Faculty Review Process: 
Appointment, Merit & Promotion

Brian Alldredge, Renee Binder, Sandy Feng, Tom Kearney, 
Sunita Mutha, Catherine Waters
Helpful Resources

https://facultyacademicaffairs.ucsf.edu/
(includes links to UCSF and UCOP official Policies)

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

https://senateserviceportal.ucsf.edu/pmap/all.php

Revised
11/10/2020
# People

<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; Vice Chair of Appointments &amp; Promotions</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**
  - Health Sciences Clinical Professor
  - Adjunct Professor
## Senate and Non-Senate Faculty at UCSF

<table>
<thead>
<tr>
<th>Activity</th>
<th>Senate Faculty</th>
<th>Non-Senate Faculty</th>
</tr>
</thead>
<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</td>
<td>Yes (except P&amp;T)</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>
</tr>
<tr>
<td>File grievance with Privilege &amp; Tenure Committee</td>
<td>Yes</td>
<td>No (except dismissal)</td>
</tr>
<tr>
<td>Eligible for Professional Development Leave</td>
<td>Yes</td>
<td>Yes</td>
</tr>
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</table>
# What is expected?

<table>
<thead>
<tr>
<th></th>
<th>Ladder-rank</th>
<th>In Residence</th>
<th>Clinical X</th>
<th>HS Clinical</th>
<th>Adjunct</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Teaching/mentoring</strong></td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>++*</td>
</tr>
<tr>
<td><strong>Research/Creative work</strong></td>
<td>+++</td>
<td>+++</td>
<td>++</td>
<td>+</td>
<td>++++*</td>
</tr>
<tr>
<td><strong>Professional competence</strong></td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>++*</td>
</tr>
<tr>
<td><strong>Service</strong></td>
<td>+++</td>
<td>+++</td>
<td>+++</td>
<td>++</td>
<td>++*</td>
</tr>
</tbody>
</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>HS Clinical</th>
<th>Adjunct</th>
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<tbody>
<tr>
<td>Tenure/length of Appointment</td>
<td>Yes</td>
<td>No/Varies(^1)</td>
<td>No/Yearly</td>
<td>No/Yearly</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>Sabbatical/Professional leave</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>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>
</tr>
<tr>
<td>% time</td>
<td>100(^6)</td>
<td>100(^6)</td>
<td>100(^6)</td>
<td>Any</td>
<td>Any</td>
</tr>
</tbody>
</table>

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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; departmental approval required
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.

Fourth-year Appraisals

- May be delayed on request; not automatically deferred
Academic Review During COVID-19

• **Those who are newly-appointed or have demonstrated satisfactory academic productivity during pre-pandemic periods will continue on a similar trajectory during the pandemic and for a subsequent period, approximately 2 to 3 years.**

• Use the CV to document positive contributions related to COVID

• Use the “Candidate Personal Statement” in Advance to address professional and/or personal challenges and/or positive contributions related to COVID
  • Impact of personal illness or caregiving responsibilities
  • Transition to distance instruction
  • Impact of shelter in place or reduced lab/office occupancy on scholarly/creative activity
  • Increased student mentoring/advising
  • Highlight additional clinical, service, teaching or leadership responsibilities for the institution or community taken on as a result of the pandemic.
ATTENTION: A link to COVID-19 Guidance is available on the My Packet tab for faculty who wish to address any negative impacts or report additional accomplishments related to COVID-19 in their packet.

Brian K Alldredge (UCSF ID: 020097820)

Overview | My CV | My Packet | Proxy | For Review
---|---|---|---|---
General | Salary | Packet tracking | Academic Leave | 

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?

**Merit**, effective 07/01/23

This action is calculated from your current Series, Rank, and Step.
Academic Review During COVID-19

Uploading a Candidate Personal Statement in Advance

1. Attach PDF Document
2. Select Attachment Type
3. Upload
4. Candidate Personal Statement

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
  - Development or oversight of a lecture/seminar series
Contributions to Diversity, Equity & Inclusion

• APM-210-1-d: “…contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.” (2015 revision)

• EQOP has developed guidance for inclusion of DEI efforts and for writing “Contributions to Diversity” statements; many examples provided
  • This guidance is imbedded into Advance

• Inclusion of Contributions to Diversity statements is highly encouraged; presently, there is no campus-wide requirement
  • Schools of Nursing and Pharmacy require these statements
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

See: https://facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement/Criteria-for-Advancement-for-Faculty.pdf
Academic Personnel Review - Promotions

Faculty

cv, reference names

Department/HR Shared Services

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 FacultyLife
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)

Overview  My CV  My Packet  Proxy  For Review

My academic appointments

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

HS Clinical Professor WOS  (Joint)
Neurology

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

What is my next eligible action?

Packets in process.
Packet tracking page

Brian K Alldredge (UCSF ID: 020097820)

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 to 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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<td>Merit</td>
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<td>8</td>
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<tr>
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<td>Full</td>
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<td>Full</td>
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<td>Merit</td>
<td>Clinical</td>
<td>Full</td>
<td>4</td>
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<td>07/01/05</td>
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<td>Full</td>
<td>3</td>
<td></td>
<td>07/01/02</td>
<td>Approve</td>
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</table>
Your Promotion Packet Contains:

- CV
- Student/peer teaching evaluations; mentee evaluations
- Letters of evaluation (≥ 3 internal and ≥ 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
Letters of Reference

- 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 the academic rank you’re going to, or above
- You may wish to 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
- Meet annually with Division Chief or Chair to review progress
- 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

- 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)?
- What are possible ways for Adjunct series faculty to move to the Ladder rank series?
- How important are publications to my advancement in the HS Clinical series?
- How important is clinical productivity 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?

- Can I add additional publications or achievements to my packet after it is submitted?

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