

REPORT OF UCSF IN-RESIDENCE TASK FORCE

February 19, 1999

The charge to the UCSF Task Force on In-Residence faculty was to follow-up on recommendations that were made for changes to the In-Residence series. First, we reviewed faculty distribution and demographics of the In-Residence faculty on the UCSF campus. Next, we reviewed the UCAP Report on In-Residence faculty and the subsequent Report issued by the Office of the President indicating areas of agreement, possible compromise and significant disagreement. The topics outlined in the Report were categorized according to (1) information and recruitment issues, (II) indefinite appointment, (III) the termination process and (IV) campus contingency fund. This report will address these topics sequentially.

I. Information and Recruitment Issues

The Task Force reaffirms existing policy that a full search be conducted for all In-Residence appointments. Any exception to this rule must be approved by the Dean with the concurrence of the Chancellor.

The Task Force reviewed materials that are distributed to new appointees in the In-Residence series from the Office of the Vice Chancellor, Academic Affairs. Before and during the hiring process information distributed to candidates was inconsistent among departments /schools and there was no formal monitoring at the level of the Dean's offices. Therefore, the Task Force developed the following statement to be distributed before the hire that summarizes important information about the In-Residence series and provides resources for further information:

PROFESSOR IN-RESIDENCE SERIES AT UCSF

Since traditional formulas for funding faculty positions limited the University's ability to maintain existing programs and to develop new ones, the State agreed that the University could implement a faculty series that has academic equivalency to the tenure-track series with minimal use of state funding. The In-Residence faculty series was developed to fulfill this need. These faculty are a highly valued component of our faculty, but there are some distinct differences between this series and the tenure-track series. Important elements of the In-Residence series are highlighted below.

GENERAL

Faculty in the In-Residence series do not have tenure.

Appointees must either be full-time or under exceptional circumstances and with justification be certified that their sole professional commitment is to the University.

Generally, appointees must generate the funding for their salary from contracts and grants, and/or clinical activities, or receive a salary from an affiliated institution.

Appointees are reviewed for appointment and advancement based on four criteria: teaching, research and creative work, professional competence and activity, and University and Public Service. (APM 270-10)

Appointees are not eligible for sabbatical leaves, but are eligible for professional development leaves that can be negotiated with the department chair.

Appointees are members of the Academic Senate.

The University of California has a thorough, multi-level peer review system to maintain its excellent faculty. This review system continues throughout the career of a faculty member. Each appointee is evaluated for advancement at each rank and step.

Appointments are made at a given rank (e.g., Assistant, Associate) and step (e.g., Assistant Professor in Residence Step I, Associate Professor in Residence Step III). The rank and step are based on the candidate's qualifications, training and experience.

ASSISTANT PROFESSOR IN RESIDENCE

There is an eight-year limitation of appointment at this rank either alone or in combination with specific titles (APM 133-0-a).

An appointment at the Assistant rank is given with a specific ending date. Additional notice of the ending of the appointment is not required, although campus policy is that a reasonable period of notice be given prior to termination. (APM 270-20-a(l)(a))

Advancement is based on merit, as described above; eligibility for merit increase normally occurs every two years.

ASSOCIATE PROFESSOR IN RESIDENCE AND PROFESSOR IN RESIDENCE

Appointments at these levels shall be made with no specific ending date. Appointment is contingent upon continuation of funding. This appointment may be converted to one with an ending date as a result of budgetary reasons, programmatic reasons, and/or lack of work.

Advancement is based on merit with periodic reviews occurring every two to three years depending on rank and step.

Major advancement reviews occur at time of promotion to the Associate level, Full Professor level and advancement from Professor in Residence Step V to Step VI and from Step VIII to Above-Scale.

Resources: The Department Chairperson is the best initial resource for a faculty member. The Academic Personnel Manual (APM) and the University of California Faculty Handbook are available on the web at www.ucop.edu/acadadv/acadpers/apm/

II. Indefinite Appointment

UCSF will support implementation of appointments with indefinite end dates for In-Residence faculty at the Associate Professor and full Professor ranks, provided that at the time of appointment there is an explicit understanding that the second paragraph of Academic Personnel Manual 270-20 a.(2)(a) refers to funds generated by the individual through grants, clinical earnings and/or other sources and does not involve departmental or divisional support, unless explicitly committed in a formal letter of agreement from the Department Chair or Dean.

III. The Termination Process

The University permits appointments at the level of Associate Professor in Residence or Professor in Residence to be made with a specific ending date or with no specific ending date. Most of these appointments at UCSF have a reasonable expectation of long-term funding and as of July 1, 2000 will be made without specific ending dates. Except in instances of resignation or dismissal for good cause, termination of an appointment with no specific ending date is subject to the following:

Establishment of an individual's Term Appointment for budgetary reasons, programmatic change, and/or lack of work. Budgetary considerations can be defined on an individual, divisional or departmental basis. Programmatic changes include discontinuation or restructuring 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 individual's appointment at a hospital affiliated or associated with the University. In the event that salary support at the level of covered compensation is in jeopardy the department chair shall counsel the faculty member as early as possible regarding the termination process.

A. Formal Procedures to Change to a Term Appointment (End Date)

1. The order of making Term Appointments among individuals within the same rank of the In-Residence series due to budgetary reasons, programmatic changes and/or lack of work for faculty 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. 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 academic rank and time of service. *The faculty member may waive her/his right to a departmental faculty vote in a written agreement with the chair.*

2. If one or more of the reasons mentioned above occurs, the Department Chair brings the establishment of a Term Appointment to a faculty vote in accordance with voting privileges described in Academic Senate Bylaw 55. If the faculty votes against establishing a Term Appointment, then the Department must determine a mechanism consistent with prudent financial management to cover the faculty member's salary.

3. If the faculty supports the Chair's proposal for a Term Appointment, *or if the faculty member has waived the right to such a vote*, the letter *recommending the term appointment as well as the file* are forwarded to the Dean and Vice Chancellor for Academic Affairs.

4. The faculty member receives notification of the Term Appointment signed by the Department Chair with written concurrence of the Dean and the Vice Chancellor for Academic Affairs. Such notification must include the inclusive dates for Term Appointment, reasons for the action, and a minimum of twelve months of support at the level of retirement-covered compensation. 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 unit).

5. If during the twelve-month interval the original reason(s) for the term appointment is (are) removed, the Department Chair with the written concurrence of the Dean and the Vice Chancellor for Academic Affairs will reinstate the continuous appointment (no end date) provided that satisfactory long-term funding is obtained (i.e., 3 years or longer). There is no guarantee, however, of reinstatement of continuous appointment following repetitive term appointments.

6. Upon receipt of notice of a Term Appointment, the appointee may request in writing a written evaluation of his or her academic achievements. Such an evaluation will serve to establish for the record an institutional assessment of the appointee's qualifications and performance independent of budgetary, programmatic or lack-of-work considerations. The written statement which shall be reviewed by CAP shall be given to the individual before the specified ending date whenever possible.

B. Termination of an Appointment with an End Date

Termination of an appointment with a specified ending date, prior to that ending date, may be only for good cause and is subject to the provisions of Regents Standing Order 103.9.

C. Grievance

In all cases of terminal appointment the In-Residence faculty member will have a hearing before the UCSF Divisional Privilege and Tenure Committee if requested. The In-Residence faculty member must be informed in the letter of notification of Term Appointment that she/he has 90 days from receipt of the Notification to request a hearing before the UCSF Divisional Privilege and Tenure Committee.

The Divisional Privilege and Tenure (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 render a final decision within thirty (30) days of receipt of the P&T recommendation. If the proposed Term Appointment is overturned, the faculty member will be reinstated retroactively at a minimum of covered compensation

IV. Contingency Funding

The Dean of each School shall ensure that departments with In-Residence faculty have an adequate policy for funding to maintain the covered base salaries of In-Residence faculty during the potential termination phase of this appointment. The Vice Chancellor, Academic Affairs shall explore mechanisms to enable Schools to develop such policies.

[Acknowledgement Form](#)

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