# A Faculty Handbook For Success

Advancement and Promotion at UCSF

UCSF

From the Chair of the UCSF Academic Senate:

On behalf of all new, existing, and future members of the UCSF faculty, I am delighted to introduce the Fourth Edition of the *Faculty Handbook for Success, Advancement, and Promotion at UCSF*. Originally created in 1995, this handbook is the product of individual and collective efforts by many dedicated UCSF faculty and staff. We hope this handbook will help you navigate through the challenges and processes related to a successful academic career. May this information serve you well as you embark on, or continue, a long and rewarding academic career at UCSF.

Sincerely,

Ruth Greenblatt, MD
Professor and Chair, UCSF Academic Senate

Welcome to the *Faculty Handbook for Success, Advancement, and Promotion at UCSF*! This handbook, developed and designed by the UCSF Academic Senate, provides essential information about faculty appointments, advancement and promotion, as well as information about faculty life and campus resources. Whether you are considering joining the UCSF faculty or are already a member, we hope that you will find this information useful in all of your academic endeavors.

An electronic version of this publication may be reviewed and saved from the UCSF Academic Senate Web site at senate.ucsf.edu/faculty-handbook.

This handbook is provided for the convenience of faculty. Among other things, it summarizes and attempts to clarify various University personnel and other related polices that may be of interest to faculty. This handbook 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.

This edition supersedes the 1995, 2005, and 2015 editions of this faculty handbook.

A note about Internet links—
This edition of the *Faculty Handbook for Success, Advancement, and Promotion at UCSF* features addresses to UC, UCSF, and external Websites which provide additional information or access to referenced documents. Appendix V lists these online addresses alphabetically. As is often the case with online content, URLs may change from time to time. If you come across an inactive link, please refer to the online version of this handbook which features the most recent version with up-to-date active links within the body. If you encounter an inactive link, please report it to academic.senate@ucsf.edu.

Introduction to the University of California, San Francisco

The San Francisco Division is the only campus of the University of California dedicated solely to graduate and professional study in the health sciences. Part of the University since 1873, UCSF is known for its scientific discoveries, world-class teaching, and patient care. The schools of Dentistry, Medicine, Nursing, and Pharmacy all award professional doctoral degrees. Additionally, the Graduate Division offers graduate degrees in the biological, biomedical, pharmaceutical, nursing, and social and behavioral sciences.

The Chancellor and the Deans of each professional school and the Graduate Division lead the University of California, San Francisco. Campus administration is divided into three broad offices: an Executive Vice Chancellor with direct oversight for Research and Academic Affairs; a Senior Vice Chancellor for Administration and Finance; and a Vice Chancellor for Planning and Advancement. For more information, see the organization chart at chancellor.ucsf.edu/sites/g/files/tkssra3931/f/ Admin_Campus.pdf.

The UCSF campus is situated primarily on the following seven sites, most of which are linked by a convenient shuttle: Parnassus Heights, Mount Zion, Laurel Heights, Mission Bay, Veteran's Affairs Medical Center, Fresno, and Zuckerberg San Francisco General Hospital and Trauma Center. Additionally, UCSF faculty are located at various clinic sites and other rented space throughout the

city and Bay Area. Campus maps are available online at www.ucsf.edu/about/locations and shuttle schedules can be found at campuslifeserviceshome.ucsf.edu/transportation.

UCSF offers patient care services at five main sites in San Francisco: UCSF Medical Center (Parnassus Heights), UCSF/Mount Zion, Zuckerberg San Francisco General Hospital and Trauma Center, the Veteran's Affairs Medical Center, and the Mission Bay Hospital, which serves women and children, including special units for those battling cancer. That campus also houses a clinical research outpatient facility. UCSF also has several free-standing institutes throughout the City, including the Orthopaedic Institute. It further operates a Medical Education Program in Fresno that offers medical education and training for students, Residents, and Fellows, as well as continuing education opportunities.

Principles of Community

UCSF serves society through four primary missions: teaching, research, patient care, and public service. Thus, criteria for advancement and promotion are directly related to these four criteria. Faculty, staff, and students on the UCSF campus are a composite of many races, nationalities, and social affiliations. To achieve campus goals, individuals must work collaboratively with mutual respect and with forbearance.

Several principles of community life guide individual and group actions on campus. Adherence to these principles is essential to ensure the integrity of the University and to achieve campus goals. UCSF faculty, staff, and students are asked to acknowledge and practice these basic principles of community life:

- We recognize, value, and affirm that our rich diversity contributes to the excellence of the University and enhances the quality of campus life for individuals and groups. We encourage one another to apply our unique talents in creative and collaborative work, take pride in our various achievements and celebrate our differences.
- We reject all acts of discrimination, including, but not limited to those based on race, ethnicity, gender, age, disability, sexual orientation, gender identity/expression, and religious or political beliefs, as affirmed by the UC Diversity Statement. We commit ourselves to fostering an atmosphere of equity and inclusion.
- We are committed to providing a welcoming campus environment where each person can benefit from the highest principles of openness and integrity. As a public university, we are committed to transparency in our dealings so that we may engender trust from all of our stakeholders.
- We affirm the right of freedom of expression within the UCSF community and commit to the highest standards of civility and decency. We are committed to maintaining a community where communication is courteous, sensitive, respectful and never demeaning.
- We will form a campus infrastructure that is responsive to the needs of our community. We have empathy for others, and will establish systems which address the needs of the one and the many.
- We affirm that each member of the campus community is expected to work in accord with these principles and to make individual efforts to enhance the quality of campus life for all.

Acknowledgements

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Of note for this edition, are the efforts of the following committee representatives:

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Member, Committee on Academic Personnel

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1.0 Faculty Appointments at UCSF

Your appointment to the faculty is the first step in your academic career at UCSF. You should be initially appointed into a series that is consistent with your academic background and career goals. As you negotiate with your Department Chair, you should understand the complexity of the academic appointment system, the requirements for advancement and promotion, and the importance of negotiation. Appendix I: Checklist for New Faculty Appointments will help you understand the important points for you to discuss with your Department Chair at the time of your appointment.

Although you may negotiate for a specific faculty appointment level, your appointment is affirmed only after a campus-wide peer and administrative review. Furthermore, depending on your faculty responsibilities, you may need to complete additional administrative requirements before you can begin work. For example, if you will have clinical responsibilities, a separate clinical packet must be endorsed by the Hospital Executive Medical Board, and your California State Licensure must be complete. Your Department Chair or Management Services Officer (MSO) can assist you with these submissions.

Your appointment to the University faculty is comprised of a title that includes your:
- Series, that is, Professor (Ladder Rank), Professor In Residence, Clinical X, Health Sciences Clinical, or Adjunct;
- Rank, that is, Assistant Professor, Associate Professor, or Professor; and
- Step, that is, Step 1, Step 2, Step 3, and so on.

It is important to carefully understand and negotiate your appointed series, as your series does not normally change during your University career. UCSF primarily uses five of the six available faculty series at the University of California: Professor (Ladder Rank), Professor In Residence, Professor of Clinical X, Health Sciences Clinical Professor, and Adjunct Professor. Only faculty appointments to the first three series confer membership in the systemwide Academic Senate, and only appointments in the Professor series lead to tenure. Depending upon its academic focus, each school, in conjunction with its departments, establishes a proportion of faculty appointments in each of the five series. For example, departments with a significant clinical emphasis may include many faculty in the Health Sciences Clinical and Clinical X series, whereas departments with a focus on research may include more faculty in the Professor, Professor In Residence, and Adjunct series. Additional information on changes in series is provided in section 1.5 of this handbook.

Appointments to the three Academic Senate series are generally full time (100% effort). However, these appointments may be less than full time if, on a temporary basis and under certain circumstances, you receive permission from your Department Chair, the school, and the Chancellor, as outlined in the Academic Personnel Manual (APM). For example, under exceptional circumstances, Academic Senate faculty may provide less than 100% effort if the Chancellor certifies that the faculty member's sole professional commitment is to the University. For detailed information, see sections 220, 270, and 275 of the APM. The APM is viewable online through the Office of the President's website (www.ucop.edu).

Your step is not part of your series or rank but rather indicates your stage of advancement. For example, if you are appointed as an Assistant Professor, Step 3, it is anticipated you will be promoted to Associate Professor earlier than someone who was initially appointed as an Assistant Professor, Step 1. However, the eight-year rule applies for faculty in Academic Senate series, regardless of the step at appointment. Steps are discussed further in section 1.4.

1.1 Licenses and Credentials
Licensure and Boards (School of Medicine only)

All faculty with clinical responsibilities must have appropriate licensure by the State of California. Documentation of your licensure should include your license number and the date it was received or renewed. Documentation of your board eligibility and your specialty and subspecialty certification must be submitted and should include your license number (if available) and the date of your certification or recertification. All new faculty in clinical departments are advised to have current licensure and board certification or equivalent.

Hospital Credentialing

All faculty and allied health personnel who have any patient contact must be credentialed by the Executive Medical Board of the hospital(s) at which they will practice prior to initiating any clinical care at UCSF. Hospital credentialing requires a review of your past clinical activities, documentation of continuing medical education, current licensure (including a Drug Enforcement Agency (DEA) number[1]) and board certification, and current licensure by the State of California. Your departmental MSO will guide you in the completion of these documents. You may not assume any clinical responsibilities until your hospital credentialing is complete.

FIGURE 1: PATHWAYS OF THE SERIES AT UCSF

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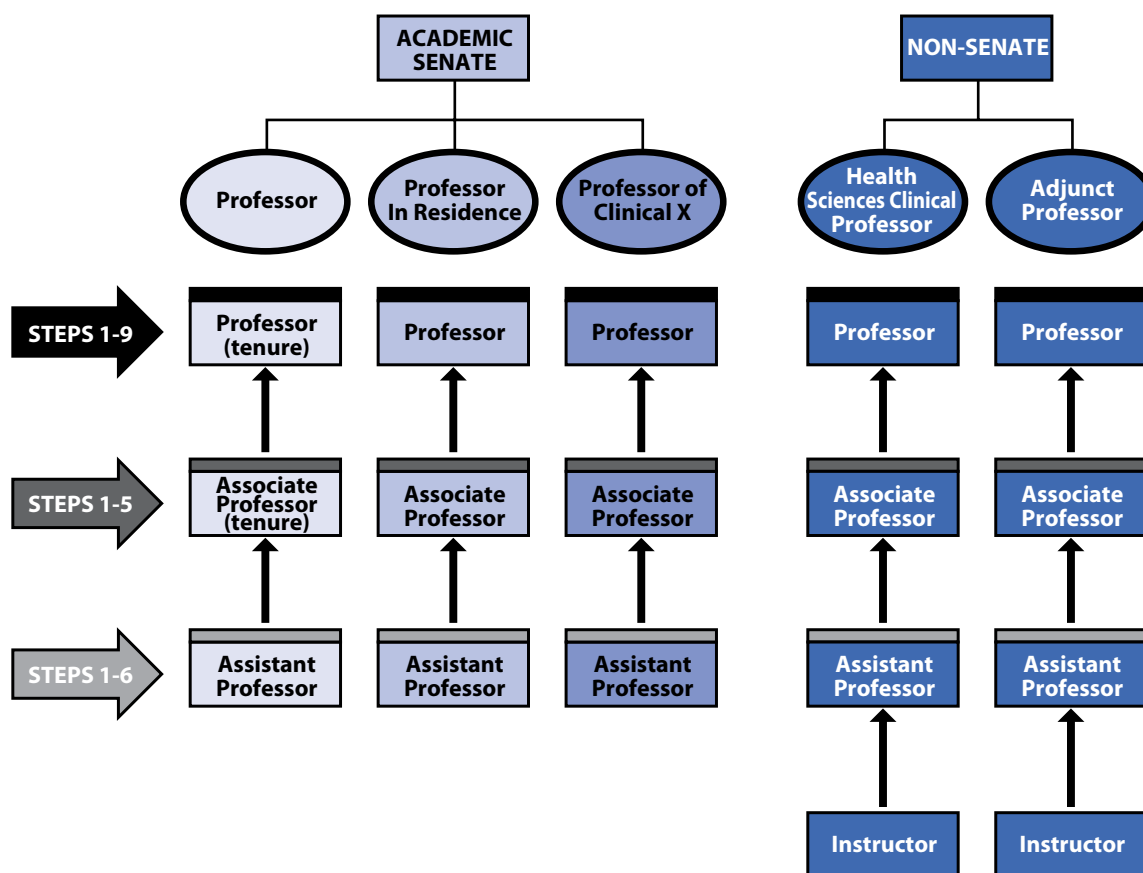
[1] Faculty will not be allowed any patient contact until a DEA number is on record.

1.2   Descriptions of Series

The Academic Senate Committee on Academic Personnel (CAP) and the Office of the Vice Provost, Academic Affairs, and Faculty Development (OVPAAFD) have produced a document titled "Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers." This document is available for download at the Office of Faculty and Academic Affairs website. Descriptions of each series are provided below for the benefit of new UCSF faculty. When communicating externally, however, please refer to the CAP/OVPAAFD document for descriptions of the local series and the activities that need to be addressed in letters of support.

1.2.1   Academic Senate Series: Professor, Professor In Residence, and Professor of Clinical X

1.2.1a Professor (Ladder Rank)

A common misconception is that the Professor (a.k.a. Tenure Track or Ladder Rank), Professor In Residence, and Professor of Clinical X series are identical. Although the criteria for advancement and promotion outlined in the APM are similar, these series have some distinct differences that you should understand. For example, faculty in the Professor series receive a portion of their salary from the State of California in the form of a full-time equivalent (FTE). *Professor series faculty also obtain tenure at the rank of Associate Professor and are eligible for sabbatical leave.* Faculty in the In Residence and Clinical X series never receive University-funded tenure, and they are not entitled to sabbatical leave, although they are eligible for professional development leave. Faculty in the In Residence and Clinical X series are generally self-supporting through clinical and/or extramural funds. Faculty who hold an In Residence or Clinical X appointment at the Associate or Full Professor level may be appointed to a tenured position only after a full academic review.

The University implemented the In Residence and Clinical X series to provide greater programmatic flexibility beyond the traditional faculty position funding formulas, which limited the University's ability to maintain existing programs or develop new ones. In Residence and Clinical X faculty are highly valued and hold position titles that are equivalent to those in the Professor series. Their criteria for advancement and promotion are similar to those for faculty in the Professor series, and they are members of the Academic Senate. Faculty in each of these series must contribute with distinction in the areas of teaching and mentoring, research and/or creative activities, University and public service, and professional competence.

> UCSF is one of the ten campuses of the University of California. The APM sets the minimum University-wide criteria for advancement. Departments may set various standards for appointment and promotion in addition to those set forth in the APM. You are encouraged to contact your Department Chair or Department Promotions Committee to learn more about any additional or more defined criteria.

In the Professor series, a promotion or appointment to Associate Professor requires *national* recognition for independent contributions to research or creative activities and evidence of excellent teaching. Promotion to the rank of Full Professor requires *international* recognition of one's creative activity. Appointees in this series are expected to obtain extramural grant support and/or clinical support throughout their careers. More information may be found in APM 220.

1.2.1b In Residence

In Residence faculty at the Assistant Professor rank have a one-year ending date that may be renewed. Thus, faculty in this series are appointed from year to year based on performance reviews and departmental and programmatic needs until they reach the Associate level. Appointments to the In Residence series at the Associate and Full Professor ranks do not have a fixed end date. However, a department may establish a termed appointment (i.e., an appointment with an end date) for budgetary reasons or because of programmatic changes or a lack of work.

In 2020, UCSF's OVPAAFD convened an In Residence Task Force charged with the following: (1) clarifying and addressing identified concerns about policy application, (2) identifying best practices in the application of the report, (3) looking for a commonality in approach across all schools to achieve consistency as appropriate, and (4) developing and endorsing resources that facilitate consistent and efficient processes. You are encouraged to read the full report, which is included in Appendix II of this handbook, and ask your Department Chair any questions you may have.

More information on the Professor In Residence series can be found in APM 270.

1.2.1c Professor of Clinical X

The University of California established the Clinical X series to recognize outstanding clinician-scholars. Appointees in this series are expected to generate clinical support throughout their careers and are encouraged to obtain extramural grant support as well. Faculty in the Professor of Clinical X series at the Assistant Professor rank have appointments with specified ending dates. Appointments of Clinical X faculty at the Associate and Full Professor ranks may or may not have specified ending dates.

An appointment or promotion to Associate Professor of Clinical X requires distinction in teaching and mentoring, professional competence, and creative activity that involves dissemination. Significant contributions in the areas of creative and scholarly activity must be made and disseminated in, for example, a body of publications, teaching materials used elsewhere, or improvements or innovations in practice adopted elsewhere. Faculty in this series are also expected to achieve regional and national recognition for professional competence, contributions, and service to the profession.

More information on the Clinical X series can be found in APM 275.

1.2.2   Series not in the Academic Senate

Members of the Health Sciences Clinical Professor and Adjunct Professor series are not conferred membership in the systemwide Academic Senate. However, they are represented by and encouraged to participate in the UCSF Academic Senate. The UCSF Academic Senate is continuing to work to change these series' membership status within the systemwide Senate.

1.2.2a Health Sciences Clinical Professor

The Health Sciences Clinical Professor series was established for salaried faculty in the health sciences who primarily teach in clinical programs and participate in patient care but also engage in some scholarly activity. Faculty in this series are an integral part of the University community and are assuming an increasingly important role as the provision of patient care becomes an even more significant component of University activities. Faculty in this series are expected to contribute with distinction in the areas of teaching, mentoring of trainees and junior faculty, University and public service, professional competence, and creative or scholarly activity.

Appointments in this series may be full-time or part-time. Any changes in percent effort require the evaluation of the faculty member's needs together with departmental needs and resources. Because it is frequently difficult to decrease or increase percent effort once a position has been filled, it is important for faculty in this series to carefully negotiate the percent effort at the time of appointment.

Appointment or advancement to Health Sciences Associate Clinical Professor requires continued excellence in clinical activities and in teaching. Recognition for professional competence and contributions as well as service to the profession are also required. Additionally, the candidate's record must demonstrate contributions to scholarly, creative, or administrative activities. For this series, scholarly or creative activities are reviewed from the perspective that these activities are generally derived from clinical teaching and professional service activities. These activities are evaluated in the context of the candidate's academic responsibilities and time available for creative activity. For faculty in this series, contributions to creative activity need not be disseminated nationally for timely advancement. A demonstrated distinction in the special competencies appropriate to the faculty member's field and its characteristic activities is recognized as a criterion for appointment, advancement, and promotion.

Health Sciences Clinical Professors are supported primarily by clinical income. Appointees in this series generally have a one-year term with a fixed end date that is renewable. Faculty in this series are not members of the systemwide Academic Senate.

Effective July 1, 2005, the Clinical Professor series was split into two categories: community practitioners with volunteer clinical appointments (sometimes referred to as without salary (WOS) appointments) and paid faculty, including faculty with appointments up to 100% time (or a combination of appointments at UCSF affiliates, such as the Zuckerberg San Francisco General Hospital and Trauma Center, the Veterans Affairs Medical Center, or the Fresno Medical Center). Faculty in the former category retain the series title Clinical Professor, and faculty in the latter category have appointments in the Health Sciences Clinical Professor Series.

The rank designation in this series falls between "Health Sciences" and "Clinical Professor," as in "Health Sciences Associate Clinical Professor."

1.2.2b Clinical Professor (Volunteer)

The Clinical Professor series and the corresponding title are used for community practitioners who donate their time to the University. This series is governed by APM 279.

1.2.2c Adjunct Professor

The Adjunct Professor series requires excellence in at least one and preferably multiple of the following categories: (1) research and creative work, (2) teaching and mentoring, (3) University and public service, and (4) professional competence and activity. Exceptional achievements in one area may compensate for less activity in another area. In other words, a balance of achievements in all four categories is not required. As with faculty the Health Sciences Clinical Professor series, faculty in the Adjunct series may hold appointments at less than 100% effort. However, any change in the percent effort requires the evaluation of the faculty member's needs together with departmental needs and resources.

If a faculty member in this series transfers to another UC campus, service in this series applies toward the eight-year rule. Commitments to faculty in the Adjunct series (e.g., financial resources, space, administrative support, etc.) are at the discretion of each department. Faculty are encouraged to discuss all issues related to their positions with their Department Chairs before beginning their appointments.

More information related to the Adjunct Professor series may be found in APM 280.

1.2.2d Professional Researcher

The description of the Professional Researcher series set forth in APM 310-4 may appear to be contradictory to systemwide and campus practices. CAP offers the following description to clarify policies and practices regarding the Professional Researcher series.

The Professional Researcher series is used for appointees who engage in independent or collaborative research equivalent to that required for the Professor series. Professional Researchers may or may not be principal investigators. Faculty in the Professional Research series do not have teaching responsibilities.

Advancement in this series requires meritorious contributions in the areas of creative activity and professional competence. Faculty in this series are not required to participate in University and/or public service at the Assistant rank; at the Associate level or above, however, faculty in this series are expected to participate in some form of service.

Individuals who contribute unique and essential expertise to a research program can be appointed in this series. Internal and external letters of reference, including the letter from the Department Chair, written in support of an appointment to or an advancement within this series should describe the candidate's unique and essential contributions to a collaborative research effort if the candidate is not working independently as a principal investigator.

1.2.2e Other Series

Other academic series besides those listed here exist at UCSF. It is important to note that although appointments in these series are *academic* appointments, they are not *faculty* appointments.

TABLE 1: CHARACTERISTICS OF VARIOUS FACULTY SERIES

	PROFESSOR	IN RESIDENCE	CLINICAL X	HEALTH SCIENCES CLINICAL [1]	ADJUNCT
Teaching/Mentoring	Essential	Essential	Essential	Essential	See note[2]
Research/Creative Work	Essential	Essential	Essential[3]	See note[10]	See note[2]
Professional Competence & Activity	Essential	Essential	Essential	Essential	See note[2]
University/Public Service	Essential	Essential	Essential	Important	See note[2]
Appraisal of Achievement & Promise	Yes[4]	Yes[4]	Yes	No	No
Eligible for Tenure	Yes	No	No	No	No
Senate Membership	Yes	Yes	Yes	No	No
Sabbatical Leave	Yes	Other[5]	Other[5]	Other[5]	Other[5]
Limitations on Years of Service	8 Years at Assistant	8 Years at Assistant	8 Years at Assistant	None	None[6]
Percent Time	100%[7]	100%[7]	100%[7]	0-100%	0-100%
Primary Compensation Source	Extramural grants + state FTE	Extramural grants of affiliate sources	Clinical income + extramural grants	Clinical income[11]	Non-state intramural funds & extramural grants
Appointment Length	Open-ended	Open-ended[8]	Termed[9]	Termed	Termed

1 The weightings of the criteria vary between schools and departments.
2 The criteria for promotion of faculty in the Adjunct series can vary depending on the individual's expected role.
3 Faculty in the Clinical X series are expected to have creative achievements; however, these achievements are subject to different criteria from those expected of Professor and In Residence faculty members (APM 210). Creative achievements in this series may be given less weight than teaching and professional competence are.
4 A formal Appraisal of Achievement and Promise is conducted midway through the Assistant Professor years to alert faculty to their likelihood of promotion to Associate Professor and to summarize their academic strengths and weaknesses.
5 Faculty members in the In Residence, Clinical X, Adjunct, and Health Sciences Clinical series are not entitled to state-funded sabbatical leave, but they are eligible for professional development leave. Professional development leave varies among departments.
6 This characteristic applies only at UCSF. If a faculty member in this series transfers to another campus, the eight-year rule is imposed.
7 During limited periods, the percent effort can be decreased with permission from the Department Chair, the School Dean, and the Chancellor. However, the UCSF percent effort must represent the faculty member's total professional commitment.
8 In Residence appointments are only open-ended above the Assistant level level. Faculty appointed after July 1, 2000, do not have an end date, but any In Residence faculty member may be converted to a termed appointment (i.e., an appointment with an end date) for budgetary reasons or because of programmatic changes or a lack of work.
9 Faculty in the Clinical X series have termed appointments (i.e., an end date is specified).
10 Effective July 1, 2018, creative activity is a required element for advancement and promotion in the Health Sciences Clinical Series. This work can be internal and does not need to be disseminated. Please see CAP Communication on HSC Series for more information.
11 Clinical income is not the primary source of compensation for Health Sciences Clinical faculty in the Schools of Nursing and Pharmacy.

1.3 Description of Ranks

Now that you have an overview of the different faculty series used at UCSF, it is important to understand how ranks are determined. UCSF has four academic ranks: **Instructor, Assistant Professor, Associate Professor,** and **Professor**. Most appointments are made at the rank of Assistant Professor, which is generally the entry rank for a junior faculty member.

1.3.1 Instructor

The Instructor rank is not used in the Senate series (i.e., Clinical X, In Residence, and Ladder Rank) at the University of California and is limited to a maximum of two years in other faculty series. It is frequently used in the Adjunct and Health Sciences Clinical series for entry-level appointees who have just completed training or who have limited experience in an academic teaching environment. Junior faculty at the Instructor rank gain additional experience and enhance their creative activity to meet the expectations for advancement to the rank of Assistant Professor. Each series has different appointment criteria, as described above.

1.3.2 Assistant Professor

To be appointed or promoted to the rank of Assistant Professor, you must show promise of achieving stature in your field and fulfilling the criteria applicable to your series. During your appointment to Assistant Professor, you are expected to develop into an excellent teacher and/or clinician and to develop a clear research focus, depending on the criteria for your series. University and public service can be minimal at the Assistant level. You should work closely with your mentor(s) and Department Chair to be certain that you are making appropriate progress and that the time you allocate to different activities (i.e., research, clinical activities, and teaching) is balanced effectively.

1.3.3 Associate Professor

To be appointed or promoted to the rank of Associate Professor, you must exhibit evidence of excellence in all applicable criteria in your series. **Remember that only faculty in the Ladder Rank series obtain tenure at this rank.** In most series, continued professional growth and excellence in teaching are required. If research is a criterion for your series, you must attain national recognition for your independent contributions to research or creative activities. Independence in research is demonstrated by first-authored publications in peer-reviewed journals, independent extramural research funding, and principal investigator status. Faculty in clinical series are expected to make significant contributions in the areas of creative and scholarly activity. Creative activities may include the development of innovative clinical programs or new approaches to disease management. Scholarly activities may include contributions to the literature in the form of papers, chapters, and books that either track or bring new insights to the understanding of disease and its therapy. Faculty at the Associate level must also provide significant service to the profession, including involvement and leadership in professional organizations and societies. Faculty at this rank are expected to serve on departmental, school, and University committees. The criteria for appointment or promotion to Associate Professor are series-dependent and department-defined. You should meet with your Department Chair to discuss the criteria that will be applied to your appointment or advancement.

1.3.4 Professor

Appointment or promotion to the Professor rank requires continued professional growth and

excellence in teaching. In some series, promotion to the Professor rank requires demonstrating *national* and *international* prominence related to research or creative activities. Your creative activities should reflect the same or greater accomplishments as at the Associate level. At the Professor rank, your University and public service, including service to your profession, should be significant and regular. Examples of the level of service required at the Professor rank include participation in school and campus-wide committees, University-wide committees, and professional society committees or offices and serving as a reviewer for national grant funding agencies.

1.3.5   Above Scale

Appointment or advancement to Professor Above Scale is reserved for those faculty who have proven and sustained records of the highest distinction and achievement in their fields. Although its use is uncommon, this category describes advancement beyond the top of the Professorial range (currently Step 9). At this step, intervals between salary increases may be of an indefinite duration and are not normally shorter than four years. Advancement must be justified by new evidence of merit and distinction. The initial above-scale review procedure is documented and processed like a promotion; all subsequent above-scale merits are documented and processed like traditional merit personnel actions.

1.3.6   Off Scale

To preserve the significance and value of the University's rank and step system, salaries are kept on scale to the greatest extent possible. Given the salary flexibility of faculty appointments made to the compensation plan, very few positions at UCSF justify the use of off-scale salaries. A salary is designated as off scale if the salary associated with the rank and step is greater than the published salary scale for the relevant title series. At UCSF, an appointee who is placed at an off-scale salary must be returned to an on-scale salary no later than the second subsequent advancement (i.e., within four to eight years).

Further information regarding UCSF's academic salary scales is available at facultyacademicaffairs. ucsf.edu/academic-personnel/compensation, provided by the Office of Faculty and Academic Personnel.

1.4   Description of Steps

Promotions are based in part on the initial rank and step into which a faculty member is hired. Thus, it is critical to understand the differences between series, ranks, and steps and to *negotiate the appropriate initial appointment relative to your experience and productivity*.

Except for the Instructor rank, each rank has steps that indicate the level of advancement and identify the salary level (and retirement salary) of a faculty member's rank. Although your step is never indicated as part of your public title, it is part of your "official" title at UCSF and is used administratively.

Each step has a corresponding number of standard years until promotion. For example, an Assistant Professor normally spends two years at each step before advancement to the next step. **Accelerated advancement** refers to merit increases or promotions that are awarded one or more years earlier than the normal, on-time schedule for such advancements. Procedures vary depending on the level of acceleration. Advancements that occur after two years at a step at the Assistant level or at Associate Professor Steps 1 through 3 and advancements that occur after three years at

Associate Professor Steps 4 and 5 or Professor Steps 1 through 4 are referred to as **decelerated advancements**[2]. Department Chairs should clearly state in their letters the rationale for any accelerated or decelerated action.

Accelerated advancement is an important form of recognition for faculty who perform at an exceptional level over a sustained period. If you believe that you warrant an accelerated advancement, you should discuss this option with your Department Chair. During times of exceptional productivity, your School Dean can request that you receive a one-year accelerated advancement from the Chancellor without a formal review by CAP.

During your reviews, consideration will be given to the history of your advancement through the steps and promotion through the ranks. For this reason, it is important to demonstrate regular and successful progress. Your Department Chair, mentor(s), and departmental MSO are all knowledgeable about the University's step system and can guide you through the University's policies and procedures regarding promotion.

More information can be found in APM 210, entitled "Appointment and Promotion, Review and Appraisal Committees."

TIMELINE FOR ON-TRACK ADVANCEMENT

Assistants and Associates spend two years at each step. Full Professors spend three years at each step, and may remain at Step 5 indefinitely.

Assistant	Associate	Professor
Step 1		
merit		
Step 2		
merit		
Step 3*		
merit	**Associate**	
Step 4*	**Step 1**	
	merit	
	Step 2	
	merit	
	Step 3**	
		Professor
		Step 1
		Step 2
		Step 3
		Step 4
		Step 5
		Step 6
		Step 7
		Step 8
		Step 9
		Above Scale

Timeline for special steps advancement–Assistant Professor, Steps 5 or 6, or Associate Professor, Steps 4 - 6–please see Figure 3 (page 11).

Faculty may remain at Step 5 indefinitely.

Advancement to Step 6 may occur after a minimum of three years at Step 5.

See APM 220 18 b.(4) for criteria for advancement to Step 6 and Above Scale.

* An Appraisal should be conducted at least two and a half years before the anticipated date of promotion. On-time advancement from Assistant Professor to Associate Professor is calculated based on the step of the initial appointment. Refer to the UCSF Criteria for Advancements.
** At UCSF, on-time advancement from Associate to full Professor is calculated based on the step of the initial appointment or the step at promotion to the Associate rank. Refer to the UCSF Criteria for Advancements.

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2 A decelerated advancement may occur if a faculty member does not submit a packet on time to meet the required deadlines for the timely consideration of advancement or if the Department Chair does not believe that the faculty member is meeting all criteria necessary for timely advancement. A decelerated advancement may also occur after medical or family leave.

FIGURE 3: TIMELINE FOR SPECIAL STEPS ADVANCEMENT

Assistant			
Step 4			
merit			
Step 5*			
merit			
Step 6*			

	Associate		
	Step 1		
	merit		
	Step 2		
	merit		
	Step 3		
	merit	Professor	
	Step 4*		
	merit	**Step 1**	
	Step 5*		
		Step 2	
		Step 3	

> Service time spent in special steps may be partly or entirely in lieu of service at the initial step after a promotion.
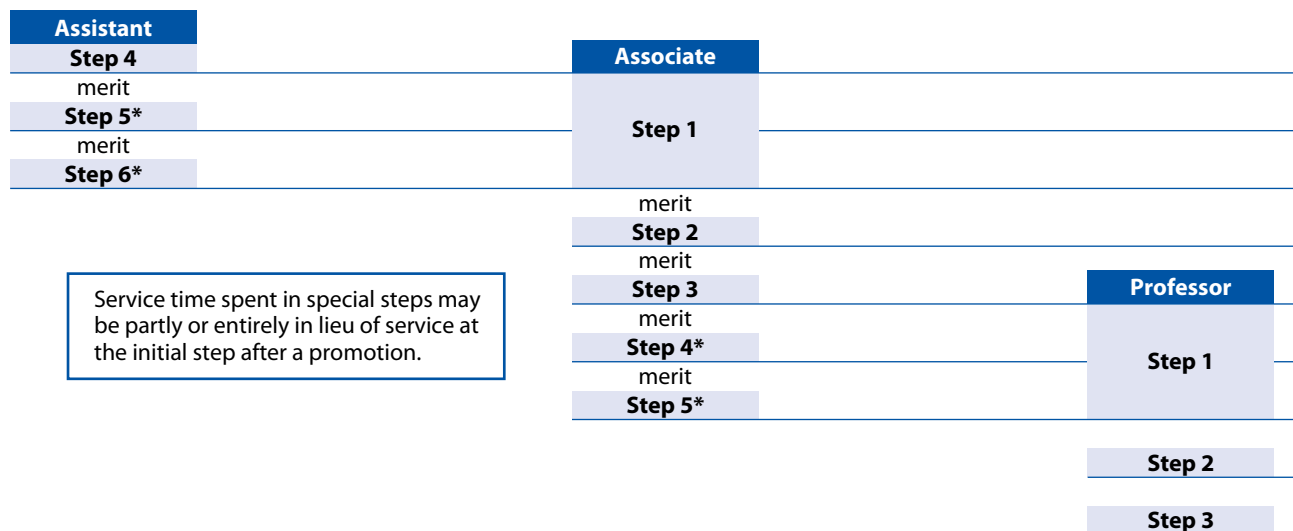
* All promotions from Assistant Step 5 or 6 to the Associate level or from Associate Step 4 or 5 to the Professor level will be considered as on-time rather than decelerated promotions. However, the proposed step must be justified in the Department Chair's letter.

Promotions from these special steps to ranks above either Associate Professor, Step 1 or Full Professor, Step 1 that are proposed by the department must be justified by evidence of performance commensurate with the step proposed. If the candidate's performance and achievement are **not** commensurate with a higher step at the Associate or Full Professor rank, then a promotion to a lower step in the new rank should be considered.

1.5   Changes in Series

At some point in your career, it may be appropriate to consider a **change in series** if the direction of your work changes. For example, you may start as a clinician, but, through scholarly enterprise, you may establish an academic profile that qualifies you for a change from the Health Sciences Clinical series to the Clinical X series. Thus, *you should be knowledgeable of your department's policies regarding changes in series*. Issues such as space, funding sources, and programmatic needs may affect your Department Chair's consideration of requests for changes in series. Because departments may vary in their criteria for such changes, you should ideally negotiate the proper series at the time of your initial appointment. The "correct" or "best" series usually is the one that most closely aligns with your career goals and academic background. Packets submitted for a change in series are identical to those prepared for new appointments.

As of 2004, any UCSF faculty member can initiate a Career Review, which includes a review to determine if a change in series is warranted. Faculty are permitted to undergo one Career Review during their time at UCSF.

2.0 Appointments and Advancement Through the System

When recruiting and appointing a new faculty member, a department first decides which series and rank will fill its programmatic needs. After the search process has identified the best candidate, the department then proceeds with the preparation of an "appointment packet." As emphasized throughout this handbook, your initial appointment into a series can and does impact your evaluations and advancement throughout your University career.

2.1 Tenure

In the context of the academic appointment process at UCSF, tenure is automatically conferred by promotion from the Assistant to the Associate rank for all individuals in the Ladder Rank Professor series. Tenure implies a permanence of position that is guaranteed by the University absent good cause for removal. Situations in which tenure can be lost are articulated in Board of Regents Bylaw 40.3-c. Faculty members in the In Residence, Clinical X, Health Sciences Clinical, or Adjunct series never receive tenure. However, they do advance from the Assistant to the Associate level, and the processes involved in their promotion and many of the criteria for promotion are identical to those for faculty in the Professor series.

2.2 Checklist for New Faculty Appointments

Appendix I of this handbook is an important checklist of items to discuss when a new appointment is negotiated with the Department Chair. New appointees should be sure to cover the following during the appointment process:
- Series of the proposed appointment and information on how it differs from other series in terms of expectations and commitments
- Rank
- Step
- Percent time of appointment
- Total salary
- Base salary
- Compensation type and how it is determined
- Responsibilities of the faculty member related to the compensation plan, if applicable (a copy of the plan should be provided to the candidate)

Regarding the proposed distribution of time:
- Confirm the percentage of protected time for conducting research and creative activities during the first year and discuss expected protected time if the appointment is renewed in the second and third years
- Clarify specific responsibilities for participation in departmental teaching and/or clinical programs
- Set expectations for the approximate percentage of time devoted to teaching and the approximate percentage of time devoted to clinical practice (as applicable)
- Clarify expectations for University and public service (as compared to professional commitments)

Administrative support issues:
- Identify and confirm office space
- Identify and confirm research space (if applicable)
- Identify specific equipment (e.g., computer and other technology) that will be available (if applicable)

- Discuss the nature of administrative support and other resources that will be available (if applicable)

Campus and department orientation, including discussions of:
- Benefits
- Mentoring
- Parking and commuter options
- Library resources
- Information technology resources both within and outside the department

TABLE 2: APPOINTMENT NEGOTIATIONS

	CHAIR NEGOTIATED	REQUIRES FURTHER APPROVAL
Series, rank, and step	X	X
Percent time	X	
Total and base salary	X	X
Compensation type	X	X
Distribution of time – protected time for research	X	
Responsibilities to participate in departmental teaching and/or clinical programs	X	
Amount of time devoted to teaching and clinical duties	X	
Identification and confirmation of office and/or research space	X	
Availability of computer and other technology equipment and information technology resources both in and out of the department	X	
Availability of administrative support and other resources	X	
Benefits	X	
Availability of home loans through the University	X	X
Mentoring	X	
Parking and commuter options	X	
Library resources	X	

Your success as a faculty member at UCSF depends in part on the availability of resources for conducting your academic activities. As mentioned previously, **your future advancement and salary often depend on the negotiations for your initial appointment.** Remember that salary boundaries are dictated by your series, rank, and step and your departmental compensation plan.

During your recruitment, you also must negotiate your starting package with the Department Chair or Division Chief. Your starting package includes the designation of time to conduct your research, teaching, and professional activities; appropriate space for your laboratory; and administrative support. Faculty in the Academic Senate Series (Professor, Professor In Residence, and Clinical X)

are also eligible to apply for University-administered [home loan programs](#). To assist you with your negotiation, you should consider each of the points summarized in the [checklist for new faculty appointments](#) provided by the Department Chair or Division Chief.

The section regarding [Academic Personnel](#) on the Office of the President's website ([www.ucop.edu](#)) includes complete information on the salary scales for the University of California. More information about the University's home loan programs is available in the [Facilities Administration](#) section.

2.3   The University Health Sciences Compensation Plan

Your base salary is directly related to your academic [series](#), [rank](#), and [step](#). In other words, your base salary increases as you advance. At times, your base salary may also be increased by a cost-of-living adjustment made at the UC systemwide level. Your Department Chair does not have the authority to increase your base salary.

The University's Health Sciences Compensation Plan (HSCP) is used by each department to foster a balance between teaching, research, patient care, and other public responsibilities. Individual levels of compensation are established to recruit and retain the faculty necessary to fulfill the University's missions at a level of excellence. Membership in the HSCP is a term and condition of employment at UCSF, as specified in the HSCP.

HSCP members receive a base salary and may be eligible for additional compensation. A faculty member's total compensation is comprised of the base salary (X); a negotiated additional amount of compensation (Y), if appropriate; and incentive or bonus compensation (Z), if appropriate. The base salary is the approved rate on the [Health Sciences Compensation Plan Salary Scale](#) associated with your academic rank and step. Benefits related to the base salary may include health insurance (medical, dental, and vision), employee-paid disability insurance, and employee-paid regular term life insurance. Information regarding these benefits is available online at the [UCSF HR](#) website. The base salary is considered covered compensation for the purposes of the University of California Retirement Plan up to the amount permissible by law.

The component of pay beyond the base, if any, is the negotiated amount of additional compensation known as the **Y-component**. This component is based upon the recommendation of your Department Chair and must be approved by your school's Dean. ***The Y-component may be renegotiated on an annual basis. The Y-component is not considered covered compensation for the purposes of the University of California Retirement Plan.*** Factors that may be considered when determining your negotiated additional compensation include (but are not limited to) academic performance, quality of work, and productivity in the areas of teaching, scholarly activity, clinical activity, research, and service. HSCP members may also earn additional incentive or bonus compensation beyond the base salary and Y-component compensation. This additional incentive or bonus compensation is called the Z-component. A major factor in determining incentive or bonus compensation is revenue generation from consulting, clinical, and other types of revenue-generating professional activity. Your **Z-component** is negotiated with your Department Chair.

Mid-year full-time salary renegotiations of the Y-component are rarely permitted and require approval from the Vice Provost of Academic Affairs (VPAA). A mid-year renegotiation must be associated with a new position or a retention effort to be considered. A Department Chair must submit a written request to their school's Dean of Academic Affairs that details the reasons for the

mid-year renegotiation citing a UCSF faculty search, if applicable, or an external job offer in the case of a retention effort. If the school's Dean of Academic Affairs approves the request, they will forward it to the VPAA for final review and possible approval.

Information regarding the reporting requirements for outside professional activities can be found in your school's approved HSCP. You should request a copy of your school's plan from the Dean. You should also consult APM 025, "Conflict of Commitment and Outside Activities of Faculty Members."

2.4 Advancement

2.4.1 Merit Increases

Merit increases reflect advancement through the **steps** (see section 1.4 for more on steps). Merit increases are not automatic and require review and approval for faculty in all schools by both peers and administrators at different levels of the organization (e.g., the department, school, and campus levels). Normal periods of service are assigned to various steps. Although these periods reflect the usual intervals for advancement, they do not preclude more rapid advancement in the case of exceptional merit or slower advancement when warranted. On-time merits or one-year accelerated increases are not usually reviewed by the Academic Senate's Committee on Academic Personnel (CAP).

2.4.2 Promotion

Promotion marks advancement through the **ranks** (e.g., Assistant Professor to Associate Professor). For more information on ranks, see section 1.3. *Promotions are not automatic.* Reviewers will evaluate your accomplishments and productivity based on the criteria outlined for your series and rank in the APM and as provided by your department. Reviewers are expected to follow the principles of holistic review (see section 2.4.4). *Remember that departmental or divisional criteria may exceed those listed in the* APM. Thus, it is critical that you understand what is expected of you. This information can be obtained from your Department Chair.

The University takes great pride in its academic review process and believes that continuous peer review from appointment through retirement contributes to maintaining faculty excellence. You should know that **the review process for promotion can, at times, take six to nine months**! You can minimize the duration of your review by maintaining and submitting a current, up-to-date Curriculum Vitae (CV) (see Appendix III) that includes a clearly and concisely written summary of your teaching and/or research contributions and by listing accurately all publications that have occurred since your last personnel action. More detailed guidance on preparing your promotion package is provided in section 2.5.

Advancement to Professor, Step 6 and Professor, Above Scale
At the rank of Full Professor (any series), the criteria for advancement to Step 6 and Above Scale are more onerous. Although these advancements are technically merit advancements, Step 6 and Above Scale are barrier steps requiring exceptional distinction, and these advancements are reviewed in similar depth as promotions are.

Faculty may remain at Step 5 for an indeterminate duration and typically may not apply for advancement to Step 6 until after three years at Step 5. The criteria for advancement to Step 6 are set forth in APM 220-18-b.

The normal period of service in each of the first four Professor steps is three years. Service at Step 5 may be of indefinite duration. Advancement to Step 6 usually will not occur until at least three years of service at Step 5 have been completed. This advancement involves an overall career review and is granted upon evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service. Additionally, great academic distinction with national and international recognition* in scholarship or creative achievement or teaching is required. Service at Professor, Step 6 or higher may be of indefinite duration. Advancement from Professor, Step 6 to Step 7, from Step 7 to Step 8, and from Step 8 to Step 9 usually does not occur until at least three years of service at the lower step have been completed and will only be granted upon evidence of continuing achievement at the level required for advancement to Step 6.

Advancement to the Above Scale rank involves an overall career review and is reserved only for the most highly distinguished faculty (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact, (2) whose University teaching performance is excellent, and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur until at least four years at Step 9 have been completed. Moreover, mere length of service and continued good performance at Step 9 is not justification for further salary advancement. A faculty member must demonstrate additional merit and distinction beyond the performance on which advancement to Step 9 was based. A further merit increase in salary for a person already serving at an above-scale salary level must be justified by new evidence of merit and distinction. Continued good service is not an adequate justification. Intervals between such salary increases may be indefinite, and increases at intervals shorter than four years will be approved only in the most superior cases with strong and compelling evidence.

[*International recognition is required for advancement to Step 6. This distinction was erroneously left out of the most recent APM revision, but it remains a criterion for UCSF and the other campuses.]

2.4.3   Criteria for Advancement

Creative Activity
May include the development and dissemination of innovative programs or teaching materials, the enhancement of a service, or system improvements to the organization.

Scholarly Activity
Includes contributions to the literature in the form of manuscripts, chapters, and books; invited lectureships; the development of workshops for national meetings; and the development of new methods, tools, or systems processes.

Research Productivity
Includes the publication of original articles, a track record of independent or collaborative extramural research funding, and principal investigator status.

Teaching Activity
Includes formal classroom lectures as well as teaching in the laboratory or clinical setting. Teaching in continuing education programs is also an important component of teaching activity.

Mentoring Activity
Includes longer-term relationships with students or colleagues that support their professional development and promote excellence in teaching and learning, research, and academic leadership. See section 2.6 for more information.

Public Service
Includes departmental, school, and University committee service as well as service to national academic societies, governmental agencies, and the local community.

2.4.4   Holistic Review

UCSF has long followed the principles of a holistic approach to its review process. Thus, reviewers are instructed to apply flexible academic standards in the holistic evaluation of a faculty member's achievements relative to opportunity, as per APM 210-1(d):

> *In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive.*

Importantly, holistic review is not a relaxing of standards. Rather, it is a recognition that faculty members face different circumstances and therefore have different levels of opportunity (e.g., time and resources available) at different times in their careers. When a faculty member has faced extreme hardship (e.g., as many faculty members did during the COVID-19 pandemic), reviewers may adjust their expectations accordingly.

To assist reviewers in conducting a holistic review of your file, you may include an optional personal statement in your file to explain any circumstances that may have impacted your opportunity and productivity in one or more areas of review over the last review cycle. In the personal statement, it may be helpful to include contextual information about your circumstances (e.g., illness or caring for a sick family member), but you will never be required to reveal personal information.

2.5   Preparing Your File
2.5.1   Internal and External Evaluators

For advancement from one rank to another (such as from the Assistant to the Associate rank), your Department Chair will request letters of evaluation from both internal and external evaluators. These references will assess your productivity compared to others with similar appointments in your field. Letters of reference can also provide context regarding your achievements relative to your opportunity (e.g., time and resources available) that can aid reviewers in reviewing your file holistically. Three internal letters from UCSF faculty are required for promotion, often including assessments by faculty in other departments.

Three external letters will also be requested by your Department Chair. You should submit to your Department Chair via My Advance a list of individuals who are leaders in your field and who are knowledgeable about your work. Your evaluators should be professors at the rank into which you will be promoted at comparable institutions and senior leaders in your field. From the time you begin your assistant professorship at UCSF, you should maintain a list of individuals who are appropriate for this eventual review of your progress. It is important to contact everyone you have suggested to write letters on your behalf and let them know that the request is forthcoming.

2.5.2   Curriculum Vitae and Recordkeeping

You should pay careful attention to the preparation of your CV so that it presents your activities and accomplishments in the most favorable light (see Appendix III). Your CV is your academic autobiography and should be updated frequently. Be sure to include information on grants (e.g., dates; sources; amounts awarded; your role, effort, and responsibility; and project status).

Your CV records your activities as a faculty member and serves as the primary document by which you will be reviewed for advancement and promotion. Many reviewers, some of whom are not specialists in your field, will evaluate your CV. For this reason, focus on clarity and try to avoid undefined acronyms. Be as concise as possible. List items in chronological order from the oldest to the most recent. Your CV should be up-to-date and formatted consistently with the example in Appendix III. The most current sample is posted online at facultyacademicaffairs.ucsf.edu/online-systems/Advance/CV-Guidelines.pdf.

These guidelines are intended to ensure that departmental, school, campus, and Academic Senate reviewers evaluate all your personnel actions (e.g., appointments, promotions, merit advancements, and appraisals for promotion) in a fair and impartial manner with adequate data that represent the entire scope of your academic activities. To avoid delays in the review of your packet, it is strongly recommended that you maintain an up-to-date CV using the linked format.

2.5.3   Teaching: Student and Peer Review

Student and peer reviews of your excellence as a teacher are essential components of your promotion package. Student evaluations are solicited electronically both for formal classroom teaching and for your work as a clinician with post doctoral residents. All evaluations received by your Chair are summarized in the Chair's letter. If it is appropriate for your specific personnel action, the Office of the Vice Provost, Academic Affairs and Faculty Development (OVPAAFD) will solicit mentoring or teaching reference letters during the review process, as the student authors must be notified of their rights.

2.5.4   Publications

Your bio-bibliography is the record of your research productivity. All publications should be listed and numbered in the appropriate section. Although published abstracts provide a record of your ongoing research, it is important to culminate your work into documents published in peer-reviewed sources. **For faculty in the Professor and In Residence series and Adjunct faculty focused on research, peer-reviewed publications are the main criteria by which your research productivity will be evaluated**. Your publications should reflect the focused development of your research career as well as your role in the research conducted. **First authorship** usually signifies the lead role in the conduct of the research reported as well as the primary responsibility for writing the manuscript. **Senior (or Last) authorship** usually reflects the overall guidance of the research reported as well as careful and frequent review of the manuscript. Hence, first and senior authorship help to document your research independence.

Those in the Health Sciences Clinical series may have independent research pursuits, but they are not required or expected to disseminate on the same level as those in the Professor, In Residence, and Clinical X series. In fact, Health Sciences Clinical Professors with strong research activities and an impressive record of dissemination may be encouraged to change to the Professor of Clinical X series. Particularly in the Clinical X series (and to a lesser extent the Health Sciences Clinical series),

faculty are encouraged to expand the external dissemination of their creative activity via such venues as syllabi, reviews, clinical websites, case studies, presentations, books, book chapters, and published scientific papers.

CAP has noted that publication in electronic or open access journals may constitute an increasing proportion of faculty members' bibliographies. CAP has emphasized that publication in such electronic or online journals will be considered in the same light as publication in traditional print journals. As with traditional print journals, open access journals will be evaluated based on their peer review processes and standing in their field of scholarship.

CAP also notes that faculty in the Clinical X series and perhaps those in other clinical endeavors often create or contribute to expansive, substantially developed course syllabi and/or systems improvement innovations. These sorts of syllabi and systems innovations are considered magna opera and can comprise many hundreds of pages. For the purposes of review for academic advancement, CAP values contributions to such works as evidence of creative activity.

If a candidate has created or contributed to such projects, CAP encourages the candidate to include references to them in the packet submitted for review. In these cases, CAP recommends that candidates be mentored or notified by their Department Chair that they should describe the magnum syllabus (i.e., its contents, context, adoption, etc.) and their role in its creation in their submission materials. CAP will consider this information in its evaluations of creative activity for faculty in the Health Sciences Clinical and Clinical X series and possibly faculty in other series if appropriate.

2.5.5   University and Public Service

Throughout your career, University and public service are important components of your academic life (although they can be minimal at the Assistant level). University service may include administrative responsibilities and service on search committees, departmental committees, Academic Senate committees (UCSF or systemwide), or University of California systemwide committees. Healthcare advocacy is considered University and public service and may include activities such as working with professional medical organizations to inform policy changes, testifying before legislative bodies, communicating evidence to a policy audience, or acting as an expert witness in policy-focused litigation, among others. During your Assistant Professor years, you can limit your University service to assure that you have adequate time available for your research and/or other activities. As you advance through the Associate and Professor years, your University service should increase.

2.5.6   Personal Statement

As mentioned in section 2.4.4, you have the option to include a personal statement within your file to aid in the process of holistic review. This statement can describe any circumstances that you faced in the previous review period that impacted your opportunity (e.g., time and resources available) and productivity in the areas of creative/scholarly activity, teaching, clinical care, and service. Information providing more context regarding the circumstances and their specific impacts are helpful to reviewers, but you will never be required to reveal personal information.

When possible, it is helpful to provide information in your personal statement to compare the achievements in the current review period to achievements in previous review periods to help reviewers evaluate your achievements relative to your opportunity in the current review period.

You may also use the personal statement to highlight any accomplishments that may have resulted from the circumstances that you faced (e.g., the switch to remote learning during the COVID-19 pandemic led some faculty to develop new educational materials).

If you prefer, you may ask your evaluators to provide details regarding your circumstances in your letters of reference in lieu of or in addition to providing a personal statement. You are also encouraged to discuss your circumstances with your Department Chair, as the Chair's letter can both provide context for any constraints that you faced and highlight your accomplishments and contributions to your Department in the face of those constraints. Your reviewers will take contextual information in your letters of reference or Chair's letter into account as part of the holistic review process even if you do not include a personal statement.

2.6   Recognizing Diversity Contributions in the Advancement Process

The University of California is committed to excellence and equity in every facet of its mission. UCSF seeks to build a broadly diverse faculty, student, trainee, and staff community; to nurture a culture that is welcoming and inclusive; and to engage diverse ideas for the provision of culturally competent education, discovery, and patient care.

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 are. These contributions to diversity and equal opportunity can take a variety of forms, including:
  a. Efforts to advance equitable access to education and outreach at all levels;
  b. Public service that addresses the needs of California's diverse population, such as educational presentations and partnerships with community-based organizations or groups with a goal of improving health and wellness in communities;
  c. Research in a scholar's area of expertise that discovers, documents, and seeks to understand health disparities and improve the health of vulnerable populations;
  d. Mentoring and advising of students or faculty at all levels to assist those who are underrepresented in the health sciences, underrepresented minorities (URM), or members of disenfranchised populations with understanding the process of merits and promotions, providing career advice, and encouraging career advancement;
  e. Incorporating diversity and inclusion training, health disparity issues, population risk factors, and research findings of underrepresented and disenfranchised groups in core curriculum content;
  f. Service to programs that include a focus on diversity and inclusion;
  g. At an administrative level, developing resources and tools that encourage the recruitment and retention of diverse individuals and diversity and inclusion training of staff and faculty.

The document titled Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers (facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement) produced by CAP and the OVPAAFD includes the following notification: "Contributions that promote diversity will strengthen the candidate's profile although they are not a criterion for appointment or advancement. Solicitation letters to referees may include a request for comments relating to the candidate's contributions to diversity."

2.7   The Appointment and Promotion Process

Initially, a faculty member prepares a packet (also known as a "file") that includes the current CV, a list of recent publications, internal and external letters of review, student evaluations, and summary statements of research and teaching. The packet may also include an optional personal statement. This packet is submitted through the Chair's Office to the respective Department or Division Promotion Committee, which evaluates the candidate and, upon making an evaluation, submits the recommendation to the Department Chair. The Department Chair prepares a letter and uploads it to the Advance system. Through Advance, the packet is transmitted to the Dean's Office. The Dean or Dean for Academic Personnel reviews and makes a recommendation and passes the packet to the OVPAAFD and the VPAA.

The Executive VPAA transmits the packet to Academic Senate Office for review and recommendation by CAP. Following a full review, CAP transmits a letter of recommendation and returns the file to the VPAA for a final disposition (action).

FIGURE 3: STEPS IN THE REVIEW PROCESS

1. **Create Your Packet**
2. **Department Promotion Committee**
3. **Department Chair**
4. **School Dean**
5. **Vice Provost Academic Affairs**
6. **Academic Senate Committee on Academic Personnel**
7. **Vice Provost Academic Affairs**
8. **Response to You**
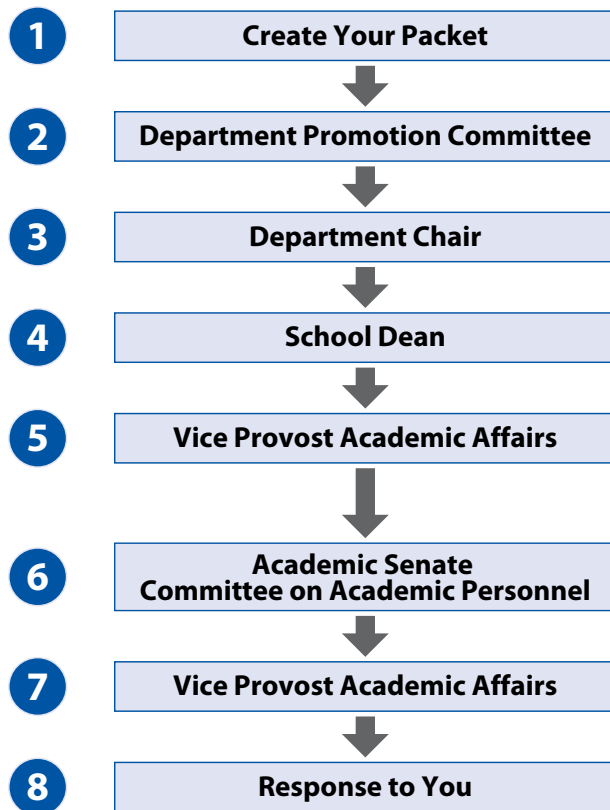
Once a final determination is made, the VPAA sends a letter to the faculty member (or candidate) and Dean informing them of final disposition. If improvement is needed, the Department Chair discusses this information with the faculty member.

The process for promotion from Associate to Full Professor is the same as that for promotion from Assistant to Associate Professor except that evidence of a higher level of distinction, including international recognition, is required.

2.8   Review and Evaluation Process

2.8.1   Department

The first level of review is within your department. Your initial appointment, salary, merit increases, Assistant Professor appraisal, and promotion to Associate Professor depend largely on decisions made within your department. Senior departmental faculty review your academic progress and vote to support or not support your proposed promotion. Before the departmental recommendation is determined, you have the right to inspect all non-confidential documents in your personnel review file and to receive a redacted copy of the confidential academic review documents ([APM 220-80-d, e](#)). **It is important to know that you have the right to request that your promotion go forward for consideration even if your departmental review group does not endorse your promotion**.

2.8.2   Department Chair

It is your responsibility to see your Department Chair or his/her designee at least once annually for an evaluation of your progress to promotion. Your Department Chair highlights aspects of your performance in a letter of evaluation to the Dean of your school. The choice of rhetoric can influence the eventual outcome.

The Department Chair's letter includes a report of the departmental review; summaries of your teaching responsibilities and expertise, research and creative work, professional competence and activity, and University and public service; and, finally, the Chair's evaluation of your academic progress. Your Department Chair may provide information about any circumstances that impacted your productivity during the past review period to allow reviewers to assess your achievements relative to opportunity and review your file holistically.

2.8.3   Your Promotion Package

The promotion package that is submitted by your department is identical for Ladder Rank, In Residence, and Clinical X faculty and includes the items in Table 3.

It is important to remember that although the preparation of portions of your promotion package may be delegated to a departmental administrator, the final responsibility for providing a complete package reflecting your academic productivity rests with you. **After your promotion package leaves the department, you may not add new information unless it is requested by one of the reviewing groups**.

If you like, you can prepare a summary statement to highlight key aspects of your record, as reported in your CV, of research and publications, teaching, administrative activities, professional activities, public service, and awards and honors as part of your promotion packet. A statement of your future or current research direction should be included. However, the Department Chair's letter will also include special information about you and your unique scholarly activities. If you believe additional material is essential as part of the package, it is wise to discuss with your chair and mentors how to best present this material (i.e., in the Chair's letter or in a letter from you).

Prepare packets of your work to be considered, including a statement of your research and/or creative directions. These packets will be forwarded to intramural and extramural colleagues along with your Department Chair's request for letters of evaluation. CAP will also use these packets to assess your academic contributions. Because national recognition is required for promotion to

Associate Professor, it is important that you carefully select outside evaluators who can understand and articulate the independence of your work and the significance of your contributions. Your extramural evaluators may include referees from outside the country, but they should be informed of the importance of their letters to your promotion process. You should contact all of your evaluators to determine their willingness to respond in a positive and timely manner.

TABLE 3: LADDER RANK, IN RESIDENCE AND PROFESSOR OF CLINICAL ___

	Appoint-ment	Change in Series	Promotion	Normal Merit/ Accel. to next step	Merits Prof. step 5 to 6; 9 to Above Scale; Accel. beyond one step	Appraisal
Curriculum vitae from Advance My CV (follow UCSF CV guidelines)	X	X	X	X	X	X
Intramural/extramural letters of evaluation[1]	see note*		3/3		3/3	3/3
Formal evaluations of teaching activity[2]	see note*		X	X	X	X
Important points for discussion Upload as attachment in Advance	X	X				
Titles and institutions of all referees on reference list page[3]	X	X	X		X	X
Department Chair letter, including:						
• Four categories: Teaching and Mentoring, Research/Creative Work, Professional Competence, and University/Public Service • If applicable, a statement confirming ORU concurrence in "additional comments" section	X	X	X	X	X	X
Faculty vote	X	X	X		X	
Justification for accelerated or decelerated action			X	X	X	
Justification for appointment or advancement to or from a special step (Assistant Step 5 or 6; Associate Step 4 or 5)	X	X	X	X		
Concurrence of joint department and/or school where individual has an academic appointment	X	X	X	X	X	X
Dean letter w/recommendation (obtained by Academic Affairs)	X	X	X	X	X	X

*Letter requirements for Appointments and Changes in Series:
- At the Assistant rank = at least 1 internal/1 external; minimum of 5 letters total
- At the Associate and Full ranks = at least 2 internal/3 external; minimum of 6 letters total
- Teaching assessments for all ranks = minimum of 3 letters.

1 If not available, please address in the Chair's Letter.

2 If no formal course evaluations are available, at least 5 teaching/mentoring references are required (3 for appointments/changes in series). References may be included in addition to but not in lieu of formal evaluations if formal evaluations are available.

3 Referees must be at or above the candidate's proposed rank; for appraisals, referees must be at or above the Associate rank.

2.8.4 Dean

Once your promotion package is complete, your Department Chair will forward it to your school Dean. After appraising your package, the Dean will add their own letter of evaluation to your file.

2.8.5 The Academic Senate Committee on Academic Personnel

After review at the departmental and school levels, the OVPAAFD and the VPAA send your packet to CAP for academic review.

CAP reviews all faculty appointments above the Assistant level, changes in series, appraisals, promotions, merit advancements that have been accelerated or decelerated by two or more years, and merit advancements to Step 6, Step 9, or Above Scale. CAP also conducts Five-Year Reviews, Career Reviews, and Stewardship Reviews. Stewardship Reviews are conducted by a Stewardship Review Committee that includes a CAP member.

After CAP conducts its review, it returns the file to the OVPAAFD and the VPAA with its recommendations regarding the proposed action.

2.8.6 Chancellor and Vice Provost of Academic Affairs

The VPAA reviews the packet and the recommendations of CAP, the Dean, the Department Chair, and the departmental faculty. If the recommendations are favorable and the VPAA agrees, then the Chancellor will notify you of your promotion. In advising the Chancellor, the VPAA can reject the advice of CAP, although CAP's decision is most often upheld. If the VPAA's preliminary assessment is to make a terminal appointment, you and your Department Chair will be notified, and you will be given the opportunity to respond in writing and to provide additional information. Any change of duties; new manuscripts, publications, or grants; or new teaching evaluations or accomplishments should be submitted at that time.

You then have an opportunity to respond in writing to provide additional information. However, the preliminary assessment serves as a formal warning that if the assessment remains negative, then your appointment will terminate in one calendar year. The final decision rests with the VPAA and the Chancellor.

If you wish to learn the status of your review at any time during the review process, you can talk with your Department Chair. He or she may check with your school's Associate Dean for Academic Affairs to ascertain the status of your review.

2.8.7 Formal and Informal Complaints

If you feel that you have been unfairly evaluated for promotion, you have several channels through which to express your complaint and to seek appropriate corrections. It is generally advisable to seek an informal resolution through internal consultation before filing a formal complaint. These informal channels include (1) your Division Chief, (2) your Department Chair, (3) your Dean, and (4) the VPAA. Any of these Administrators can look into your file, correct errors and injustices, and advise you about other courses of action. The Office of Diversity and Outreach can also advise you on courses of action, particularly related to discrimination issues. The Academic Senate also has a Board of Advisors who can provide information related to the Academic Senate Committee on Privilege and Tenure.

After you have exhausted these informal consultation options, you may undertake a formal internal complaint if you remain unsatisfied. A formal complaint can be filed with (1) the VPAA, (2) the Academic Senate Committee on Privilege and Tenure, (3) the Office of Diversity and Outreach (complaints of discrimination only), (4) the Office of Sexual Harassment, or (5) the campus whistleblower coordinator. Redress may also be sought in some cases by filing a complaint with the applicable external agencies (e.g., DFEH or EEOC) or in the courts.

2.8.8   Appraisals of Achievement and Promise

An Appraisal of Achievement and Promise is an evaluation of an Assistant Professor midway through the eight years of service at this rank (typically during the fourth year as Assistant Professor). The purpose of the appraisal is to assess your progress and provide advice and guidance for successful progression to the rank of Associate Professor. An appraisal does not normally result in a merit increase or promotion; rather, it is meant to provide junior faculty with constructive advice and sufficient time to address any deficiencies. At the completion of the appraisal review, you should ask your Department Chair for detailed information on your strengths and weaknesses as they relate to the criteria for your series. If a promotion, change in series, or separation occurs prior to the submission of an appraisal packet, the appraisal review will not proceed.

2.8.9   Eight-Year Rule for Academic Senate Series

If you are appointed to an Academic Senate series (i.e., Professor, In Residence, or Clinical X), it is important to be aware of the eight-year rule:

> *An Assistant Professor, who has completed eight years of service in that title, or in that title in combination with other titles as established by the President, shall not be continued after the eighth year unless promoted to Associate Professor or Professor* (APM 133-0).

The University gives unsuccessful candidates in this series a one-year terminal appointment; thus, the review for promotion must be completed no later than the seventh year. It is critical that you are aware that your eight-year clock starts with your initial appointment and includes your years as an instructor and that your progress will be evaluated during your fourth year by an Appraisal of Achievement and Promise, as described in the previous section.

The San Francisco campus of the University of California is set apart from the other UC campuses in that it currently does not apply an eight-year limit to the Adjunct or Health Sciences Clinical series. This fact is extremely important to know if you have served time in either of these series at the Assistant rank at UCSF and are considering a transfer to an Assistant rank at another UC campus. **Your services as Assistant Adjunct Professor or Assistant Health Sciences Clinical Professor *will* count against the eight-year clock *on all other UC campuses*. Likewise, services as Assistant Professor at other UC campuses will count against the eight-year clock at UCSF**.

In addition, it is important to know that if you have received a final decision not to be promoted and are given a one-year terminal appointment, you may not be hired as a faculty member in any series on any UC campus for a period of five years after your appointment ends.

Some categories of leave and time off do not count as time spent in the system with respect to the eight-year rule. For more information on "stopping the clock," see section 8.8 of this handbook.

2.8.10 Five-Year Review

Most advancement reviews take place every two to four years depending on one's rank and step. However, if a faculty member has not been reviewed in the previous five years, a Five-Year Review is initiated. The purpose of a Five-Year Review is to ensure that performance is appraised at regular intervals, assess productivity since the last successful advancement, and identify what needs to be accomplished for further advancement. At UCSF, faculty who are employed at less than 50% time are not required to undergo a Five-Year Review. However, any faculty member who wishes to be reviewed may request it.

The Five-Year Review may result in:
1. Advancement, if performance warrants it;
2. No advancement, with performance monitoring and scheduling of the next review date if progress is satisfactory;
3. Establishment of a remedial plan and a timetable for progress if progress is deemed unsatisfactory; or
4. Further disciplinary action consistent with the UC policy governing incompetent performance by a Ladder Rank faculty member.

2.8.11 Career Review

Occasionally, the series, rank, and step of a faculty member may be inconsistent with the faculty member's accomplishments. If you feel that this is the case for you, you may request a Career Review to reassess your entire UCSF career from your initial hiring to your current position. If warranted, you may be placed into a different series and/or the appropriate rank and step (no retroactive action will be taken). You can initiate this review by submitting a written request to your Department Chair with supporting documentation (similar to what you would assemble for a promotion). The department will then assemble a review file seeking appropriate internal and external letters and so forth, and the packet will address your overall record.

2.8.12 Access to Review File

Confidentiality is a controlling factor at all levels. The statements transmitted by the department faculty, Department Chair, Dean, CAP, and the Executive Vice Chancellor are all confidential. Breaches of confidence are subject to disciplinary action. You are allowed to see a redacted copy of the confidential portions of your own file at three stages during the review process: before the departmental recommendation is determined, upon completion at the departmental level, and upon completion of the entire review. You have a right to respond to the redacted summary. The redacted file provides the "full flavor" of the file while maintaining confidentiality of the names of those involved in the review(s) (see APM 160).

2.8.13 Guidelines for Accelerated Actions

If, during a discussion with your Department Chair, it is recommended that you be put forth for an accelerated action, please be sure to review the Guidelines for Accelerated Action, which describe the criteria upon which you will be reviewed outside of your department. These are recommended guidelines. If your successes do not appear in the "Examples of Exceptional Performance" list, you may still be eligible for an acceleration. The examples are listed to provide ideas, and they are not the definitive list.

3.0 Mentors

UCSF is a large and complex institution. Advancement through the system requires considerable knowledge on your part and personal attention from senior faculty and your peers. It is critically important that you participate in your department's mentoring program by attending workshops and meeting with your assigned mentor or mentoring team.

The goal of academic mentoring is to support the professional development of students, fellows, postdoctoral fellows, and faculty in their careers and to promote excellence in teaching and learning, research, and academic leadership. At UCSF, mentoring is valued within the academic review process as an indicator of academic development and can be highlighted in your CV.

If you are already on the faculty and have not been assigned a mentor by your department, please contact your Department Chair or your department's or division's Mentoring Facilitator. Although many departments focus their mentoring efforts on new or junior faculty, it is vital that faculty members at all career stages take advantage of mentoring opportunities to enhance their careers and increase their satisfaction.

Mentoring refers to building longer-term relationships. Interactions with trainees or students during clinical rotations and other such interactions are not considered mentoring relationships. These interactions should be listed under informal teaching on the CV, and trainee names need not be listed, as faculty are expected to engage in this kind of teaching.

Mentoring extends beyond the teaching of a specific skill; it encompasses personal, professional, and civic development. Expecting a single mentor to fulfill all these roles is unrealistic. Rather, it is important to identify mentors from a variety of perspectives and to seek out mentors based on their expertise. Mentoring roles at UCSF tend to fall into the following areas:

- Career Mentor: provides overall career guidance and support mentoring.
- Co-mentor or Clinical Mentor: provides specialized, content area, methodological, or clinical expertise as part of a research or clinical team.
- Project Mentor: supervises a defined time-limited project, such as data collection, data analysis, manuscript preparation, or curriculum or course development.
- Research or Scholarly Mentor: provides overall research and/or scholarly guidance.

For example, the mentor assigned to you by your department may have insights on departmental policies regarding advancement and promotion but may have little knowledge of your research area. In this scenario, a mentor from outside your department may be better able to advise you on scientific matters, networking opportunities, or personal issues. In addition to identifying multiple mentors to meet your multiple needs, it is important to remember that you may need to identify new mentors as you develop through different stages of your career.

Your scientific mentor should be a faculty member who has expertise in your area of research. This mentor should:

- provide guidance or involve you in appropriate research,
- help you identify appropriate grants,

- assist you in developing an *independent* research program,
- introduce you to professional colleagues,
- provide you with opportunities to present your research at appropriate meetings, and
- provide other career-enhancing opportunities to increase your visibility

Ideally, this mentor will take the time to review and comment on your grants and manuscripts. It is essential that you work with the best scientific mentor available to you, regardless of gender, ethnicity, or location.

Depending on the complexity of your personal life, it may be important to identify additional personal mentors or to request additional mentors from your department's Mentoring Facilitator. For example, a significant personal illness, responsibility for elder care, or childbearing or child rearing responsibilities will affect your life-work balance and may impact your productivity. In such instances, the identification of a mentor who has had similar experiences may provide you with perspective and help you to balance your personal and professional lives. Similarly, peer mentors (i.e., other faculty members at your rank) may be able to provide you with advice and insights based upon their own experiences.

When your mentoring activities represent a significant portion of your creative activities (e.g., if you develop mentoring programs or tools to improve mentoring or spend a large percentage of your time mentoring others) you may choose to develop an Educator Portfolio CV. This CV will enable you to highlight these efforts.

Campuswide Mentoring Programs
UCSF has several campuswide mentoring programs, including online modules, to assist you in your career development and in your growth as both a mentor and a mentee.

CTSI Mentor Training Program (accelerate.ucsf.edu/training/mtp)
The CTSI Mentor Training Program (MTP) is a comprehensive program with both online and in-person components designed to train mid-career and early senior research faculty to become the next generation of confident and effective clinical and translational research mentors. Faculty dedicated to clinical and translational research can apply to participate annually. Many residency and fellowship directors have found the MTP useful, and faculty in these roles are strongly encouraged to apply.

The CTSI MTP has created an integrated environment for senior mentors and mentors-in-training, encouraging creative and innovative networking. Within this environment, participants can discuss a range of mentoring challenges and a myriad of solutions, develop a toolbox of strategies, and use discussions and collective experiences to build a community of mentoring excellence.

Faculty Mentoring Program (facultyacademicaffairs.ucsf.edu/faculty-life/mentoring)
The UCSF Faculty Mentoring Program was established in 2006 in response to the results of the Faculty Climate Survey. It aims to support the recruitment and retention of the highest quality faculty, increase faculty diversity through improved mentoring of underrepresented faculty, and improve faculty career satisfaction and success.

Mitchell D. Feldman, MD, MPhil is the Associate Vice Provost of Faculty Mentoring and works closely with the Campus Council on Faculty Life to ensure that all UCSF faculty have access to quality mentoring.

Mentors and Mentees

A successful mentoring relationship depends on both the mentor and the mentee. As an aspiring mentee, you should look within your division, department, and school and across schools to identify ideal mentors. You can work with your department's Mentoring Facilitator to identify potential mentors or to establish formal mentoring relationships with the mentors you have identified. **You should be assertive in contacting potential mentors**.

After introducing yourself, determine your mentor's availability and willingness to work with you over the coming years. Begin to ask for advice. Express your concerns regarding research, grants, manuscripts, your clinical and teaching responsibilities, and your academic progress and potential. Furthermore, you should consider what you might bring to the relationship. By being proactive as a mentee, you will help assure the success of your relationship with your mentor.

To add to the wisdom you may receive from your mentors, seek out additional advice and information from departmental and campus mentoring programs. Such programs include workshops on grant writing, manuscript preparation, and professional presentations. Other workshops explain the UCSF promotion process and how to develop the best CV for your merit and promotion reviews. Still others address issues concerning human subjects' research protection and effectively managing research staff. By taking full advantage of the opportunities afforded by one-on-one, team, and peer mentoring and by attending workshops to gain additional information, you can develop the necessary knowledge and strategies for a successful career at UCSF. You will greatly benefit from your mentor/mentee relationship, so it is important to actively seek and carefully choose your mentor(s).

4.0 Developing an Excellent Research Program & Professional Reputation

4.1   Making Research a Priority

The professional roles in most major universities include teaching; research; University, professional, and public service; and, in many cases, applied activities, such as a clinical practice. Remember that promotion to the Associate level requires peer evaluation of your success in these roles.

Although UCSF's structure and daily life are set up around teaching and clinical functions, **independent research is one of the most important criteria used to evaluate your promotion package**. Reviewers will seek evidence, mainly through your published research, that you are continuously and productively engaged in creative activities of high quality and significance.

You should become strategic about managing your time and develop annual and multi-year plans to accomplish specific investigative goals. These plans and strategies will aid you in building a research program that has the room and time to grow. Some suggested strategies for success are as follows:

1. *Develop your agenda around the best times to collect data, deadlines for conference and grant submissions, and the best times to write.*
   For example, if you face particularly heavy teaching or clinical responsibilities during one quarter, determine blocks of time each week when you can collect data or conduct library research. This work will allow you to begin writing when time becomes available. If you need more time for research as you approach promotion to the Associate level, consider asking your Chair for a lighter teaching or clinical load that may involve less preparation or fewer students.

2. *Establish blocks of time to work on your own research activities weekly.*
   Do not give this time up under any circumstance. For example, in scheduling student appointments, keep a certain number of hours open for students, but do not deviate from your schedule. Some people work best in whole-day blocks of time, whereas others find mornings to be the best time to write. Do not use these precious blocks of time to read your mail, answer correspondence, or finish lectures or other work that has spilled over into the time allotted for your own research. **Guard your research times as if they are actual appointments that cannot be broken!**

3. *Plan for some leave time to maximize your opportunities to write.*
   Apply for a grant (e.g., a Faculty Development Award) that allows you some release time from teaching or clinical activities or gives you a free summer to write or pursue your research. If such funding is not available, draw on any sabbatical or professional development time for which you are eligible or discuss obtaining some release time with your Department Chair to ensure an uninterrupted period in which to complete a body of work.

4. *Manage your Listserv subscriptions so that you receive useful information.*
   Most departments and divisions have Listservs to which many faculty subscribe. Check in with your department for their suggested lists. Separately, you should independently research the Listservs from which you want to receive information (including funding announcements and meetings). Select Listservs with care, as the incoming flow can quickly become overwhelming. However, you will want to be on major lists and participate in at least two Listservs for your field. Section 9.0 (Resources) of this Handbook lists various UCSF websites that can help.

4.2 Developing a Basic Scholarly Research Program

Your scholarly contributions will be evaluated for evidence of growth, their impact on the field (e.g., work that opens new lines of investigation), and their future promise. Often, your work should be programmatic or progressive. In other words, it is expected to unfold, with one contribution leading to another. Hence, you will continually face choices of what to do next. Each discipline varies in terms of the scholarly contributions that are most valued, which may take the form of books or journal articles or comprise empirical or theoretical work. You should ask your colleagues for more specific information about these criteria and shape the direction and scope of your scholarly activities accordingly.

Several rules generally hold true across disciplines. Publications of popular books and textbooks do not count heavily in your promotion to Associate Professor. The writing of a textbook is normally viewed as a *teaching* rather than a *scholarly* activity, unless colleagues' letters attest to the textbook's scholarly contributions. Ask for such letters if you think your textbook makes scholarly contributions. Work that is too narrow in scope may be considered repetitive and not enough of a contribution. Work that is too broad or reflects too many unrelated interests may be seen as dabbling and lacking focus. The publication of review articles can be a useful way of coming to grips with a subject and gaining a national or international reputation in the field. However, these articles take considerable scholarly effort and should be considered as secondary to your primary research.

Although work done in collaboration with someone else (in particular, someone senior to yourself) must clearly reflect your independent contribution, modern science is moving toward the dissolution of discipline-based barriers. Thus, research programs will tend to become more interdisciplinary. Ad hoc review committees may have to be directed to your contributions or oriented by the documentation of your independent creative activities. Collaborative studies can expand your capabilities, but it is important to establish collaborations independently of past mentors and advisors.

Individual faculty members, along with their Department Chairs (and/or other appropriate individuals), are responsible for establishing their essential creative contributions within their academic review packets. Opinions from internal and external reviewers should be sought to specify the exact nature of the contributions.

[Mentors](#) and advisors in your research area are always useful, and seeking new mentors among your senior colleagues is a good way to integrate into the UCSF community. In addition, fostering local common interests and participating in special interest groups can be beneficial to your research program.

> UCSF is a health sciences campus and offers faculty the unique opportunity to conduct patient-oriented research in the fields of medicine, nursing, dentistry, and pharmacy. Clinical research represents a diverse group of interests and includes research involving human subjects and/or samples obtained from human subjects. Patient-oriented research may involve basic laboratory investigations to determine disease pathogenesis, the assessment of clinical outcomes, the development of health policy, social science or bio-behavioral research, or clinical trials limited to a single patient or involving large patient populations from numerous institutions throughout the country. Clinical investigators are responsible for the translation of laboratory observations to patient care.

4.3 Developing a Scholarly Clinical Research Program

Developing a scholarly program in clinical research requires the acquisition of a different set of skills from those necessary for laboratory investigations. Some junior faculty members may not yet have the training appropriate for a career in patient-oriented investigation, whereas others may already have doctoral and post doctoral training in such areas as epidemiology and biostatistics. Regardless of your training, you should familiarize yourself with the instructions for the conduct of human research set forth on the Human Research Protection Program (HRPP) website.

For those without formal training in patient-oriented research, the first step in developing a program is to acquire a fundamental knowledge base in the design of clinical studies. The Department of Epidemiology and Biostatistics offers several courses and workshops that will teach you how to approach clinical investigation. One curriculum offered is Advanced Training in Clinical Research (ATCR), which provides a course in basic study design and research methods, an introduction to biostatistics, and a sequence of courses in epidemiologic methods.

After acquiring these basic skills, it is important to design a pilot study that will foster your research. If you are a clinician, choosing an area of investigation that is closely aligned with your clinical practice will make your clinical work more interesting and increase your research productivity. Clinical research may be conducted in numerous venues, including hospitals, outpatient settings, and the community. Performing research through the General, Pediatrics, or Women's Clinical Research Centers will allow you to obtain preliminary results through partially-subsidized studies. You can also apply for intramural pilot funding through the Resource Allocation Program (RAP). Once you have obtained preliminary results, you can apply for extramural funding.

Acquiring an appropriate computer-based database or patient population is fundamental to a successful clinical research program. UCSF provides a fertile ground for clinical research through the large and diverse patient population it serves and through the ongoing clinical research programs in its various departments. Developing collaborations with other investigators with similar but non-overlapping areas of interest and expertise will allow you to broaden the scope of your activity rapidly.

As your work grows, you will find yourself in a supervisory position. The responsibilities for group leaders of research laboratories outlined in Section 4.10.4 of this handbook apply to clinical investigators as well, especially the responsibilities regarding scientific conduct, grants management, and inventions and patents. It is important that you become knowledgeable of the University's policies, procedures, labor contracts, and other conditions related to employing and supervising post doctoral students and staff. More information is available on the UCSF Human Resources website (hr.ucsf.edu).

4.4 Grants: A First Step

Once you have established a research emphasis, grants are necessary to help provide financial support to carry out your research and provide release time from teaching or clinical responsibilities. Such support affords you an opportunity to devote a concentrated block of time in which to conduct research. Dedicated time is critical in the building of a research program.

New faculty members often lack information about grant sources. Such information is available through your school or department and, to a limited extent, from the Executive Vice Chancellor,

the UCSF Office of Research Affairs, and the Academic Services Office. Research funds are available for underrepresented minorities and women through the Office of the Executive Vice Chancellor. Talk to your school or Department Chair's office to find out when awards become available.

The Academic Senate's Committee on Research funds its own individual grant program through its partnership with UCSF's intramural grant clearinghouse, RAP, which provides small grants to individual and collaborative scientific teams twice a year. Most campus intramural funding agencies work with RAP, thereby allowing faculty members to complete a "one-stop application" for numerous funding options. Awards up to $30,000 are given for re-entry. Awards up to $35,000 are given for shared technology. Awards up to $40,000 are given for pilot projects by early career investigators and for researchers facing significant family caregiving responsibilities. Awards up to $50,000 are given for pilot projects by established investigators, pilot projects in anti-racism research, projects by underrepresented faculty, and temporary lapses in funding. Awards up to $75,000 are given for team science. More details on the application process for these awards are available at RAP's website.

It is important to understand the spectrum of available grants. You can increase the likelihood of successfully receiving grant funding by applying for grants that are appropriate for your career level and prior published productivity. You should work actively with your mentor(s) to determine which type of grant is most appropriate.

You can seek both intramural and extramural funding. Although intramural sources generally provide smaller grants, they are a good venue for beginning the grant-writing process. It is extremely helpful to read the grant proposals of successful applicants before you begin to write. In addition, you should have independent investigators review your grant applications prior to submission. Many senior colleagues at UCSF have served on grant review committees and are good sources for advice and constructive criticism. Grant-writing resources are also provided by CTSI-Accelerate.

4.5   Preparing for Publication

Along with your professional ability, teaching, and service, research resulting in scholarly publications is greatly valued by reviewing committees in the advancement and promotion process. Research publications that can be read, judged, and compared provide the most tangible evidence of contribution to your field and are a fundamental component of a departmental, national, or international reputation. Broader criteria for creative accomplishment apply to the Professor of Clinical X series, but dissemination beyond UCSF is required for this series as well.

To achieve success, it is important to approach the publication of your research results properly. First, the research should address an important scholarly or scientific question. When results are available, you must determine objectively whether they are worth reporting. You should consider publication when your work has been completed or has reached a stage at which the findings make a point that merits publication. Multiple "least publishable units" increase numbers of publications, but they detract from the overall quality of achievement.

In preparing a manuscript, discuss in advance the roles of each contributor and the anticipated authorship order. When the paper is ready to submit, ask your colleagues both within and outside the immediate field of research to critique your work. If possible, you may wish to consult with

a scientific editor as well. Remember that all coauthors must review and approve the manuscript before sending it to a journal. See section 4.10, "[Your Research Program](#)," for guidelines regarding the order of authorship.

The manuscript should be sent to a journal that specializes in publishing the type of research being reported. You should aim to publish your work in the most prestigious journal possible, as a paper appearing in a leading general-interest or specialty journal brings more credit to an author than one in a lesser publication does. The journal will likely submit the research paper for peer review and then send these written reviews to the authors. Commonly, reviewers will request revisions, explanations, expansions, or deletions. Respond to these requests expeditiously, thoroughly, and without rancor. If you can satisfy a critical reviewer's concerns, your paper will be that much stronger and more convincing to other readers.

A manuscript may be submitted to only one journal at a time. Moreover, with rare exceptions (and only with both editors' agreement), the same data should not be published in more than one journal. Because editors of peer-reviewed journals will seldom publish findings that have been previously reported in another publication, be circumspect in talking with media reporters about your work. Be wary of publishing your data, including substantial descriptions of your results, in proceedings of symposia or meeting publications, even if you are told that the publications will be peer reviewed. Frequently, these publications are excluded from bibliographic databases, such as Medline or the *Index Medicus*, which means that your work may be lost because others cannot retrieve your paper from the literature and cite it.

The preparation of abstracts for presentation at professional meetings requires thought and care. Adhere to the formatting requirements for the specific meeting and use a classic, readable typeface. Abstracts should succinctly cover the purpose, methods, results, and main conclusions of the work; accomplishing this in a small space is an art, and neophytes should freely seek the help of an experienced colleague or editor. Presenting papers at prestigious professional meetings is considered favorably by promotion committees, but presentations must be followed by the publication of a formal report in a refereed journal in a reasonable amount of time. Effective public presentations of your work at conferences can often result in invitations to give institutional lectures and seminars. These invitations contribute to your professional reputation and can be a useful way to recruit fellows or trainees.

4.6   Increasing Visibility
4.6.1   Increasing Departmental Visibility

It is important to participate in your department's permanent and ad hoc committees, research symposia, teaching conferences, and presentations to students, residents, and research fellows. The more you support the advancement of your colleagues in your department, the more you become a valued faculty member and help create the atmosphere of harmony and cooperation essential for a department to become truly great. However, your collaborative departmental activities should be kept in balance with your independent creative activities.

4.6.2   Increasing National Visibility

National recognition is generally built on the originality and quality of your research. It can be further enhanced by learning to be a well-organized, clear, and persuasive lecturer in the field of your research. Service on editorial boards and on National Institute of Health (NIH) site visit teams,

study sections, and consensus conferences takes time and effort, but these valuable contributions can help not only your career but also your school and department. The education of your junior colleagues and their professional success will eventually be viewed as one of the most important aspects of your reputation.

4.6.3 Increasing International Visibility

International recognition, which is required for advancement to the rank of Full Professor, can be difficult to achieve and takes time to develop. It is based on your national reputation, the training of foreign research fellows, attendance at international meetings, service on international committees, and lectures and paper presentations at international meetings. When achieved, it is the ultimate addition to your prestige and that of your department.

4.7 UCSF Human Research Protection Program (HRPP)

The Human Research Protection Program (HRPP) is UCSF's Institutional Review Board (IRB)[1]. At present, the HRPP is five separate committees that share equal authority and responsibility: Laurel Heights Committee, Mount Zion Committee, Parnassus Committee, ZSFG Committee, and Oakland IRB Committee.

> The NIH has changed its policies so that approval by an IRB is no longer required prior to an NIH peer review of a grant application. Under the new policies, researchers are encouraged to submit their research for IRB review only after they have received their Summary Statement (i.e., pink sheet) notification of their priority score and percentile. If the pink sheet indicates that the application is in a fundable range, then the IRB review should proceed.

The HRPP is responsible for the review of all human-subject research at UCSF, Zuckerberg San Francisco General Hospital and Trauma Center, the San Francisco Veterans Affairs Medical Center, the Ernest Gallo Clinical and Research Center, the J. David Gladstone Foundation, and the Northern California Institute for Research and Education (NCIRE). It includes representatives from each of these institutions as well as at least one member who is not affiliated with any of the institutions whose research is reviewed. The HRPP has the authority to approve, require changes in, or disapprove research involving human subjects. No institutional official may overrule HRPP disapproval, but institutions may choose not to support or permit research that the HRPP has approved. The HRPP operates in compliance with relevant state and federal regulations (e.g., 45 CFR 46 and 21 CFR 50 and 56) and with a signed agreement between the institutions and the Department of Health and Human Services, which is called a multiple project assurance. The HRPP may be audited by the Food and Drug Administration, the Department of Health and Human Service's Office for Human Research Protections, cooperative research groups, and UCSF Internal Audit, among others.

For more information, see the UCSF HRPP website: irb.ucsf.edu.

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1 An IRB is a committee, operating under federal regulations, state laws, and institutional policy, that reviews research involving human subjects to ensure that those subjects are treated ethically and equitably.

4.8 UCSF Institutional Animal Care and Use Committee (IACUC)

The IACUC (iacuc.ucsf.edu) is comprised of faculty members, veterinarians, and at least one representative of the public. It oversees all UCSF research and instruction involving vertebrate animals to ensure that the highest ethical and animal welfare standards are met.

The IACUC reviews all animal projects for compliance with the requirements of the Animal Welfare Act, the NIH Guide for the Care and Use of Laboratory Animals, the Public Health Service Policy on the Humane Care and Use of Laboratory Animals, and UCSF Guidelines. It may suspend any activity involving animals that violates approved animal welfare regulations, policies, and procedures.

Twice a year, the IACUC also conducts inspections of all UCSF animal facilities, evaluates all aspects of UCSF's animal care program, and submits reports and recommendations to the Executive Vice Chancellor.

The IACUC coordinates training, compliance, and occupational health programs; offers standardized introductory training and customized programs for people who work with animals; and consults with researchers preparing animal studies. IACUC staff offer in-lab reviews and compliance audits of ongoing projects and provide staff support for government (United States Department of Agriculture) and campus (IACUC) inspections. The IACUC works with the Communicable Disease Prevention Program to assure that all individuals with animal contact are trained and monitored for the prevention of animal-associated injuries, illnesses, and infections.

A guide for new users of animals at UCSF is available online at iacuc.ucsf.edu.

4.9 Environmental Responsibilities

It is your responsibility to be certain that all potentially hazardous materials are handled safely in your laboratory and that research subjects are protected. *Applications for the use of radioactive materials, recombinant DNA, biohazardous substances, infectious agents, animal and human subjects, and other permits should be submitted in a timely fashion so as not to delay the start of research projects and the submission of grant applications.* Each member of your group should be trained before using radiochemicals. It is important to select an extremely responsible person for the job of radiation safety officer. At UCSF, Environmental Health & Safety (ehs.ucsf.edu) routinely carries out inspections, and carelessness can bring major problems, including fines and possibly the closure of a laboratory.

Detailed information on regulations and the deadlines for submitting applications are available in Part V of the *Investigators' Handbook.*

4.10 Your Research Program
4.10.1 Collaborations

Collaborating with colleagues can be a fulfilling experience that advances your career. Junior faculty members typically collaborate on one or more grants with colleagues who are more senior. However, it is important that as you gain skill in grantsmanship and research, you establish yourself as an independent investigator with a line of research that is differentiated from those of your mentors. Differentiation does not mean you have to research a completely different topic; rather, it means that your contributions should be unique to your field or open new areas of work in the field. As you gain experience, you will have opportunities to collaborate with colleagues from other institutions.

4.10.2 Cross-Disciplinary Research

Increasingly, funders are actively encouraging researchers to collaborate with others from different disciplines. Such collaborations can result in innovative methodological approaches to research problems, theoretical advances, and more comprehensive understandings of the phenomena of interest. However, different disciplines often have different traditions and academic socialization, creating the potential for misunderstandings or conflicts. For this reason, as in all collaborations, it is helpful to keep a written record of discussions, including written summaries of face-to-face or telephone discussions, to reduce the possibility of misinterpretations. It is also important for the members of cross-disciplinary teams to build in time to learn from one another, recognizing that the standards for data or evidence may vary across disciplines.

4.10.3 Order of Authorship on Publications

You should determine who will be considered an author during the initial planning of a research project. Authorship must reflect substantial scientific involvement in the research being reported. Moreover, authorship carries with it public responsibility for the integrity of the work as a whole. All coauthors should review and discuss the data on which the paper is based and reach agreement on the conclusions. *You should discuss the planned order of authorship before beginning work on a manuscript.* Typically, one author should take responsibility for doing most of the writing and for integrating the parts written by coauthors. Generally, the researcher who contributed the most to the work takes this role and is usually the first author of the paper. The last author is often the senior author (sometimes referred to as the Principal Investigator), but the relative status of authorship positions varies across disciplines. During your early years as an academic, first-authored papers are very important in establishing yourself; as you become more senior and are helping others become established, you may take the senior author position more often.

The International Committee of Medical Journal Editors' (ICMJE) uniform requirements for manuscripts submitted to biomedical journals are online at the ICMJE website (www.icmje.org). They include information on authorship and contributors.

4.10.4 Supervising Postdoctoral Fellows, Residents, and Staff

As your research program develops, you will likely be working with one or more postdoctoral fellows, residents, or research or administrative staff. Sustaining cordial, professional working relationships is critical to moving your work along as efficiently as possible. If you have limited supervisory or management experience, you may benefit from learning about how to avoid common pitfalls of new managers. The UCSF Work Life Resource Center (ombuds.ucsf.edu) and the UCSF Human Resources Department (hr.ucsf.edu) offer resources to help you. As a beginning academic, it can be complex to sort out the expectations for colleagues in different roles. Postdoctoral fellows, for example, are typically in a training relationship with you, their mentor. It is your job to help them advance their careers by providing not only experience working on your projects but also opportunities for networking, visibility, and publication. Staff may be interested in opportunities to enhance their skills and move ahead in the system. In general, everyone on your team should feel respected and know that their contributions are valued. Most researchers find that monthly or weekly research team meetings help promote collegiality, provide recognition for achievements, spark creativity, and are an efficient way to transmit information that affects multiple members of the team.

5.0 International Students and Scholars

Visa and Immigration Matters

UCSF must comply with federal regulations regarding the employment of international faculty (i.e., faculty who are neither United States citizens nor permanent residents). Each international faculty member must either have an immigration status that permits employment at UCSF or have been granted permission to work by the Department of Homeland Security. The International Students & Scholars Office (ISSO) handles applications and information regarding visas for international faculty and is the UCSF liaison with the U.S. Department of Homeland Security, the U.S. Department of State, and other federal agencies.

When assuming responsibility for training postdoctoral fellows and other researchers, it is essential to understand the implications of different visa types (F-1, J-1, H-1, TN, etc.). You will need to communicate with staff in the ISSO to arrange the government documents needed to facilitate these appointments. Please be aware that with all appointments of international faculty, staff, and trainees, both the ISSO and the federal government apply processing fees. The ISSO offers J-1 visa sponsorship and is a petitioner to the U.S. Department of Homeland Security for H-1B, O-1, and TN visas. It also files Permanent Residency Petitions on behalf of the University. The ISSO is the only office authorized to sign immigration forms on UCSF's behalf.

Immigration restrictions are subject to change depending on current legislation, regulations, and interpretations. As such, **always contact UCSF's ISSO for up-to-date information on visa and immigration matters whenever an international faculty member is being considered for employment**. International faculty are urged to contact the ISSO through their departments well in advance of their expected start dates to request all the appropriate documentation required for employment at UCSF. International faculty are obligated to secure all appropriate visas and other documentation required for legal employment in the United States by the start date of their employment.

The continued employment of international faculty at UCSF is **contingent** upon maintaining the appropriate employment authorization for the duration of employment. Typically, a representative of each department or laboratory acts as a primary liaison to the ISSO. Inquiries should be channeled through that person.

The arrival and departure of international faculty should be reported to the ISSO so that accurate records can be maintained. The ISSO also offers a pre-arrival guidebook and orientation sessions for newly arrived international scholars and faculty and their family members. You can contact the ISSO by telephone at 415-476-1773 or visit the ISSO website at isso.ucsf.edu.

6.0 Emeritus and Recall Appointments

6.1   Emeritus

As of 2022, the title suffix "Emeritus" is automatically conferred on every Professor and Associate Professor upon retirement. Other academic appointees may be nominated for conferral of the Emeritus title suffix. Appointees who are not members of the Academic Senate must have at least ten years of University service, attainment of the highest rank in their title series, and evidence of noteworthy and meritorious contributions to the educational mission and programs of the University.

6.2   Recall and Post-Retirement Appointments

Members of the faculty who have achieved Emeritus status upon retirement may be recalled to active service on a year-to-year basis. A recall or post-retirement appointment service date may occur no earlier than 30 days following the academic appointee's retirement date. Faculty who are retired and who have not been granted an Emeritus title may return to work on a post-retirement appointment on a year-to-year basis. It is important to know that further advancement is not allowed once you have retired.

Faculty continue to make important contributions to UCSF's academic mission after retirement. Post-retirement appointments are contingent upon the academic and administrative needs of the department and the availability of space, support, and funding. If post-retirement employment is of interest to you, you should discuss this option with your Department Chair.

If you return to work after retirement, you should be reappointed at 43 percent time or less. *The impact of returning to work on your retirement, health, and welfare plans needs to be carefully evaluated.* The departmental benefits representative should be your principal point of contact for determining this impact.

7.0 Principles of Citizenship at UCSF

> **UC Faculty/Staff Partnership Statement**
>
> "The greatness of the University follows from the excellence of its people – its faculty, staff and students; however, a mere collection of outstanding individuals will not advance the University. Our ability to excel in our missions depends on collaborations and collegial environment. A collegial atmosphere can only come about through strong partnerships based on mutual trust and respect. Therefore, in support of the University's missions, the faculty and staff of the University of California affirm their responsibility and commitment to creating and fostering a cooperative and professional environment."

7.1 Faculty Code of Conduct

The Faculty Code of Conduct was first adopted in 1971 by the Academic Senate to protect academic freedom, help preserve the highest standards of teaching and scholarship, and advance the mission of the University as an institution of higher learning.

The Faculty Code of Conduct sets forth the faculty's professional rights as well as the University's responsibility to protect and encourage the faculty in teaching, learning, research, and public service. Every member of the faculty should read this code and be aware of the principles outlined therein.

The Faculty Code of Conduct is provided in section 15 of the Academic Personnel Manual (APM); section 16 covers the University Policy on Faculty Conduct and the Administration of Discipline. The APM is published on the Office of the President's website at www.ucop.edu. To learn more about UCSF's process for handling faculty misconduct investigations and disciplinary proceedings, please refer to the UCSF Office of Faculty and Academic Affairs.

7.2 UCSF Guidelines on Conflicts of Interest

Federal regulations, state laws, and University policies related to research conflicts of interest recognize that faculty may have financial interests in sponsors of their research or in entities whose business interests are closely related to their research. The phrase **"conflict of interest in research"** refers to situations in which financial or other personal considerations may compromise or appear to compromise an investigator's professional judgment in conducting or reporting research (Association of American Medical Colleges, February 22, 1990). Federal regulations, state laws, and University policies require that you submit financial disclosure forms when submitting a proposal for funding. If you disclose a financial interest and possible conflict of interest, the laws provide for a review of the situation by an impartial review committee.

At UCSF, the Conflict of Interest Advisory Committee (COIAC), an academic committee acting under authority from the Chancellor, reviews potential financial conflicts of interest and makes recommendations to the Executive Vice Chancellor. The COIAC can recommend acceptance, acceptance with conditions, or disapproval of a gift, grant, or contract. This review and recommendation *must be completed before the University accepts the funding in question*. If you do not agree with the COIAC's recommendation and the Chancellor's decision, then you may call the COIAC administrator to request an appeal. Typically, the appeal process involves an appearance before the COIAC to answer questions and provide additional information.

UCSF Guidelines on Conflicts of Interest can be found in [Appendix IV](#). These guidelines supplement federal regulations, state laws, and University policies. More information is available on the [COIAC website](#).

Information about the University's policy on disclosures of financial interests and the management of conflicts of interest related to sponsored projects can be found in the Office of Research section on the Office of the President's [website](#). The University's policy on conflicts of interest and a compendium of specialized University policies, guidelines, and regulations related to conflicts of interest are also [available](#) at the UCOP website. [APM 028](#) provides the University policy on disclosures of financial interests in private sponsors of research.

7.3   Sexual Harassment Prevention

UCSF is committed to maintaining a community in which all individuals, including faculty, can work in an atmosphere free of harassment, exploitation, and intimidation. "Quid pro quo" sexual harassment occurs when an individual in authority or power jeopardizes another individual's future academic career through job discrimination, demotion, withheld promotion, or a decreased grade unless sexual favors are granted. A second form of sexual harassment is often subtle and involves a "hostile environment" in which an individual engages in unwelcome sexual behavior that creates an offensive work or learning environment. Example ways of creating a hostile environment may include, but are not limited to, sexually demeaning language, the posting of offensive photographs or posters in common spaces, the unnecessary use of sexually offensive examples or slides in a classroom setting, and the implication that women are not as capable as men in the conduct of their jobs, or vice versa.

Sexual harassment is best resolved quickly and directly with the offender. It is the University's responsibility to maintain a harassment-free environment; it is the individual's responsibility to maintain a record of events and to seek assistance from a campus advisor. The UCSF campus has numerous advisors available through the Office of Sexual Violence Prevention and Response who are trained to assist both faculty and staff and who are aware of the law and University resources.

Inquiries about sexual harassment can be made without disclosing specific names and events. Such inquiries are appropriate whether the behavior has just begun or efforts are already underway to resolve the issue. An inquiry does not need to begin with a formal grievance—informal or formal mediation is often a better first step towards resolution. Once an official complaint is made, the complainant is informed of the rights of all parties, and resolution, which may include an investigation or mediation, begins immediately. If the charge is proven, effective action is taken to prevent further sexual harassment.

The goals of the UCSF Sexual Harassment Prevention and Response Program include educating both faculty and staff, providing counseling resources for those who feel they are being or have been harassed, and coordinating a fair and equitable resolution process that protects all involved parties. The institutional intent includes the prompt recognition of sexual harassment and open discussions among all parties to provide a workplace free of harassment and without litigation.

For more resources on preventing sexual harassment and sexual violence, please contact the [Office of the CARE Advocate](#) or the Sexual Violence Prevention & Response ([shpr.ucsf.edu](#)) Team.

7.4   UC Policy on Sexual Relations with Students

The integrity of the faculty–student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The pedagogical relationships between faculty and students must be protected from influences or activities that can interfere with learning. Whenever a faculty member is responsible for the academic supervision of a student, a personal relationship between them of a romantic or sexual nature, even if consensual, is inappropriate. Any such relationship jeopardizes the integrity of the educational process.

It is unacceptable behavior to enter a romantic or sexual relationship with any student[1] for whom you have or can reasonably expect to have academic responsibility (i.e., instructional, evaluative, or supervisory responsibility). Likewise, it is unacceptable to exercise academic responsibility for any student with whom you have a romantic or sexual relationship.

It is reasonable to expect that, in the future, you may have academic responsibility for (1) students whose academic program will require them to enroll in a course you teach, (2) students whom you know to have an interest in an academic area within your expertise, or (3) any student for whom you must have academic responsibility in the pursuit of a degree.

More information is available in APM 015.

7.5   Confidential Consultation/Mediation

UCSF is committed to providing individuals with a safe, neutral process for discussing and resolving conflicts. The mission of the Office of the Ombuds is to humanize the experience of working and learning at UCSF by providing confidential, impartial, informal, and independent problem-solving that includes consultation, mediation, and group facilitation services to members of the diverse UCSF community. These services are predicated on the principles of fairness, equity, and respect.

The Office of the Ombuds offers two- or multiple-party mediations. These mediation services supplement the University's existing formal grievance and complaint procedures. They emphasize open communication, active listening, and collaborative problem solving and are facilitated by professional mediators. Individuals who utilize mediation through the Office of the Ombuds do so voluntarily. Those who participate enter into confidentiality agreements that are protected in accordance with California state law. The Office of the Ombuds adheres to strict principles of confidentiality, neutrality, informality, and independence as established by the International Ombudsman Association Standards of Practice and Code of Ethics. This resource can be utilized by faculty, staff, administrators, students, and trainees.

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[1] The term "student" refers to all individuals under the academic supervision of faculty. At UCSF, this group includes undergraduate students, professional school candidates, doctoral and postdoctoral students, and residents and fellows in clinical departments.

7.6   Domestic Partnership

Same-sex and opposite-sex domestic partnerships[2] registered with the State of California are domestic partnerships for the purposes of UC benefits. A domestic partnership that has not been registered with the State of California must meet the following criteria:

- Each party must be the other party's sole domestic partner in a long-term, committed relationship and must intend to remain so indefinitely.
- Neither party may be legally married.
- Parties must not be related to each other by blood to a degree that would prohibit legal marriage in the State of California.
- Both parties must be at least 18 years old and capable of consenting to the relationship.
- The parties must be financially interdependent.
- The parties must live together and intend to do so indefinitely.

In addition, for UC Retirement Plan (UCRP) pre- and post-retirement benefits, the partnership must have been in existence for at least one year as of the date of death or retirement. The UC Net Human Resources website has more information about UC domestic partnership benefits. The Declaration of Domestic Partnership (UBEN 250) is also available for download.

7.7   Health Insurance Portability and Accountability Act (HIPAA)

The Health Insurance Portability and Accountability Act (HIPAA) of 1996 mandates significant changes in the legal and regulatory environments governing the provision of health benefits, the delivery of and payment for healthcare services, and the security and confidentiality of individually identifiable protected health information (PHI).

The law is composed of two major legislative actions: provisions for health insurance reform and requirements for administrative simplification. Complying with all aspects of HIPAA required providers and virtually all entities within the healthcare industry (including clinical research entities) to make significant changes to their information systems, operations policies and procedures, and business practices.

Failure to comply with any of the electronic data, security, or privacy standards set by HIPAA can result in civil monetary penalties of up to $25,000 per standard per year. Violations of the privacy regulations for commercial or malicious purposes can result in criminal penalties of $50,000 to $250,000 in fines and one to ten years of imprisonment. The Civil Rights Division of the Department of Health & Human Services is charged with enforcement and is recognized as a stringent enforcer. Providers who fail to comply also run the risk of violating public trust, which can have untold public relations impacts. For more information, see ohcp.ucsf.edu.

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2 The State of California only registers opposite-sex domestic partners if one or both individuals are over the age of 62 and are eligible for Social Security benefits.

8.0 Taking Time Off

8.1 UCSF Administrative Holidays

The official holidays for fiscal year appointees are the annually occurring administrative holidays in the University calendar. Periods of academic recess are not regarded as holidays. For fiscal year appointees, periods of academic recess are only a recess from meetings of formal classes. They are not a recess from research, committee and other administrative duties, and other University obligations. If you are a full-time employee, work during a holiday may not subsequently be taken as an official extra vacation day to offset the time worked on the holiday.

The typical, annually recurring administrative holidays are:

- New Year's Eve and Day (or the two nearest days)
- Martin Luther King Day
- Presidents' Day
- Cesar Chavez Day
- Memorial Day
- Juneteenth

- Independence Day
- Labor Day
- Veterans Day
- Thanksgiving Holiday (Thursday and Friday)
- Christmas Eve and Christmas Day (or the two nearest days)

For the dates of the scheduled holidays each year, please refer to the calendar produced by the Office of the Registrar.

8.2 Vacation

Except for postdoctoral scholars, academic personnel appointed on a fiscal-year basis for six months or more accrue two days (or 16 hours) of vacation leave per month of full-time service. Fiscal-year appointees below full-time but at 50 percent or more time accrue vacation at a proportionate rate; appointees at less than 50 percent time do not accrue vacation.

Vacation leave may not be taken prior to accrual. Vacation credits may accumulate to a maximum of 48 working days (384 hours). *Hours accrued in excess of 384 are lost to the faculty member*.

Regularly scheduled days off and University administrative holidays shall not be charged against vacation time. Vacation shall not accrue during a leave of absence without salary. Accrued vacation is portable across University locations if there is no break in service. If you separate from the University or retire, your accrued vacation leave (up to 384 hours) is reimbursed at the rate of your final salary. It is important to record your vacation leave in HBS and discuss your request in advance with your department.

The complete and current vacation policy is presented in APM 730.

8.3 Sick Leave

Faculty within the five series (i.e., Professor, In Residence, Clinical X, Health Sciences Clinical, and Adjunct) do *not* accrue sick leave under UC policies. However, each department makes specific provisions in its compensation plan to allow Health Sciences Compensation Plan (HSCP) participants paid leave, which may include extended illness leave. Most departmental compensation plans allow up to six weeks of extended illness leave to HSCP Participants at their negotiated

compensation rate, prorated based on appointment effort each academic year. Additional leave with pay may be possible under the disability guidelines. You should check your department's compensation plan for details and your eligibility.

In some cases, non-faculty academic (NFA) appointments (i.e., appointments outside of the five series mentioned above) accrue sick leave under UC policies. See [APM 710](#) if you think you may be eligible. For more information on these policies, see [APM 715](#) and [APM 760](#) and consult with your Academic HR Leave Specialist. NFAs represented by a specific bargaining unit are subject to the policies set forth in their specific bargaining agreement or contract.

8.4   Disability Leave Benefits

As mentioned above, faculty members who are HSCP participants do not accrue sick leave, but they may be entitled to extended illness leave of six weeks or more paid through their department's compensation plan. However, base disability coverage varies across departments. It is essential to clarify your department's policy with your Department Chair.

If you suffer a non-work-related disability that prevents you from working, you may be eligible for benefits. The University does not pay into California State Disability Insurance ([SDI](#)). If you have worked for UC for less than 18 months and your previous employer was in California, you may be eligible for CA-SDI benefits through your previous employer. You should contact SDI directly to understand your eligibility for this benefit. In lieu of this benefit, the University offers short-term and supplemental disability insurance through Lincoln Financial Group (LFG).

Employees with full benefits automatically receive Basic Disability benefits, which cover up to 55 percent of eligible monthly earnings to a maximum of $800 per month for up to six months. There is a 14-day waiting period before you can begin receiving benefits. However, you must use up to 22 days (176 hours) of extended illness leave if you have it. UC continues to pay its portions of the medical premiums for employees receiving Basic Disability income for up to six months. For HSCP participants, this benefit covers X+X' earnings only.

LFG also offers Voluntary Short-Term Disability (VSTD) and Voluntary Long-Term Disability (VLTD) benefits. Employees with full benefits may enroll in these voluntary disability benefits during the initial benefits eligibility period (usually a 31-day period that starts on the date of hire). Employees who apply after this date are required to submit a statement of health and may be disqualified based on a current or pre-existing medical condition. For HSCP faculty, these benefits provide up to 60 percent of eligible X earnings to a maximum benefit of $15,000 per month. Eligible earnings do not include by-agreement payments, compensation for University Extension teaching, summer salary, or additional compensation, including HSCP optional additional compensation. After 182 days, the definition of disability changes. Employees who still qualify receive up to 60 percent of their eligible earnings via the VLTD benefit until their disability ends or until they reach age 65, whichever is earlier. The cost of this benefit varies depending on your age and earnings.

Detailed information on [Faculty Disability Benefits](#) may be found on the UCOP website. The [Guide for Filing](#) provides instructions on applying for the short-term and supplemental disability benefits.

HSCP faculty members may be eligible to receive a separate disability benefit. Faculty should confer with their HR Generalist regarding their eligibility for the Hartford benefit and the application process.

If you suffer a work-related disability, you may be eligible for Workers' Compensation, a no-fault system that provides group insurance benefits to employees who become ill or injured because of work. Workers' Compensation is administered by the [Disability Management Services](#) (DMS) unit of Human Resources. If you are injured in the course and scope of your employment, notify your supervisor or Department Chair immediately and follow the [Employee Incident Protocol](#). For more information regarding workers' compensation benefits, contact DMS at (415) 476-2621.

8.5   Time Off to Attend Professional Meetings

You may be granted leave with pay to attend professional meetings or for University business (as described in [APM 752](#)). If the leave period is greater than seven days, the rules in [APM 758](#) and [759](#) apply. Leave to attend professional meetings must be discussed with and approved by your Chair and/or manager in advance. Coverage must be arranged with your colleagues, and the leave must not interrupt your usual University responsibilities. Additional approvals may be required.

8.6   Military Service

With certain restrictions, faculty are eligible for military leaves of absence without pay (as described in [APM 751](#)). In addition, faculty who have been in the service of the University for a full year prior to the commencement of military leave are entitled to receive salary or compensation for the first 30 calendar days in which they are engaged in the performance of military duties.

8.7   Government Service

Leaves of absence may be granted for consultation or other services to governmental agencies (e.g., NIH study section membership or jury duty). These leaves of absence are granted without pay when faculty are fully compensated for their services by the governmental agency. However, full or partial pay may be granted for leaves of 30 days or fewer per year, and partial pay may be granted for longer leaves under the conditions stated in [APM 750-10](#) if the total compensation received during the leave does not exceed the compensation that the appointee would normally receive from the University. Although the University of California and UCSF encourage government service to the NIH, faculty members are expected to verify their departmental and school/campus policies and obtain necessary approval from department, school, and campus leadership before assuming such long-term responsibilities.

8.8   Stopping the Clock on the Eight-Year Rule

As mentioned in section 1.2.1, appointments to an Academic Senate series (i.e., Professor, Professor In Residence, and Clinical X) are limited by the [eight-year rule](#). Under qualifying circumstances, a faculty member in one of these series at the Assistant rank may request to extend the eight-year limit for promotion to the Associate rank. This extension is referred to as "stopping the clock." If the request is approved, the faculty member may defer their promotion by one year. The faculty member may qualify to defer their promotion for another year based on a second qualifying circumstance. Faculty members are not required to take a formal leave or request a modification of duties to qualify for a stop-the-clock request. The qualifying circumstances for a stop-the-clock request are as follows: childbearing/pregnancy, childrearing for birth or adoption, a faculty member's serious health condition, care for a family member or bereavement, and other significant circumstances or events. A stop the-clock request may be submitted as soon as the need becomes apparent.

A request to stop the clock must be submitted before the end of the seventh year at the Assistant rank and before July 1st of the fiscal year in which the promotion review is scheduled to occur. The timeline for submitting a stop-the-clock request and the submission of promotion materials is calculated based on an individual's date of appointment into a Senate series. You should consult with your HR Leave Specialist to determine your specific deadline for submitting a stop-the-clock request. Requests to stop the clock are submitted in the Advance system. After the request has been submitted in Advance, it is reviewed by the Department Chair, Dean or designee, and the Vice Provost for Academic Affairs. Please see the Family-Friendly Policies and Resources section on the Office of Faculty and Academic Affairs website for more information.

Except for childbearing and parental leave, which is discussed below, time off with or without salary, *counts toward the eight-year rule*. However, you may petition the Chancellor to have certain periods of leave excluded if your leave is unrelated to your academic career. Your petition should be filed either when the leave is requested or, in the case of sick leave, within one quarter or one semester after the leave is taken.

8.9   Childbearing and Child Care

TABLE 4: PREGNANCY, CHILDBEARING, AND CHILD REARING LEAVE

	GUARANTEE	MAXIMUM DURATION	PAID	STOP CLOCK
Pregnancy (Disability) leave for medical needs prior to, during, and following pregnancy	PDL[1]	4 Months	No	Yes
Childbearing leave after pregnancy	FMLA/CFRA[2]	12 Weeks	Yes	Yes
Child rearing leave for newborns or newly adopted children under age five	FMLA/CFRA	12 Weeks	Yes	Yes
Extended child rearing leave – negotiated with advance consent from the Department Chair, School Dean, and Executive Vice Chancellor	–	1 Year	No	Maybe

Additional guarantees are provided under APM 760 and APM 133.17

8.9.1   Pregnancy and Leave

The federal Family and Medical Leave Act (FMLA) and the California Pregnancy Disability Leave Laws (PDL) assure various forms of leave during pregnancy. Under the FMLA, any period of incapacity or treatment due to pregnancy, including prenatal care, is included as a "serious health condition." If eligible, an employee may take up to 12 workweeks of unpaid FMLA leave due to pregnancy.

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1 California Fair Employment and Housing Act

2 UCSF Leave Management

Under the PDL, an employee may take up to four months of unpaid medical leave for the period of actual disability caused by pregnancy, childbirth, or related medical conditions (G. C. Sec 12945(b)(2)). For example, an employee put on medical bed rest during or after pregnancy may access unpaid medical leave. During this time, no duties may be required by the University. Because this time is unpaid leave, employees may want to reserve paid vacation to use during part or all of this period.

The University-guaranteed forms of childbearing and parental leave are detailed in APM 760. This policy, as well as advisement from Academic HR, should be reviewed before taking leave.

8.9.2   Prenatal, Childbearing, and Child Rearing Leave

The initial twelve weeks of *paid* childbearing leave are available to HSCP faculty in all five series (i.e., Professor, In Residence, Clinical X, Health Sciences Clinical, and Adjunct). Faculty should consult their department HSCP and contact their Academic HR Leave Specialist for more information.

A pregnant employee is protected under the PDL for up to four months and, if eligible, is concurrently protected under FMLA (12 weeks). Both laws guarantee the continuation of the employer contribution for benefits and the ability to return to the previous position.

A birth parent who is eligible for FMLA at the time of the leave is also eligible for 12 weeks of leave under the California Family Rights Act (CFRA) for bonding. CFRA leave taken to care for a newborn runs concurrently with parental leave taken for the same purpose (APM 760-27-a). Combining FMLA, PDL, and CFRA, protected leave is available for up to seven months for the birth parent. However, if the birth parent is disabled by pregnancy for a longer period, additional leave may be determined to be a reasonable accommodation under state and federal disability law.

Non-birthing and adoptive parents may be eligible for up to 12 workweeks of state or federal family and medical leave (FMLA/CFRA) to care for their newborn child or child newly placed for adoption or foster care.

Pay for Family Care and Bonding (PFCB) allows faculty to receive 100% of their eligible earnings for up to eight workweeks per calendar year. This option is available when the employee is on approved FMLA for a qualifying reason. See the PFCB website for more details.

Childbearing and child rearing leave may be excluded from the time counted toward the eight-year rule. Faculty members can stop the tenure clock even if they do not take a formal leave or have a modification of duties. All requests to stop the clock must be made in Advance. *Faculty must provide notice of intent to stop the clock within two years of a birth or placement and before July 1 of the academic year in which a promotion review is to occur.*

Individuals may also elect to take leave without pay for up to one year following the birth of a child. If such leave is taken, the time to tenure may be extended from eight to nine years (see Stopping the Clock in section 8.8 of this handbook). Arrangements for a full year's leave and an extension of the time to tenure must be formulated in advance with the agreement of the Department Chair, School Dean, and Executive Vice Chancellor. *Unless you obtain specific permission from the Executive Vice Chancellor for an extended leave without pay, your promotion clock will continue ticking.* Both

limited and extended child rearing leave may be elected by either parent. It is essential to plan for all leaves associated with childbearing and child rearing well in advance and to work closely with your Academic HR Leave Specialist and faculty members whose academic responsibilities will be affected by your leave.

8.9.3   Family Medical Leave Act (FMLA)/California Family Rights Act (CFRA)

As mentioned above, family and medical leave, combined with University-supported leave, provide up to twelve workweeks of leave in a calendar year, the continuance of health plan coverage as if on paid status, and reinstatement rights. Under FMLA and/or CFRA, leave may be taken to treat your own serious health condition; care for your child, parent or spouse with a serious health condition; or care for your newborn child or newly placed adopted or foster child. Qualifying exigency leaves and military caregiver leaves are also covered under FMLA.

The CFRA allows for leave to care for some additional family members, including parents-in-law, siblings, designated persons, children (of any age), grandparents, grandchildren, registered domestic partners, and children of domestic partners. No salary accompanies these leaves. However, if pay is available, FMLA leave may run concurrently with disability, sick, extended illness, or childbearing leave provided by your department or the University.

The guidelines in APM 760-27-a place no age limit on parental leave. Faculty members are encouraged to make special arrangements with their Department Chair when additional time is needed to care for an older child or a parent. In the past, temporary reductions in percentage effort and extended leaves without pay have been granted. Although HSCP faculty do not accrue sick leave through the University, most department compensation plans provide up to six weeks of extended illness leave each fiscal year for a faculty member's own serious health condition and up to five days per fiscal year when an HSCP participant is unable to work because of caregiving duties for a spouse, domestic partner, child, or parent who is ill. For more information regarding family and medical leave, refer to APM 715.

Should a medical leave for your own serious illness extend beyond the FMLA period of 12 weeks, the University will assess leave protections under the Americans with Disabilities Act (ADA) and the Fair Employment and Housing Act (FEHA) in an interactive process. Reasonable accommodations for academic appointees with disabilities are covered in APM 711.

8.10   Sabbatical

Faculty in the Professor (Ladder Rank) Series are entitled to sabbatical leave, that is, the absence from regularly scheduled duties, after seven years at the rank of Assistant Professor or higher. In other words, faculty begin to accrue the seven years of service required to request sabbatical leave at the rank of Assistant Professor. Sabbatical leaves are granted to enable faculty to engage in intensive programs of research or study and, thus, to become more effective teachers and scholars and enhance their service to the University. *Sabbatical leaves may be granted every seven years* but must be carefully planned in advance with the agreement of the Department Chair. Salary during sabbatical leave usually is paid at the departmental base but may be supplemented from other resources, such as grants and contracts. All University benefits continue during the sabbatical leave period. The guidelines governing sabbatical leave are provided in APM 740.

8.11 Professional Development Leave

Your Department Chair may support a request to participate in a development program via flexible or alternate work scheduling, leave without pay, leave at full or partial pay, the full or partial payment of fees and expenses, and temporary or part-time reassignment to another department. Such leaves must be planned well in advance and with the agreement of the Department Chair. Professional development leave generally is available and follows the same schedule as sabbatical leave. Salary during professional development leave is negotiated with the Department Chair in accordance with the Departmental HSCP policy.

9.0 Resources

Promotion at UCSF is demanding. The demands of an academic career are predicated on the availability of a broad-based system of support. It is important to be aware of the resources on campus to guide and assist you in your career. Examples include the faculty development programs offered by the Academic Services unit in the Office of the Executive Vice Chancellor, the University of California Faculty Handbook published by the Office of the President, and other resources provided by your department. Help with personal problems is available for all University personnel through the Faculty and Staff Assistance Program (FSAP).

9.1   University Governance and Shared Governance Resources

9.1.1   University Academic Senate (UC Systemwide)

The Academic Senate is the voice of the faculty within the University of California's system of shared governance. The Academic Senate consists of the President, Vice Presidents, Chancellors, Vice Chancellors, Deans, Provosts, Directors of Academic Programs, Registrars, and the University Librarian on each campus of the University; the Chief Admissions Officer on each campus and in the Office of the President; and faculty members.

The systemwide Academic Senate and the Divisional Campus Senates provide the organizational framework that enables the faculty to exercise its right to participate in the University's governance. Under the leadership of the Systemwide Senate Chair, the faculty voice is formed through a deliberative process that includes the Standing Committees of the Senate, the Academic Council, the Assembly of the Academic Senate, and their Divisional counterparts. Consultation with the senior administration occurs via parallel structures at the systemwide and campus levels. At the systemwide level, the Systemwide Senate Chair consults with the President, and at the campus level, the Divisional Senate Chairs consult with their respective Chancellors. With some exceptions, as defined by Standing Order of the Regents 105.1, Senate membership is granted to anyone who has an academic appointment at the University. The code of the Senate is in the Manual of the Academic Senate, which is divided into two sections: the Bylaws, which set forth the membership, authority, and organization of the Senate, and the Regulations, which codify the requirements for admission, degrees, and courses and curricula.

9.1.2   Divisional Academic Senate (UCSF)

An Academic Senate exists at each University of California campus and is referred to as a "Division of the Academic Senate." The UCSF Division of the Academic Senate (senate.ucsf.edu) has 15 standing committees, Faculty Councils representing each school (Dentistry, Medicine, Nursing, and Pharmacy), an Executive Committee, and a Committee on Committees (COC). The COC is an elected body that appoints the officers of the UCSF Academic Senate, UCSF delegates to the Assembly of the Academic Senate, UCSF representatives to systemwide Academic Senate committees, and the members of all standing committees of the Division. The COC also identifies Academic Senate members to serve on Chancellor committees at the request of the Chancellor.

The UCSF Academic Senate is led by the Officers of the UCSF Division, which comprise a Chair, Vice Chair, Secretary, and Parliamentarian. These appointments are for two-year terms, and the Vice Chair becomes the Chair at completion of the Chair's term.

The Academic Senate sponsors the most prestigious lectures at UCSF, the [Faculty Research Lectures](#), which are awarded to UCSF faculty who demonstrate excellence in research. Additionally, the Academic Senate selects the recipients of the campus Distinction in Teaching and Distinction in Mentoring Awards, both of which recognize junior and senior faculty for their teaching and mentoring efforts. The Academic Senate is also involved in selecting and awarding Faculty Learning and Development Awards (administered by the Faculty Councils).

The UCSF Academic Senate is supported by an office of dedicated analysts who assist with the work of the Academic Senate's committees and officers and provide general support for the UCSF faculty role in shared governance.

The Academic Senate committees are the governing bodies that oversee and perform the work of the University across multiple domains supporting UCSF's academic mission and faculty. These committees rely on faculty engagement and volunteerism to create a rich environment of shared governance. The Academic Senate sends out a general call for committee volunteers every year in the fall, and volunteer submissions are open year-round. UCSF faculty belonging to all four schools (Medicine, Pharmacy, Nursing, and Dentistry) in both Senate and non-Senate Series are encouraged to volunteer to serve on UCSF Senate standing committees through the [Senate Service Portal (SSP)](#). Occasionally, the Senate may ask for volunteers to non-Senate committees or task forces at UCSF or for volunteers to systemwide committees or task forces.

By volunteering for Senate service, you are exercising your right to participate in shared governance at UCSF. Service to the Senate can be included on your CV and is taken into consideration when you apply for promotions and advancements, and exceptional service can be the basis for an acceleration. Feel free to contact the Senate office for additional information regarding its standing committees or how to volunteer ([senate.ucsf.edu/academic-senate-staff](#)).

9.1.3   Committee on Privilege and Tenure Committee

The [Committee on Privilege and Tenure](#) is a standing committee of the Academic Senate at UCSF. The Committee on Privilege and Tenure handles three types of matters:
1. Senate faculty grievances;
2. Senate faculty disciplinary cases; and
3. Cases in which a Senate or non-Senate faculty member challenges the cause for early termination.

A [panel of advisors](#) is available to answer questions or provide additional information on matters under the purview of the Committee on Privilege and Tenure. More information about this committee is available on the [Academic Senate website](#).

9.1.4   Committee on Academic Personnel (CAP)

The Committee on Academic Personnel ([CAP](#)) is the Senate Committee that reviews faculty packets for advancement and promotion and makes recommendations to the Vice Provost, Academic Affairs. CAP generally reviews faculty appraisals, appointments, changes in series, promotions, and merit increases from Step 5 to Step 6 and from Step 9 to Above Scale. CAP also reviews campus and University policies and procedures related to academic personnel and represents the Division on matters related to appointments and promotions. This committee also selects the annual recipients of the UCSF Distinction in Teaching and Distinction in Mentoring Awards.

9.1.5 Academic Personnel Manual (APM)

The Academic Personnel Manual (APM) includes policies and procedures pertaining to the employment relationship between you and the University of California. Academic Personnel Policies are issued by the President of the University of California.

The APM is published online as a series of PDF documents. It is provided at the Office of the President's website listed under the section heading "Academic Affairs-Academic Personnel." As of the time of this printing, the URL for the APM is www.ucop.edu/academic-personnel -programs/academic-personnel-policy/.

9.2 Academic Career Resources

9.2.1 UCSF Office of Research

The Office of Research is the chief administrative unit and catalyst for advancing research at UCSF. The mission of the Office of Research is to promote research and improve health by providing high-quality services to investigators, fostering new research initiatives, and promoting translational discoveries for the public benefit. The Office of Research provides leadership, direction, and management of campuswide research administration, infrastructure, and services and oversees the Office of Sponsored Research and the Research Development Office, among others.

9.2.1a Human Subjects Protection Program

UCSF has established policies to assure full compliance with all federal regulations, state laws, and University of California policies governing the use of human subjects in research. The Human Subjects Protection Program (HRPP) creates a full circle of protection for research subjects and researchers by providing education and training, the Committee review process, and post-approval monitoring. More information on the HRPP (irb.ucsf.edu) and the three groups that comprise it (the Institutional Review Board, the Quality Improvement Unit, and the Human Gamete, Embryo, and Stem Cell Research Committee) can be found online.

9.2.1b The Institutional Animal Care and Use Committee (IACUC)

The Institutional Animal Care and Use Committee (iacuc.ucsf.edu) oversees all UCSF research and instruction that involves vertebrate animals to ensure that the highest ethical and animal welfare standards are met.

9.2.1c Office of Environmental Health and Safety (OEH&S)

The Office of Environmental Health and Safety (ehs.ucsf.edu) is designated to assist UCSF in achieving its goal of maintaining a safe and healthy workplace. Further information on OEH&S is provided in section 550 of the UCSF Administrative Policy website.

9.2.2 Intellectual Property

9.2.2a UCSF Innovation Ventures

UCSF Innovation Ventures (innovation.ucsf.edu) is charged with bringing the results of research and educational programs at UCSF forward for public use and benefit and applying any net revenues derived from licensing those results toward the support of the research and educational missions of UCSF. Its purpose is to support the transition of UCSF innovation out of the lab and into the marketplace. More information on its entrepreneurship program can be found at https://innovation.ucsf.edu/venture/entrepreneurship.

9.2.2b Patent and Copyright Information

Resources related to UC systemwide policies on patents and copyrights are available online. The University's patent policy may be found at www.ucop.edu/innovation-transfer-operations. General copyright concerns are addressed at copyright.universityofcalifornia.edu. All UC employees must sign a Patent Acknowledgement Form prior to commencing work for the University. To obtain copyright permissions online, visit the Copyright Clearance Center at www.copyright.com.

9.2.2c Collegial Advice to Assistant Professors

Dr. Evelyn M. Silvia, Professor, Department of Mathematics, UC Davis has written a helpful document offering beneficial advice to Assistant Professors. In this document, Dr. Silvia shares some in-house information and provides suggestions, such as keeping track of professional endeavors, setting priorities, choosing committees on which to serve, and recognizing warning signs that can influence progress up the academic ladder. This document can be found at www.math.ucdavis.edu/~emsilvia/CollegialAdvice/html/CollegialAdvice.html.

9.3 Family and Parenting Resources: Family Friendly Policies

The University of California and UCSF have established policies and programs to assist faculty and other academic appointees in balancing the needs of work and family. Descriptions of and contact information for various programs and a listing of related links are provided at campuslifeserviceshome.ucsf.edu/familyservices.

9.3.1 Elder Care

UC's Years Ahead benefit, available to eligible employees, helps families navigate the process of finding care for aging loved ones. Years Ahead offers resources that help families better understand various care options, referrals to care providers across the U.S., and phone consultations with certified senior advisors if additional guidance is needed. UC provides this benefit in partnership with Bright Horizons Family Solutions. For more details, visit http://tiny.ucsf.edu/AdultCare.

9.3.2 Childcare at UCSF

UCSF is committed to supporting the well-being of faculty families. The University has partnered with Bright Horizons Family Solutions, a leading provider of high-quality childcare, early education, and other services, to operate and manage its four childcare centers (http://tiny.ucsf.edu/ChildCareCenters). Please note that access to the UCSF centers can be limited, especially for infants. Faculty members are advised to join the wait pool as soon as they anticipate a need for care. To learn about care options in the general community, please contact the UCSF Child Care Referral Service (http://tiny.ucsf.edu/ReferralService).

9.3.3 UCSF Lactation Accommodation Program

The UCSF Lactation Accommodation Program (https://tiny.ucsf.edu/UCSFpump), supported by Campus Life Services Family Services, is devoted to helping lactating persons continue to comfortably provide milk after returning to work or school. The program ensures access to clean, comfortable, private lactation rooms on campus, information on your lactation rights, workshop and support groups, free insulated cooler bags, emergency pump kits, and discounts on lactation supplies. Please visit their website or contact LactationProgram@ucsf.edu to learn more.

9.4   Benefits and Employee Resources

9.4.1   UC Human Resources and Benefits

UCPath is a comprehensive website with information about UC benefits that affect employees, including health and insurance, retirement and savings, personnel policies and programs, and any new or forthcoming changes to such programs. You can access this service through the UCSF My Access single sign-on page. Faculty should also review the main Benefits page on the University of California website.

9.4.1a UCSF Human Resources

UCSF Human Resources (hr.ucsf.edu) provides services to attract, develop, motivate, and retain a diverse workforce within a supportive work environment. HR can provide information and training related to hiring and supervising staff employees, managing problem employees, understanding the terms of labor union contracts, hiring temporary employees, and so forth. For more information, visit the UCSF Human Resources website.

9.4.1b Campus Council on Faculty Life

The Campus Council on Faculty Life (CCFL) is chaired by Vice Provost Brian Alldredge, and its membership includes 21 faculty from all academic ranks, series, and major campus sites. Its members represent scientists and clinician educators from all disciplines. The Council is charged with developing programs in response to the Faculty Climate Survey and considering other ways to improve faculty life.

9.4.1c UCSF Faculty and Staff Assistance Program (FSAP)

The Faculty and Staff Assistance Program provides confidential assessment, counseling, crisis intervention, and referral services to faculty, staff, and healthcare professionals within the campus community.

> Faculty and Staff Assistance Program
> 3333 California St., Suite 293
> San Francisco, CA 94143-0938
> Phone: (415) 476-8279
> Email: FSAP@ucsf.edu
> Website: https://hr.ucsf.edu/benefits/staff-and-faculty/faculty-and-staff-assistance-program

9.4.1d UCSF Health Care Facilitator (HCF)

The UCSF Health Care Facilitator, a member of the UCSF HR Department, can assist you with questions about navigating your health plan to obtain the full benefits of the services available. The Health Care Facilitator is also available to help you resolve problems that may arise related to your UC-sponsored health plan.

9.4.1e UCSF Disability Management Services (DMS)

Disability Management Services (DMS) provides workplace supports and/or reasonable accommodation assistance to UCSF Health and campus staff, faculty, residents, and postdoctoral scholars with disabilities to identify reasonable accommodations. DMS also manages the campus workers' compensation program. DMS can be reached at 415-476-2621.

9.4.1f UC Home Loan Program Resources

The [Mortgage Origination Program](#) (MOP) is a recruitment tool to assist qualifying new faculty members in purchasing their first home in the Bay Area. Eligibility for MOP participation is restricted to faculty with appointments in the Academic Senate series (Professor, Professor In Residence, or Professor of Clinical X) and members of the Senior Management Group (SMG) within the first two years of an eligible appointment. For more information on this program, please follow the above link.

9.4.2   Bank Services

The [Golden 1 Credit Union](#) has a branch located on the Parnassus Heights campus in Millberry Union West that provides special low-interest-rate loans and dividend-earning checking and savings accounts for UCSF and California State employees.

Golden 1 Credit Union, Wells Fargo, and Bank of America ATMs are located on the Parnassus campus between the Ambulatory Care Center and the Millberry Union. Additional Golden 1, Wells Fargo, and Bank of America ATMs are located on the B1 Level of the Millberry Union.

9.4.3   Fitness and Recreation Centers: Parnassus and Mission Bay Campuses

The Millberry Fitness Center at Parnassus and the Baker Fitness Center at Mission Bay ([campuslifeserviceshome.ucsf.edu/fitnessrecreation](#)) offer programs and services to help faculty achieve and maintain a healthy quality of life.

9.4.4   Housing

Housing Services, under the office of Campus Life Services, offers multiple housing options for UCSF faculty near the Parnassus Heights, Mount Zion, and Mission Bay campuses. Housing Services also provides resources for short-term lodging and off-campus housing.

UCSF has partnered with Landed, Inc. to provide a mortgage and home-buying assistance program for all UCSF faculty and staff. This program is a third-party program and is managed externally. Faculty can contact Landed via https://www.landed.com/ucsf or by e-mailing hi@landed.com.

Additionally, UC has a systemwide Mortgage Origination Program to assist faculty recruits into a Ladder Rank, In Residence, or Clinical X title in buying their first home near campus by offering a below-market rate mortgage with a low down payment. Information on the UC home loan programs for new eligible recruits is featured on the Office of Faculty and Academic Affairs website at https://tiny.ucsf.edu/homeloanprograms.

9.4.5   Parking and Transportation

The mission of the Parking and Transportation Services Office is to facilitate campus access to faculty, staff, students, and the community for University business and activities. Most UCSF campus sites are in densely populated areas, meaning that access can be difficult at times. Campus parking facilities are very limited. For this reason, you should avoid commuting by automobile and make every effort to utilize public transit or ridesharing or to bike or walk to campus.

The UCSF Parking and Transportation Services staff can assist you in finding alternative forms of transportation. The Parking and Transportation Services website features information regarding

general parking, parking permits, handicapped parking, motorcycle parking, public transportation options (including BART, MUNI, and Marin County commuting), UCSF campus shuttles, pre-tax programs, and more.

> Parking Office:
> MU G26 – Millberry Union Building
> 500 Parnassus Avenue
> Monday-Friday 7:45 A.M.-4:45 P.M.
>
> Transportation Office:
> MCB 500 – Mission Center Building
> 1855 Folsom Street
> Monday-Friday 8 A.M.-4:30 P.M.
>
> Contact information:
> Phone: 415.476.4647
> Email: transportation@ucsf.edu
> Website: campuslifeserviceshome.ucsf.edu/transportation

9.5   Office of Diversity and Outreach

UCSF is committed to building a broadly diverse community, nurturing a culture that is welcoming and supportive, and engaging diverse ideas for the provision of culturally competent education, discovery, and patient care. The Office of Diversity and Outreach exists to create an environment at UCSF in which each individual's contribution is valued and everyone can succeed, foster and ensure equal opportunity for all persons involved with UCSF, and promote diversity at all levels of the campus community (diversity.ucsf.edu).

9.5.1   Academic Placement Goals

Federal affirmative action regulations require each campus to produce annual statistical reports comparing the percentage of women and minority faculty in each academic job group with the availability percentage. When the percentage of women or minority faculty in a particular academic job group is less than would reasonably be expected, given their availability, the campus must establish percentage annual placement goals at least equal to the availability figures derived for women and minority faculty, as appropriate for each job group. Annual reports and strategic plans related to diversity, equity, and inclusion goals are available at the UCSF Office of Diversity and Outreach website (https://diversity.ucsf.edu/data-reports/reports-plans).

9.5.2   Staff Placement Goals

As with academic placements, federal affirmative action regulations require each campus to produce annual statistical reports comparing the percentage of women and minority employees in each staff job group with the availability percentage. When the percentage of women or minority employees in a particular staff job group is less than would reasonably be expected, given their availability, the campus must establish percentage annual placement goals at least equal to availability figures derived for women and minority employees, as appropriate for each job group.

9.5.3   Affirmative Action Guidelines for Faculty Recruitment and Retention

The Affirmative Action guidelines describe both mandatory and voluntary affirmative action programs, consistent with the law and University policy, that may be undertaken to promote equal employment opportunity in the context of faculty employment practices. These guidelines may be requested from the Office for the Prevention of Harassment and Discrimination (https://ophd.ucsf.edu/AAPlan).

9.5.4   LGBT Resource Center at UCSF

The LGBT Resource Center at UCSF, a division of Office of Diversity & Outreach, provides education, information, support, and advocacy services to the campus community. The Center works toward creating and maintaining a safe, inclusive, and equitable environment for LGBTQIA+ students, staff, faculty, postdocs, residents, fellows, alumnae, and patients. The Center further aims to sustain visibility and a sense of community throughout the campus and medical center. They are committed to building workplace equity, promoting student and staff leadership, and providing high-quality, culturally sensitive care to patients.

9.5.5   Office of the CARE Advocate

The Office of the CARE Advocate provides free, CONFIDENTIAL support to any UCSF affiliate, including students, staff, and faculty, who have experienced interpersonal violence, such as sexual assault, dating or intimate partner violence, sexual harassment, or stalking. Services are available to people of all genders. The incident need not be recent, nor does it have to have occurred on campus to receive services. The CARE Advocate can explain options for filing a report and non-reporting options and can provide resources and accompaniment. The advocate can also facilitate housing, academic, or other accommodations. CARE staff are available to consult and provide training to students, faculty, or staff regarding interpersonal violence. The CARE Advocate may be reached at (415) 502-8802.

9.5.6   Office of Sexual Violence Prevention & Response

The mission of the Office of Sexual Violence Prevention & Response (shpr.ucsf.edu) is to educate the campus community on the prevention and resolution of sexual violence and harassment and to provide timely, neutral, thorough, and fair services, handling sexual harassment complaints in accordance with University policy, governing laws, and regulations. In addition, the Office investigates and mediates complaints, coordinates the training of campus sexual harassment advisors, and serves as a resource for questions about sexual harassment issues. The Office of Sexual Violence Prevention and Response may be reached at (415) 476-5186.

Glossary of Terms and Acronyms

AA/EO – Office of Affirmative Action/Equal Opportunity/Diversity

Above-scale – Above scale refers to a full time salary rate for an academic appointee which exceeds the maximum salary designated for the title series in the published salary scales.

Academic Personnel Manual (APM) – This manual covers policies and procedures pertaining to the employment relationship between an academic appointee and the University of California.

Academic Personnel, Office of – The Office of Faculty and Academic Personnel develops, implements, and manages policies that affect issues of compensation, benefits, and employee relations for all academic personnel at UCSF. Academic personnel include graduate student employees, academic service professionals, academic research professionals and faculty.

Academic Senate – The Academic Senate is the voice of the faculty in the University of California. It represents the faculty in the "shared governance" of UC. This responsibility is delegated by the Regents and shared with the University administration, both at the campus level and systemwide.

Accelerated Merit – An acceleration takes place when an appointee advances to a rank or step in advance of the normal period of time. University policy establishes normal periods of time for each rank and step. See Academic Salary Scales.

Ad Hoc Review Committee – An ad hoc review committee can be proposed by the Committee on Academic Personnel (CAP) to provide additional expertise or perspective on a particular personnel review file. Ad hoc committees are made up of three faculty members and provide non-binding recommendations to CAP and the Executive Vice Chancellor.

Adjunct – A UCSF faculty series. Title in this series are assigned to (1) individuals who are predominantly engaged in research or other creative work and who participate in teaching, or (2) individuals who contributed primarily to teaching and have a limited responsibility for research or other creative work. See APM 280.

APM – See Academic Personnel Manual.

Appraisal of Achievement and Promise – An appraisal is a formal evaluation of an Assistant Professor or certain other titles such as Assistant Professor In Residence, which is made in order to arrive at a preliminary assessment of the candidate's prospect for eventual promotion as well as to identify appointees whose records of performance and achievement are below the level of excellence expected.

ATCR – Advanced Training in Clinical Research Certificate Program

CAP – See Committee on Academic Personnel

Career Review – An academic personnel review at a faculty member's request to evaluate the faculty member's rank and step within a series, or a change-in-series.

Clinical – A UCSF faculty series. Appointees in the Clinical series teach the applications of basic sciences and clinical procedures to clinical practice in all those areas concerned with the care of patients.

Clinical X – A UCSF faculty series. Titles in this series are assigned to academically qualified individuals who are occupied full time in the service of the University, whose predominant responsibilities are in teaching and clinical service, and who also engage in creative activities. An appointee to a title in this series will normally carry a heavier load of teaching and/or clinical service than appointees in the regular Professor series or in the Professor In Residence series.

COIAC – Chancellor's Conflict of Interest Advisory Committee.

Committee on Academic Personnel (CAP) – This Academic Senate Committee makes recommendations to the Chancellor concerning appointments, promotions, policy and related matters and also represents the Division in all matters relating to appointments and promotions.

Curriculum Vitae (CV) – A curriculum vitae is an outline of an individual's professional life, and includes the most relevant information about one's education, work experience, presentations, publications, honors, awards, membership in professional organizations and volunteer service. UCSF CV guidelines are located at facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement (Dossier Checklists.)

Decelerated Merit – A deceleration can occur when an appointee does not advance to a rank or step within the normal period of time.

DMS – Disability Management Services

Eight-year Rule/Tenure Clock – An eight-year limitation of service is imposed on certain academic appointments. For these particular appointments, if an individual has not advanced past their rank within or at the end of eight years of service, their appointment is not continued. See APM 133 and section 2.7.10 of this Handbook for more information.

Emeritus/Emerita/Emeriti – Emeritus is an honorary title conferred, upon retirement, to certain academic appointees.

EVC – Executive Vice Chancellor.

Faculty Code of Conduct – the Faculty Code of Conduct is the code of professional rights, responsibilities and conduct of University faculty, and University Disciplinary Procedures. This document is located in APM 015.

FEHA – California's Fair Employment and Housing Act.

Five-Year Review – A "five-year review" is an academic personnel review of any faculty member who has not had a review processed within the previous five year period.

FMLA – Family and Medical Leave Act. This federal law grants an eligible employee up to 12 weeks of unpaid, job-protected leave in a calendar year when certain circumstances are present, including: birth of a child and/or to care for a newborn child; placement with the employee of a child for adoption or foster care; employee's own serious health condition; care for employee's spouse, child, or parent with a serious health condition; care for a domestic partner with a serious health condition under policy and certain bargaining agreements.

FSAP – Faculty and Staff Assistance Program

GCRC/ PCRC – General Clinical Research Center/Pediatric Clinical Research Center

Health Care Facilitator – The UCSF Health Care Facilitator (HCF) helps UCSF faculty and staff (and their covered relations) understand and obtain the full benefits and services available from their UC-sponsored health plans. The UCSF Health Care Facilitator can be reached at (415) 514-3324.

HIPAA – Health Insurance Portability and Accountability Act of 1996.

HSCP – Health Science Compensation Plan.

HRPP – Human Research Protection Program (HRPP)

IACUC – Institutional Animal Care and Use Committee.

ICMJE – International Committee of Medical Journal Editors.

In Residence – A UCSF faculty series. Titles in this 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 Professor series in the same department. Professor In Residence titles are intended to be used for individuals supported by non-State funds. See APM 270.

Instructor – A title within the Professorial series. An appointment is limited to a maximum of a one-year term, but reappointment for an additional term may be approved. The total University service as Instructor may not exceed two years.

International Recognition – Recognition of an individual's achievements beyond the nation where you live and/or work. Required for promotion in certain series.

IRB – Institutional Review Board. An Institutional Review Board chartered under the Common Rule to protect human research subjects. In UC these IRBs serve the Privacy Board function and can grant waivers from the requirement to obtain patient authorization to use or disclose personal health information in research.

ISSO – International Students and Scholars Office. Part of the Office of the Dean of Graduate Studies, Office of Admissions and the Registrar

ITA – Office of Innovation, Technology & Alliances.

Ladder Rank – Ladder rank faculty are faculty holding tenured titles or non-tenured titles in a series in which tenure may be conferred. These series are: Professorial series, Clinical Professor of Dentistry (50 percent or more time) series, and Supervisor of Physical Education series.

Lecturer – The title Lecturer, whether used as an only title or as an additional title, is assigned to a professionally qualified appointee not under consideration for appointment in the professorial series (in contrast to the usual expectation of Acting appointees), whose services are contracted for certain teaching duties, often for limited periods or for part-time. See APM 283.

Lecturer with Security of Promotion – Lecturer titles which have or lead to security of employment are faculty positions designed to meet the long-term instructional needs of the University which cannot be best fulfilled by an appointee in the regular professorial series. A budgeted FTE must be allocated for any appointment in this series.

LGBTR – Lesbian, Gay, Bisexual, Transgender, Intersex Resources.

Merit – A merit or merit increase is awarded as a direct result of a favorable evaluation of past performance. For academic appointees who are on a rank/step system, a merit increase is an advancement in salary rate and step (or to an above-scale salary) without a change in title or rank. For appointees who are paid on a salary range, a merit increase is an advancement in salary rate, without a change in rank or title.

MSO – Management Services Officer.

National Recognition – Recognition of an individual's achievements beyond the region where you live and/or work. Required for promotion in certain series.

NCIRE – Northern California Institute for Research and Education.

NIH – National Institute for Health.

OAR – Office of Admissions and Registrar.

OEH&S – Office of Environmental Health & Safety.

Off-scale – The salary for an appointee at a certain rank and step is designated as off-scale if the salary is higher than the published salary at the designated rank and step for the relevant title series.

Personnel Review File/Packet/File/Promotion Packet – The personnel review file is that portion of the academic personnel records pertaining to an individual, maintained by the University for purposes of consideration of personnel actions under the relevant criteria set forth in the Academic Personnel Manual. An individual's personnel review file shall contain only material relevant to consideration of personnel actions under these criteria. Final administrative decisions concerning personnel actions such as appointment, promotion, merit increase, appraisal, reappointment, non-reappointment, and terminal appointment shall be based solely upon the material contained in the individual's personnel review file.

PHI – Protected Health Information.

PI – Principal Investigator.

Professional Research – The Professional Research series is used for appointees who engage in independent research equivalent to that required for the Professor series and not for appointees whose duties are limited to making significant and creative contributions to a research project or to providing technical assistance to a research activity. Appointees with Professional Research titles do not have teaching responsibilities. See APM 310.

Promotion – A promotion is an advancement from one rank to a higher rank within the same academic title series.

Rank – A level of appointment within a title series.

Recall/Post Retirement Appointment – The reappointment of an academic appointee who has retired. The University may recall to active service on a year-to-year basis, provided such appointments are not in conflict with the terms of the University of California Retirement Plan and/or University policy.

Redacted Review Records – When an individual requests access to confidential academic review records, the records are subject to specific redaction, including the removal of identifying information of the evaluator on a letter of evaluation and any Ad Hoc Committee members. See APM 160-20-c(4).

Series – Category of appointment (e.g., Professor, Professor In Residence, Professor of Clinical X, Clinical Professor, Adjunct Professor, etc.)

Step – Most academic titles have established levels of salary within each title or rank. Each level is referred to as a step.

Stopping the Clock – An individual is allowed to temporarily "stop" their eight-year clock in certain circumstances, such as childbirth or child rearing. See APM 133-17 and section 8.8 of this Handbook for more information.

Tenure – Tenure is the status of an Associate Professor and Professor and positions of equivalent rank which are continuous until ended voluntarily by retirement or resignation, or involuntarily by demotion or dismissal. An appointment with tenure may be terminated by The Regents only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate.

TICR – Training in Clinical Research Program.

UCOP (also OP) – University of California, Office of the President.

UCRP – University of California Retirement Plan.

WHAT – Women's Health at Twelve.

Important Points for Discussion Between Department Chairs/Oru Directors and New Faculty Appointees

Name:	
School:	Home Dept.:
Additional Appointments:	

Type of appointment and compensation:

☐ Series of proposed appointment and information on how it differs in expectations and commitments from other series, including criteria for advancement

☐ Rank, step and percent time of the appointment as well as the implications of these for advancement.

☐ Total Negotiated Annual Salary: Covered Compensation:

☐ Sources of Compensation

☐ Responsibilities of the faculty member related to the compensation plan (if applicable). A copy of the plan should be provided to the candidate.

☐ Provision of the booklet "Advancement and Promotion at UCSF: A Faculty Handbook for Success" and the opportunity to have questions answered about its content.

Responsibilities and expected distribution of time:

☐ Approximate percent of protected time to conduct research/creative activities during the first year of the appointment and discussion of the percent of protected time that can be expected in future years.

☐ Clarification of specific responsibilities for participation in departmental teaching and/or clinical programs, including approximate percent of time devoted to teaching (if applicable) and to clinical practice (if applicable)

☐ Expectations for University and public service (as compared to professional commitments)

Identification of specific resources available for mentoring administrative support and resources

☐ Identification of Department/School resources and mentors for faculty development of research, teaching, and professional competence

☐ Identification of the location of office space and research space (if applicable)

☐ Specific computer and other technology or equipment that will be available

☐ The nature of administrative and clerical support and other resources that will be available

☐ Identification of Department, School and/or campus resources and contacts related to health and other benefits, library support, parking and commuting, et cetera

Confirmation of discussion:

☐ Confirmation letter of discussion

The 2020 In Residence Task Force Report
September 2020

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.[1]

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

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1 See APM 760-29 and the UCSF Temporary Reduction in Percentage of Time fact sheet.

to appointees at the Assistant rank.

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)[2]

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.[3]

In the event that salary support at the level of X+X'[4] 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

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2 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.
3 See Appendix F for a visual overview of the terminal year appointment process.
4 Definition available in Appendix C.

for academic affairs at any point during this process including before a Notification of Terminal Year Appointment is issued. Any such meeting does not 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.[5]

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[6] 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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5 Seniority is defined as the number of months of full-time equivalent service with the University.
6 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:[7] (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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7 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.[8] 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, vice provost 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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8 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."[9]

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

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9 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.

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.[10] 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.

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.

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

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.[11] 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.

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).

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11 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."

Example of Curriculum Vitae for Academic Review

Your curriculum vitae (CV) is your autobiography. It records your activities as a faculty member and serves as the primary document by which you will be reviewed for advancement and promotion.

These guidelines are intended to assure that faculty evaluations for all personnel actions (appointments, promotions, merit advancements, appraisals for promotion, etc.) are accomplished by Departmental, School, Campus, and Academic Senate reviewers in a fair and impartial process, with adequate data presented by each faculty member fully representing the entire scope of their academic activities.

These are guidelines only. Each faculty member will have unique activities that are not fully represented in these guidelines. Feel free to add subsections for such activities as appropriate. Selected sections may not be applicable to all faculty, depending on the specific title series being proposed or reviewed. Please check with your department and the University APM to clarify the criteria used for evaluation of your series.

University of California, San Francisco   **Prepared: 01/01/00**
CURRICULUM VITAE (online version: facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement**, Dossier Checklists)**

Name: **John or Jane Smith**

Position: Professor in Residence, Step X
               Department of YYY
               School of ZZZ

               Professor in Residence, Department of Social and Behavioral Sciences (secondary)

               Graduate Program Memberships

Address: Room XXX, Box XXXX
               University of California, San Francisco
               San Francisco, CA 94143-XXXX
               Voice: (415) 476-ABCD
               FAX: (415) 476-BCDE
               email: **name@itsa.ucsf.edu**
               www: **http://www.ucsf.edu/homepage/**

EDUCATION:

19XX-XX	College, College Town, CA	B.A.Cum Laude,	Biology
19XX-XX	Medical School	M.D.	
19XX-XX	University	Ph.D.	Molecular Biology
	(Advisor Name)		
19XX-XX	University of California, San Francisco	Intern	Medicine
19XX-XX	University of California, San Francisco	Resident	Medicine
19XX-XX	University of California, San Francisco	Resident	Pathology
19XX-XX	University of California, San Francisco	Chief Resident	Medicine
19XX-XX	University of California, San Francisco	Fellow	Medicine

LICENSES, CERTIFICATION:
19XX   Medical licensure, California
19XX   Board Certification

PRINCIPAL POSITIONS HELD:

19XX-XX	University of California, San Francisco	Assistant Professor	Medicine
19XX-XX	University of California, San Francisco	Associate Professor	Medicine
19XX-now	University of California, San Francisco	Professor	Medicine

OTHER POSITIONS HELD CONCURRENTLY:

19XX-XX	Medical School	Fellow, Medical Sciences Training Program
19XX-now	Department	Director, Specific Medical Service
19XX-now	Another Department	Director, Other Service
19XX-2002	Old Graduate Program Faculty	
2001-20XX	New Graduate Program Faculty	

HONORS AND AWARDS: *[All inclusive, most recent last.]*
19XX   In My Youth Award
19XX   Middle Age Award
20XX   Hard Work Award

KEYWORDS/AREAS OF INTEREST: *[Please provide a set of indexing terms to describe your research and clinical interests.]*

Cancer, quality of life, tyrosine kinase inhibitors, steroid hormones, genomics, estrogen receptor, breast, prostate, microarrays, prognosis, neurodegenerative disorders, medical education, history of breast surgery.

PROFESSIONAL ACTIVITIES
CLINICAL [Focus on activities in last 5 years, but include longer time periods as appropriate.]

Director, Outpatient Specialty Clinic, UCSF: I have attended in this clinic for 12 months of the year for one day per week for the past 15 years.

Attending, Medical Service, UCSF: I attend 3 months of the year on this service, supervising 18 house staff, fellows, medical students, etc. I have been doing this for 4 years. Before that I attended at SFGH.

SUMMARY OF CLINICAL ACTIVITIES
[Please summarize highlights of your clinical activities since your last advancement; please limit to 1-2 paragraphs.]

PROFESSIONAL ORGANIZATIONS
Memberships [List all.]
19XX-20XX American Association for the Advancement of Science
19XX-20XX American Society of Great Medicine and Nursing
19XX-20XX American Association for Cancer Research
19XX-20XX American Society of Pharmacology
19XX-20XX American Society of Dentistry

<u>Service to Professional Organizations</u> *[List all.]*

19XX-XX	American Association for Cancer Research	President
19XX	American Assoc. for the Advancement of Science	Membership Committee
20XX	Amer. Assn. Cancer Research, Annual Meeting	Chair Local Organizing Committee
20XX	Society for Research in Child Development	Scientific Advisory Board

SERVICE TO PROFESSIONAL PUBLICATIONS: *[List all as appropriate.]*

19XX-XX	Editorial Board, Medical Journal
19XX-XX	Ad hoc referee for Journal X (3 papers in past 5 years), Journal Y (2 papers in 5 years), Journal Z (1 paper in 5 years)

INVITED PRESENTATIONS *[List all as appropriate, at least 5 years – include titles.]*

<u>INTERNATIONAL</u>

International Symposium on Medicine, Nursing, Pharmacy, and Dentistry; London, 19XX (invited talk); Moscow, 19XY (poster); Dublin, 20XY (platform)

International Congress on A SoSo Topic; Tokyo, Japan, 19XX (plenary talk)

International Society of Science; Barcelona, 19XX (poster)

<u>NATIONAL</u>

American Society of Medical Testing; 19XX (session chair)

American Academy of Your Specialty, 19XX (plenary session)

<u>REGIONAL AND OTHER INVITED PRESENTATIONS</u> [Past 5 years or as appropriate.]

1998	UCSF GI Program
1999	Visiting Professor, University of Alabama Nursing School, Dept. of Community Health
1999	American Society of Laboratory Technicians
1999	Drug Company Inc, San Diego
2000	A Great University, Department of Cell Biology
2000	UCSF Faculty Group
2001	Gordon Research Conference
2001	Grand Rounds, XYZ Hospital, Honolulu HI
2002	Research Conference, ABC University, New York

CME COURSES ATTENDED *[Last 5 years.]*

19XX	How to be a great doctor, New York City

GOVERNMENT and OTHER PROFESSIONAL SERVICE: *[List all as appropriate, at least 5 years.]*

19XX	National Institute of Health	Study Section Member
19XX-XX	National ABCDEF Institute	Ad Hoc Program Project Reviews (3)
19XX-YY	National Science Foundation	Grant Reviews
19YY-ZZ	March of Dimes	Grant Reviews and Board of Directors

UNIVERSITY AND PUBLIC SERVICE

UNIVERSITY SERVICE *[List all.]*

<u>SYSTEMWIDE</u>:

2000-2001	UC Academic Senate Committee on Academic Personnel	UCSF Representative

UCSF CAMPUS-WIDE

Ad Hoc Faculty reviews (2 in 2003, 4 in 2002, 1 in 2001, 1 in 1999, 5 in 1998, 8 from 1984-1996)

1999-2001   Chancellor's Committee on the Status of Women

SCHOOL OF XXXXXXX

19XX-XX   Dean's Committee on Research Space Allocation

2000-now   Research Evaluation and Allocation Committee (Member)

DEPARTMENTAL SERVICE: *[At least last 5 years, more as appropriate; subdivide as necessary.]*

19XX-XX   Department of Physiology   Merits and Promotions Committee

2000   Department of Physiology   Faculty Search Committee

PUBLIC SERVICE:

19XX-XX   San Francisco School District Science Education Partnership Program (Counselor)

2000-03   SF Public Health Department Water Quality Board

SUMMARY OF SERVICE ACTIVITIES

[Please summarize highlights of your service activities since your last advancement; please limit to 1-2 paragraphs.]

TEACHING and MENTORING

FORMAL SCHEDULED CLASSES FOR UCSF STUDENTS: *[List classes taught in last 5 years or since last promotion.]*

Qtr	Academic Year	Course No. & Title	Teaching Contribution	Units	Class Size
W	19XX-XX	Medicine 101; Understanding Disease	Discussion Group Leader; 5 one hour sessions	6	20
F	19XX-XX	Nursing 101; Understanding Nursing	Lecturer; 2 lectures	4	150
S	20XX-XX	Physiology 199; Special Studies – Literature Reviews	Discussion Leader for group readings	4	22

POSTGRADUATE AND OTHER COURSES

19XX-XX   Continuing Education, Dept. of Medicine   Organized 3 day course and gave 3 lectures

PREDOCTORAL STUDENTS SUPERVISED OR MENTORED: *[List all individual students supervised or mentored. Give dates; State whether undergraduate, medical school, or graduate school; list current position if known; describe Mentoring role, e.g. thesis advisor, personal advisor, research advisor, etc.]*

Dates	Name	Program or School	Role	Current Position
1992-1995	Carole Simon	PIBS, graduate stud.	PhD Advisor	Asst. Prof, UCLA
1995-2000	Joe Aboud	PIBS, graduate stud.	PhD Advisor	Post-doc with Joe Scientist, NYU
1997-1998	Chuck Squab	Medical Student III	Supervised research year	Resident, UCSF
1999	Mary Lamb	Stanford Univ. (Sr.)	Supervised summer work	Chicago Med School

POSTDOCTORAL FELLOWS AND RESIDENTS DIRECTLY SUPERVISED OR MENTORED: *[List all, defining research or clinical supervision; give dates; list current position if known; describe Mentoring role, e.g. personal advisor, research advisor, career advisor, etc.]*

Dates	Name	Fellow	Faculty Role	Current Position
1992-1994	Jonathan Schwarz MD	Urology Research Fel	Research Supervision	Asst. Prof., Biol., Columbia U.
1995-2000	Fred Silver PhD	Post-Doc Researcher	Research Supervision	Asst. Prof., Micro., UCSF
1997-1998	Bill Honey PhD	Post-Doc Researcher	Research Supervision	Genentech Scientist
1999	Karen Carpenty MD	Clinical Fellow	Clinical EKG Training	Private Practice, Cardiology

INFORMAL TEACHING: *[Describe nature of this teaching since last advancement.]*

19XX-XX   Hematology blood smear reviews (weekly with five residents/students at the microscope)
19XX-XX   Attending rounds, Hematology Service (Jan, Mar, and Nov)

FACULTY MENTORING
[Definition of this important academic activity and documentation of its quality and quantity are being developed for faculty and administrative review. Please describe any such activities which you participate in, both formal and informal, and request that any available documentation and evaluation of these activities be included in the departmental information accompanying your advancement packet.]

FACULTY MENTORED: *[List all; list the current position of the faculty mentored; list dates; describe Mentoring role, e.g. assigned faculty Mentor, informal career advisor, personal advisor, research/grant review, etc.]*

Dates	Name	Position while Mentored	Mentoring Role	Current Position
1995-2000	Jane Doe PhD	Asst. Prof.	Academic and Research Collaborator/Advisor	Assoc. Prof., Bioch., UCSF
1999-2001	James Jones MD	Assoc. Prof.	Reviewed grant application	Assoc. Prof., Surg, UCSF
2000-2002	Sally Brown	Asst. Prof.	Career Advisor	Asst. Prof., Can.Ctr., UCLA

OTHER VISITING FACULTY SUPERVISED: *[List all.]*
1999-2000   Mark Tark   University of Milan
2000-2001   Shelley Laser   University of Dublin

TEACHING AIDS: *[Include here, even if listed again as a formal publication, below.]*
Hematology Syllabus for 3rd year medical students; this has been adopted by rotations at SFGH and SFVA, and was requested by UCLA medical school.

EKG reference for the Palm Pilot. Development of this software was in collaboration with industry.

OTHER:
See book (Bush and Bush) published in 1999 which updates the field of medicine and is being used in 15 medical schools as a textbook.
See visiting professorships and service lectures listed under "Invited Presentations."

TEACHING AWARDS AND NOMINATIONS: *[List all teaching awards, even if already listed above.]*
1999   Kaiser Teaching Award
2000   Kaiser Teaching Award Nomination

SUMMARY OF TEACHING HOURS:
[All faculty are required to summarize their total hours of teaching and mentoring for the previous academic year, total hours of teaching and mentoring expected for the current academic year, and total hours of teaching and mentoring anticipated for the next academic year.]

20XX-YY: XXX total hours of teaching (including preparation).
                  Formal class or course teaching hours: 25 hours
                  Informal teaching hours: 200 hours
                  Mentoring hours

20YY-ZZ: XXX total hours of teaching (including preparation).
                  Formal class or course teaching hours: 30 hours
                  Informal teaching hours: 250 hours
                  Mentoring hours

20ZZ-AA: Total anticipated hours of teaching: XXX hours (as above).

TEACHING NARRATIVE
[Please include a brief description of your teaching activities since your last advancement, as appropriate, limited to 1-2 paragraphs.]

RESEARCH AND CREATIVE ACTIVITIES
RESEARCH AWARDS AND GRANTS *[Current and Pending Grants, Contracts, etc.]*
[List grant title and number, your role on the grant (e.g., PI, co-investigator, or consultant), funding period, source of funding, direct costs for year 1, total direct costs for entire period of grant)

CURRENT
1. R01 CA12345 (PI)   6/1/89-5/31/05
   NIH/NCI $250,000 direct/yr 1
   Molecular Diagnostics in the Clinic $2,750,000 direct/yrs 1-16

PENDING
   None

PAST
1. R01 CA246810 (PI)   6/1/95-5/31/99
   NIH/NCI $190,000 direct/yr 1
   Fundamentals of molecular disease $790,000 direct/yrs 1-4

2. R01 CA54321 (PI)   6/1/99-5/31/01
   NIH/NCI $750,000 direct/yr 1
   How disease works. $1,500,000 direct/yrs 1-2

PEER REVIEWED PUBLICATIONS: *[All inclusive. Numbered. List publications in chronological order (oldest first). Include full list of authors (no "et al."), full title, and full citation and date. Manuscripts accepted but not yet published can be included as "In Press" after the name of the Journal. Submitted manuscripts may be included, but inclusion of "planned" or "in preparation" manuscripts is discouraged.]*

1. Spector, DH, Varmus, HE, and Bishop, JM. Nucleotide sequences related to the transforming gene of avian sarcoma virus are present in DNA of uninfected vertebrates, Proc Natl Acad Sci U S A. 75: 4102-6, 1978.
2. Hughes, SH, Shank, PR, Spector, DH, Kung, HJ, Bishop, JM, Varmus, HE, Vogt, PK, and Breitman, ML. Proviruses of avian sarcoma virus are terminally redundant, co- extensive with unintegrated linear DNA and integrated at many sites, Cell. 15: 1397-410, 1978.
3. Parker, RC, Varmus, HE, and Bishop, JM. Cellular homologue (c-src) of the transforming gene of Rous sarcoma virus: isolation, mapping, and transcriptional analysis of c-src and flanking regions, Proc Natl Acad Sci U S A. 78: 5842-6, 1981.
4. Gerbert, B, Caspers, N, Milliken, N, Berlin, M, Bronstone, A, and Moe, J. Interventions that help victims of domestic violence. A qualitative analysis of physicians' experiences. Fam Pract, Oct 2000; 49(10): 889-95.

NON-PEER REVIEWED PUBLICATIONS AND OTHER CREATIVE ACTIVITIES:
[All inclusive. This may be separated into subcategories such as Review Articles, Books and Chapters, Teaching Aids and Other Publications, etc.]

      Review Articles

      Books and Chapters

      Other Publications

PATENTS ISSUED OR PENDING (ALLOWED) *[All inclusive; <u>oldest first</u>.]*

OTHER CREATIVE ACTIVITIES *[List other forms of creative activities such as teaching aids, syllabi, web pages, etc. Dissemination of such creative work is an essential element of criteria for review.]*

ABSTRACTS: *[Optional. If included, abstracts should be listed separately and should not be mixed in with full length publications.]*

RESEARCH PROGRAM (SEPARATE SUMMARY)
Please include a list of five significant recent publications with a description of your role/contribution (as well as others' roles) to each study (one page max). In addition, a one-page description of your current research interests/program is required for Ladder Rank, In Residence, Clinical X, and Adjunct faculty. Clinical Faculty should include this description as appropriate.

This section of your CV provides you the opportunity to explain both the big picture and the focus of your research, to state its significance, and to summarize your accomplishments as well as your future directions. Take full advantage of this opportunity and document any factors that may have limited your research productivity.

UCSF Guidelines on Conflict of Interest (COI)

The Conflict of Interest Advisory Committee (COIAC), acting under the authority of the Chancellor, reviews potential financial conflicts of interest and makes recommendations to the Executive Vice Chancellor & Provost.

Information about federal regulations, California laws, UCOP policies, and UCSF policies and guidelines are available on the website compliance.ucsf.edu/conflict-interest-conflict-commitment.

Appendix V

Index of Web Addresses, Alphabetical

Academic Council: senate.universityofcalifornia.edu/committees/council

Academic Personnel Manual (APM): ucop.edu/academic-personnel-programs/academic-personnel-policy

Academic Personnel, Committee on (CAP): senate.ucsf.edu/committee/cap

Academic Senate, UCSF: senate.ucsf.edu

Academic Senate—Divisional Senates: senate.universityofcalifornia.edu/resources/divisional-sites.html

Academic Senate—Faculty Council, Dentistry: senate.ucsf.edu/committee/sod fc

Academic Senate—Faculty Council, Medicine: senate.ucsf.edu/committee/som fc

Academic Senate—Faculty Council, Nursing: senate.ucsf.edu/committee/son fc

Academic Senate—Faculty Council, Pharmacy: senate.ucsf.edu/committee/sop fc

Academic Senate—Manual (Bylaws and Regulations):
ucop.edu/academic-personnel-programs/academic-personnel-policy

Academic Senate—Officers: senate.ucsf.edu/academic-senate-officers

Academic Senate—Shared Equipment Grants: rap.ucsf.edu

Administration Organizational Chart:
chancellor.ucsf.edu/sites/g/files/tkssra3931/f/Admin_Campus.pdf

Administrative Calendar: registrar.ucsf.edu/academic-calendar

Affirmative Action Guidelines: ophd.ucsf.edu/?q=complaint-resolution

Affirmative Action/Equal Opportunity/Diversity, Office of (AA/EO):
diversity.ucsf.edu/aaeo

At Your Service: atyourserviceonline.ucop.edu/ayso

Banking—ATM locations: campuslifeserviceshome.ucsf.edu/retail/bank

Banking—Golden 1 Credit Union: www.golden1.com

Benefits administered by UC:
ucnet.universityofcalifornia.edu/compensation-and-benefits/index.html

Benefits administered by UCSF Human Resources: ucnet.universityofcalifornia.edu/compensation-and-benefits/domestic-partner-faq-page.html

Board of Regents Bylaw 40: https://regents.universityofcalifornia.edu/governance/bylaws/bl40.html

Campus Council on Faculty Life: facultyacademicaffairs.ucsf.edu/faculty-life/faculty-development-day

Campus Maps: www.ucsf.edu/about/locations

Career Review Request launch page: facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement

Chancellor's Office: chancellor.ucsf.edu

Child Care Services: campuslifeserviceshome.ucsf.edu/familyservices

Clinical Research Center—General: crs.ucsf.edu

Clinical Research Center—Pediatric: crs.ucsf.edu

Collegial Advice to Assistant Professors by Dr. Evelyn M. Silvia:
www.math.ucdavis.edu/~emsilvia/CollegialAdvice/html/CollegialAdvice.html

Committee on Academic Personnel (CAP): senate.ucsf.edu/committee/cap

Committee on Privilege and Tenure: senate.ucsf.edu/committee/p&t

Confidential Consultation/Mediation: ombuds.ucsf.edu

Conflict of Interest Advisory Committee: compliance.ucsf.edu/conflict-interest-advisory-committee

Copyright Clearance Center: www.copyright.com

Copyright Information (UC System): copyright.universityofcalifornia.edu

CoursEval system for student review—School of Pharmacy: www.e-value.net

CTSI-Accelerate: consult.ucsf.edu/guidance/grant-libraries

CTSI Mentor Training Program: accelerate.ucsf.edu/training/mtp

Declaration of Domestic Partnership (UBEN 250): ucnet.universityofcalifornia.edu/forms/pdf/uben-250.pdf

Department of Epidemiology and Biostatistics: epibiostat.ucsf.edu

Descriptions of Academic Series: facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement

Disability Management Services (DMS): hr.ucsf.edu/teams/disability-management

Distinction in Teaching and Mentoring Awards: senate.ucsf.edu/all-awards

Divisional Senates: senate.universityofcalifornia.edu/resources/divisional-sites.html

Domestic Partnership, Declaration of (UBEN 250): ucnet.universityofcalifornia.edu/forms/pdf/uben-250.pdf

E*Value system for student review—School of Medicine: meded.ucsf.edu/tee/evalue-medhub

Employee Incident Protocol: hr.ucsf.edu/?A=1268&AT=cm&org=c&sref=25

Environmental Health and Safety, Office of (OEH&S): ehs.ucsf.edu

Epidemiology and Biostatistics, Department of: epibiostat.ucsf.edu

Faculty and Staff Assistance Program (FSAP):
hr.ucsf.edu/benefits/staff-and-faculty/faculty-and-staff-assistance-program

Faculty Mentoring Program: facultyacademicaffairs.ucsf.edu/faculty-life/mentoring

Faculty Disability Benefits: ucnet.universityofcalifornia.edu/forms/pdf/disability-benefits-information-for-faculty.pdf

Faculty misconduct investigations and disciplinary proceedings: facultyacademicaffairs.ucsf.edu/academic-personnel/misconduct-grievances-and-performance-management

Faculty Research Lecture Award: senate.ucsf.edu/all-awards

Family and Parenting Resources: Family Friendly Policies: campuslifeserviceshome.ucsf.edu/familyservices

General Clinical Research Center: crs.ucsf.edu

Golden 1 Credit Union: www.golden1.com

Guidelines for Accelerated Action: facultyacademicaffairs.ucsf.edu/academic-personnel/academic-review-and-advancement

Health Care Facilitator: healthcarefacilitators.ucsf.edu

Health Insurance Portability and Accountability Act (HIPAA): ohcp.ucsf.edu

Health Sciences Compensation Plan Salary Scales:
facultyacademicaffairs.ucsf.edu/academic-personnel/compensation

Home Loan Programs: www.ucop.edu/loan-programs

Home Ownership Programs: facultyacademicaffairs.ucsf.edu/faculty-life/home-loan-programs

Housing Services: campuslifeserviceshome.ucsf.edu/housing

Human Gamete, Embryo and Stem Cell Research (GESCR): irb.ucsf.edu/stem-cell

Human Resources Department: hr.ucsf.edu

Human Research Protection Program (HRPP): irb.ucsf.edu

Human Resources, UCSF Benefits: ucnet.universityofcalifornia.edu/compensation-and-benefits/domestic-partner-faq-page.html

UCSF Innovation Ventures: innovation.ucsf.edu

Innovation Ventures entrepreneurship program: innovation.ucsf.edu/venture/entrepreneurship

Institutional Animal Care and Use Committee (IACUC) Guide for New Users of Animals at UCSF: iacuc.ucsf.edu

Institutional Animal Care and Use Committee (IACUC): iacuc.ucsf.edu

Institutional Review Board (IRB): irb.ucsf.edu/irb-review

International Committee of Medical Journal Editors (ICMJE): www.icmje.org

International Students & Scholars Office (ISSO): isso.ucsf.edu

Lactation Services: womenshealth.ucsf.edu/whrc/ucsf-breastfeeding-resources

LGBT Resource Center at UCSF: lgbt.ucsf.edu

Maps of Campus: www.ucsf.edu/about/locations

Milberry Recreation and Fitness Center: campuslifeserviceshome.ucsf.edu/fitnessrecreation

Mortgage Origination Program: facultyacademicaffairs.ucsf.edu/faculty-life/home-loan-programs

Office of Diversity & Outreach: diversity.ucsf.edu

Office of the Ombuds: ombuds.ucsf.edu

Office of the President: www.ucop.edu

Office of Research: research.ucsf.edu

Office of Sexual Harassment Prevention & Response: shpr.ucsf.edu

Office of Innovation, Technology & Alliances. (ITA): innovation.ucsf.edu

Office of the CARE Advocate: careadvocate.ucsf.edu

Parking and Transportation: campuslifeserviceshome.ucsf.edu/transportation

Pediatric Clinical Research Center: crs.ucsf.edu

President, Office of: www.ucop.edu

Privilege and Tenure, Committee on: senate.ucsf.edu/committee/p&t

Quality Improvement Unit (QIU): irb.ucsf.edu/reporting

Research, Office of: officeofresearch.ucsf.edu

Resource Allocation Program (RAP): rap.ucsf.edu

Salary Scales: facultyacademicaffairs.ucsf.edu/academic-personnel/compensation

Senate—See Academic Senate

Sexual Harassment Prevention & Response, Office of: shpr.ucsf.edu

Shared Equipment Grants: rap.ucsf.edu

Shuttle Schedules: campuslifeserviceshome.ucsf.edu/transportation/shuttle

Standing Committees of the Senate: senate.universityofcalifornia.edu/committees/index.html

State Disability: www.edd.ca.gov/disability/SDI_Online.htm

UCSF Innovation, Technology & Alliances: innovation.ucsf.edu

Woman's Research Center: whcrc.ucsf.edu

Work Life Resource Center: ombuds.ucsf.edu

UCnet Leaves of Absence: ucnet.universityofcalifornia.edu/tools-and-services/administrators/leaves-of-absence.html

UCSF Leave Management: hr.ucsf.edu/service/leave-management-campus