond, the chair should reach out to confirm the faculty member's preference regarding a vote.
- To ensure consistency between departments and schools, as well as provide an assurance of confidentiality, the vote is conducted electronically and managed by the dean's office.
- Consistent with the University of California, San Francisco Division of the Academic Senate Rule for Faculty Voting (<https://senate.ucsf.edu/appendix-IX>), the voting faculty consist of all faculty in the faculty member's academic home department who are the rank of the faculty member and above, with the following exceptions:
  - The faculty member and chair/director are not entitled to vote.
  - Other decision makers who may hold an appointment in the department are not entitled to vote, e.g. vice/associate dean for academic affairs, dean, or vice provost academic affairs.
  - If a faculty member holds a joint appointment in another UCSF department, only the eligible faculty in the academic home department may vote; a vote is not conducted in the joint department.
- Both the faculty member and the chair are entitled to present a brief written statement of fact to the voting faculty. The written statements are provided to the voting faculty with the call for a vote.
- The call for a vote must clarify:
  - A "yes" vote is a vote in favor of establishment of a terminal year appointment. The In-Residence appointment will end on the date noted in the Notification letter unless the conditions in the reinstatement section below are met.
  - A "no" vote is a vote against the establishment of a terminal year appointment. The indefinite end date appointment will be reinstated and the department must cover the faculty member's salary at the rate of X+X' for their rank and step as well as their expenses
- The vote remains open for 14 calendar days.
- A simple majority of votes cast determines the vote outcome.
- The only information provided to the faculty member and the voting faculty is whether the recommendation for a terminal year appointment has been upheld.

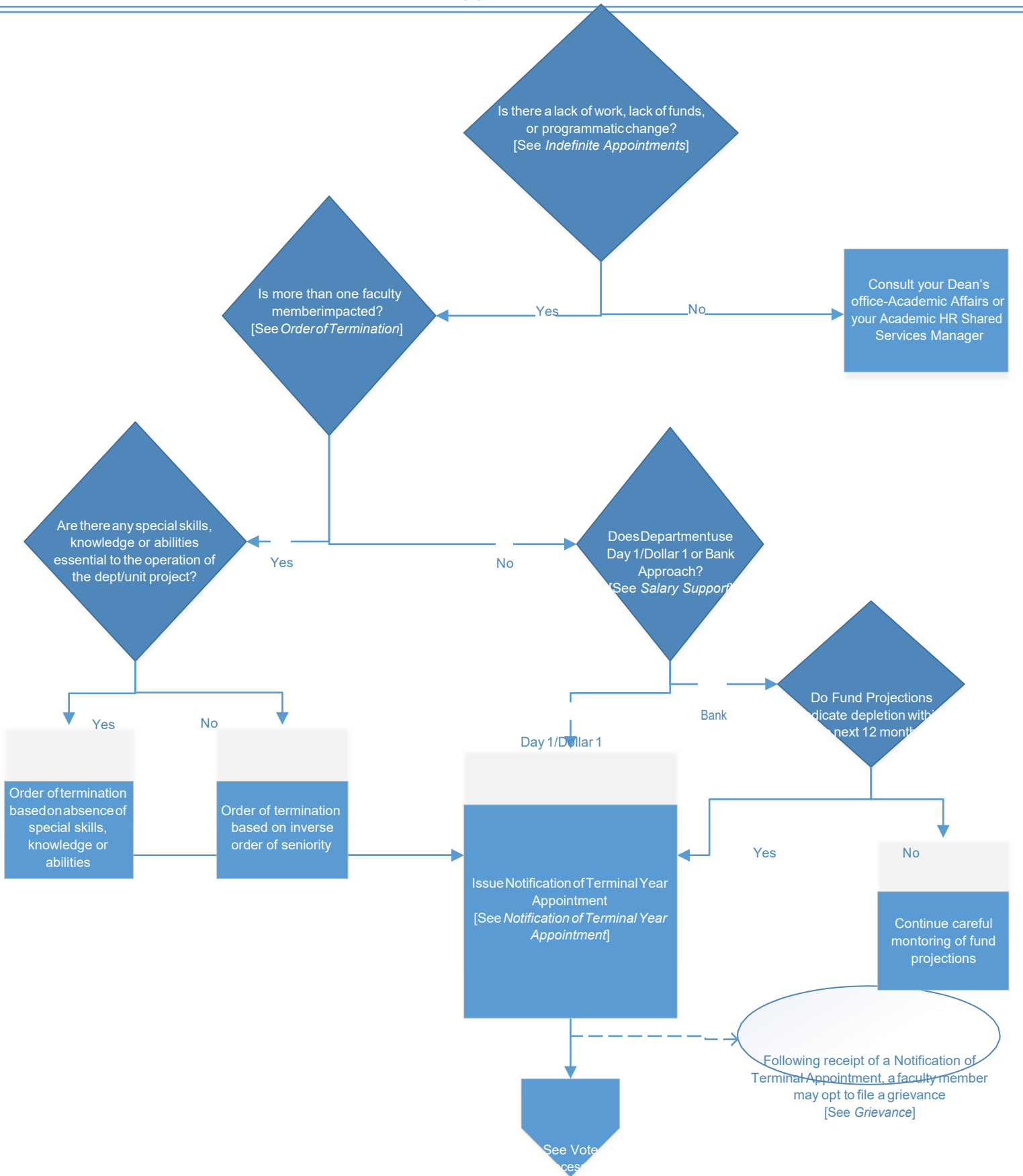
- The dean's office shall retain a record of the vote in aggregate only.
- In the event that the voting faculty do not support the establishment of a terminal year appointment, in each subsequent year that the faculty member cannot cover their X+X' salary the eligible department faculty have the right to vote on whether the department should continue supporting the faculty member's salary for another year. The decision as to whether another vote is held rests with the Chair following consultation with the dean's office and concurrence of the vice/associate dean of academic affairs, the dean, and the vice provost academic affairs.

### **Vote Communication Templates**

Departments are expected to use templates for communicating with faculty regarding the vote process. These templates are available by contacting the VPAA office (Office of Faculty and Academic Affairs):

- A. Confirmation: Vote Will Not Be Held
- B. Confirmation: Vote Will Be Held
- C. Communication to Voting Faculty re: Mechanics of the Vote
- D. Outcome of Vote: Terminal Appointment Upheld
- E. Notification to Voting Faculty
- F. Outcome of Vote: Reinstatement of Appointment Without End Date
- G. Notification to Voting Faculty

# Appendix F: Process for Establishing an In Residence Terminal Year Appointment



This flowchart is provided for the convenience of faculty. It provides a visual representation of a process outlined in the 2020 In Residence Task Force Report. This document is not meant to create new or to amend existing University policies, which should be consulted in their entirety for a fuller understanding of their provisions.

# Appendix F: Process for Establishing an In Residence Terminal Year Appointment

