Faculty Review Process: Appointment, Promotion and Tenure

Brian Alldredge, Ann Bolger, Shari Dworkin, Paul Garcia, Thomas Kearney, Peter Sargent
First Stop – Academic Affairs Website

http://academicaffairs.ucsf.edu/

Serving the UCSF Academic Community

Popular topics: Advance, Appointment/Advancement, Benefits, Diversity, Faculty Mentoring, UC Benefits, Shared Governance, Handbooks, Problem Resolution, Recruitment

Urgent Issues: Improper Conduct, Office of the Ombuds, Suicide Prevention, Disability Management, Impairment & Addiction, Whistleblower

CCFL: FDD, Mentoring, Wellness Grand Rounds, Faculty Development, Leadership

Academic Information Systems: Advance, AP Recruit

Resources: Researchers, Educators, Clinicians, Leaders

Academic Personnel
Academic Personnel
Links to APM, all policies and forms

Recruitment/Retention, Retirement/Separations, Advancement/Reviews, Leaves, Compensation/Benefits, Academic Employee Labor Relations, Other – Policies, Reports

Official Policies

• UCSF
  Policies
  http://academicaffairs.ucsf.edu/academic-personnel/

• UC system
  Academic Personnel Manual (APM)
  http://www.ucop.edu/acadpersonnel/apm/
People

Department
  Mentor, Chair

Service Center
  Academic Personnel Analyst

School
  Vice/Associate Dean for Academic Affairs
    Dentistry – Peter Sargent
    Medicine – Elena Fuentes-Afflick, Renee Binder, Paul Garcia
    Nursing – Shari Dworkin
    Pharmacy – Thomas Kearney

Campus
  Vice Provost, Academic Affairs – Brian Alldredge
  Asst Vice Provost – Cynthia Lynch Leathers
Details all faculty should know

• Series, rank, step
• Salary, covered compensation, sources of $, compensation plan
• Responsibilities
  – % time research – “protected time”
  – % teaching, % clinical practice
  – Service required
• Support
  – Space
  – Mentoring
  – Equipment, facilities for research
  – Administrative/clerical support
  – Benefits, parking
UCSF Faculty Appointments

- **Series**
  - 5 - UC is different from most universities
- **Rank**
  - Assistant, Associate, Professor
- **Step**
  - Assistant I to VI
  - Associate I to V
  - Professor I to IX and Above Scale
UCSF Faculty Series (paid)

• Academic Senate members
  – Professor – ladder rank – tenure track
  – Professor In Residence
  – Professor of Clinical X

• Non-Senate
  – Adjunct Professor
  – Health Sciences Clinical Professor

• (Non-faculty academic)
  – (Research Scientist)
Academic Senate Membership

• Shared governance is real at UCSF
  – Administration and faculty
• Serve on Academic Senate committees
  – APB, P&T, CAP, Research, Fac Welfare, etc
• Vote
• Home loans
• File grievance with P&T
• Professional development leaves
# What is expected

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

* One or more components must be +++
# Rules and Privileges

<table>
<thead>
<tr>
<th></th>
<th>Ladder-rank</th>
<th>In Residence</th>
<th>Clinical X</th>
<th>Adjunct</th>
<th>HS Clinical</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenure/length of Appointment</td>
<td>Yes</td>
<td>Varies*</td>
<td>Yearly</td>
<td>Yearly</td>
<td>Yearly</td>
</tr>
<tr>
<td>Senate member</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Sabbatical/Professional leave</td>
<td>Yes</td>
<td>Yes**</td>
<td>Yes**</td>
<td>Yes***</td>
<td>Yes***</td>
</tr>
<tr>
<td>Appraisal</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>On request</td>
<td>On request</td>
</tr>
<tr>
<td>8 year rule</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No#</td>
<td>No#</td>
</tr>
<tr>
<td>% time</td>
<td>100</td>
<td>100</td>
<td>100</td>
<td>Any</td>
<td>Any</td>
</tr>
</tbody>
</table>

* appointed without end date at Assoc/Prof level, no tenure
** professional leave possible; *** professional leave allowed by exception
# no 8 year rule at UCSF, but applies to other campuses
Academic Advancement

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

Weighting of Criteria
- Series-dependent
- Department-defined
Evaluating Teaching & Mentoring

Direct Teaching
- Professional students
- Graduate students
- Residents, fellows

Course / Program Administration
Advising and mentoring (including other faculty)

Data sources
- CV (quantity of teaching; type of mentoring)
- Structured evaluations of teaching
- Letters from students, trainees, mentees
Evaluating Research / Creative Work

Productivity
- Original peer-reviewed publications / dissemination
- Progression / trajectory

Independent Contributions
- Authorship (first or senior author)
- Principal investigator
- Collaborative (team science) research contributions
  – essential, creative and unique contributions

Significance
- Funding sources (competitive extramural support)
- Quality of journal publications
- Thematic focus
- Letters of support (credentials of evaluator)
Evaluating Professional Competence

Professional Capabilities
- Peer evaluations
- Trainee assessments
- Board certification / recertification

Invited Presentations / Publications
Editorial / Reviewer Activities
Grant Reviewer
Professional Organization Activities
Honors and Awards
Evaluating Service

University Service
- Department / Programs
- School
- Academic Senate
- System-wide

Professional Service
- Professional society or publication service

Community / Public Service

Diversity / Equal Opportunity
Guidelines for accelerated advancement

• Exceptional performance in one area
  – Prestigious competitive grant beyond expectations
  – Competitive professional service award for national/international service
  – Sustained level of outstanding achievement
  – Unusual productivity
  – Extraordinary service – administrative, innovative program, 3 year service on major committee (e.g. IACUC/CHR/Admissions [varies by School])

• Meet all other expectations for action
Academic Personnel Review

Faculty

Department/Service Center

cv, reference names

 ADVANCE

ref letters
teach eval
fac vote
Chair letter

Academic Affairs Vice/Assoc Dean

Dean eval

VPAA

Recommendation

CAP

ad hoc

ad hoc
ADVANCE

Faculty Information System
- A resource for academic career information
- Online tool to facilitate the appointment, merit and promotion process
- NIH Biosketch

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

How?
Myaccess.ucsf.edu, Click on Advance
For training
http://academicaffairs.ucsf.edu/advance/guidesfaculty.php
Overview page

Li Chen

(UCSF ID: 023334455)

Overview  My CV  My Packet  Proxy  For Review

General  Salary  Packet tracking  Academic Leave

My academic appointments

HS Associate Clinical Professor, Step 3 (Primary, 100%)
Department of Neurological Surgery

HS Associate Clinical Professor WOS (Joint)
Cancer Research Institute

HS Associate Clinical Professor WOS (Joint)
Proctor Foundation

What is my next eligible action?

Merit/Promotion, effective 7/1/12

This action is calculated from your current Series, Rank, and Step.

Questions? Inaccuracies?
Your contact is Rick Martin, Associate Department Administrator, Department of Neurological Surgery.
rick.martin@ucsf.edu - (415) 789-1234 extension 302

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Packet tracking page

Li Chen

(UCSF ID: 023334455)

Overview My CV My Packet Proxy For Review

General Salary Packet tracking Academic Leave

Where is my packet?

- Promotion effective 07/01/12
- Packet created in Department (04/13/2011)
- Sent to Dean's Office (11/07/2011)

My packet history

<table>
<thead>
<tr>
<th>Action</th>
<th>Series</th>
<th>Rank</th>
<th>Step</th>
<th>Accel/ Decel</th>
<th>Effective Date</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td>Merit</td>
<td>HS Clinical</td>
<td>Associate</td>
<td>3</td>
<td></td>
<td>07/01/10</td>
<td>Approve</td>
</tr>
<tr>
<td>Merit</td>
<td>HS Clinical</td>
<td>Associate</td>
<td>2</td>
<td></td>
<td>07/01/08</td>
<td>Approve</td>
</tr>
<tr>
<td>Promotion</td>
<td>HS Clinical</td>
<td>Associate</td>
<td>1</td>
<td></td>
<td>07/01/06</td>
<td>Approve</td>
</tr>
</tbody>
</table>

Questions? Inaccuracies?

Your contact is Rick Martin, Associate Department Administrator, Department of Neurological Surgery.

rick.martin@ucsf.edu - (415) 789-1234 extension 302

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The Packet CV

Overview  My CV  My Packet

Li Chen
Promotion
from HS Associate Clinical Professor, Step 3 ⇒ HS Full Clinical Professor, Step 1, Effective 07/01/12, On-time Action

CV copied on Jun 23, 2011 11:06:02 PM

Filtered by [Last 1 Years] [Last 2 Years] [Last 3 Years] [Last 4 Years] [Last 5 Years] [All]

GENERAL INFORMATION

Name: Li Chen
Position: HS Associate Clinical Professor, Step 3
         Neurological Surgery
         School of Medicine
Address: Box 1705
         University of California, San Francisco
         Voice: 415-476-5555
         Fax: 415-476-0000
         Email li.chen@ucsf.edu

EDUCATION

1977 – 1982 University of Beijing, Bachelor of Medicine, Bachelor of Science

[Next][Bottom]
The Referee List

Promotion
from HS Associate Clinical Professor, Step 3 ⇒ HS Full Clinical Professor, Step 1, Effective 07/01/12, On-time Action

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>Degree(s)</th>
<th>Title</th>
<th>Institution</th>
<th>Email</th>
<th>Phone</th>
<th>Referee Type</th>
<th>Don’t Contact</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alexander</td>
<td>Hamilton</td>
<td>PhD</td>
<td>Associate Professor</td>
<td>Stanford University</td>
<td><a href="mailto:Ahamilton@stanford.edu">Ahamilton@stanford.edu</a></td>
<td></td>
<td>Intramural</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aaron</td>
<td>Burr</td>
<td>MD</td>
<td>Professor</td>
<td>UCSF</td>
<td><a href="mailto:Aaron.burr@ucsf.edu">Aaron.burr@ucsf.edu</a></td>
<td></td>
<td>Intramural</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add
Your Promotion Packet Contains:

CV
Student & peer teaching evaluations
Letters of evaluation (≥ 3 internal; ≥ 3 external)
Faculty vote or concurrence
Departmental recommendation letter
Your CV

- Develop a system for recordkeeping - ADVANCE
- Comply with all department deadlines
- Accuracy and clarity are your responsibility
- Use paragraphs (e.g., teaching/research summaries) wisely
- Report percentile scores for grants not funded
Letters of Evaluation

• Begin cultivating professional relationships early
• Be strategic in your choices (discuss with mentors, department chair)
• Letters should come from individuals at higher academic rank
• Contact prospective letter writers to gauge their willingness to write a supportive letter
• Your department may request more internal and external letters than is required
Committee on Academic Personnel
Who are those guys?

CAP is a multidisciplinary and hard-working group of senior faculty from Senate, Adjunct and Health Science Clinical series

• 9 members from different Academic Senate series and up to 2 faculty members from Adjunct or Health Sciences Clinical series

• Appointed by Academic Senate Committee on Committees for 3 year terms

• Representing different schools, departments and disciplines
Committee on Academic Personnel
When does CAP get involved?

CAP reviews faculty at major events:

• Appointments
• Appraisals
• Promotion to Associate or Full Professor
• Change in Series
• Accelerations (>1 yr and/or consecutive accelerations)
• Merit advancement to Professor Step VI and to Above Scale
CAP’s Responsibility

CAP provides a thorough review of the entire faculty packet, including but not limited to CV, letters, and teaching evaluations

- CAP may request additional information
- CAP may seek review by an ad hoc committee if an action is controversial or more specific expertise is needed

CAP provides a recommendation to the VPAA on whether to approve, disapprove or modify the action
Summary

• Know your series and what is required
• Have good mentors and use them
• Seek collaborators and help when needed
• Be outstanding in teaching, research, professional competence, service
• Be successful!