

# **A Faculty Handbook For Success**

**Advancement and Promotion at UCSF**



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August 2016

**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

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## Welcome

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](http://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 policies 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 by order of appearance and Appendix VI lists them 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 URLs listed in the appendices, which will be updated more frequently than the body of this handbook. Better yet, refer to the online version of this handbook which features up-to-date active links within the body. If you encounter an inactive link, please report it to [academic.senate@ucsf.edu](mailto: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/chancellor.ucsf.edu/files/AdminCampus.pdf](http://chancellor.ucsf.edu/sites/chancellor.ucsf.edu/files/AdminCampus.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/campus-maps](http://www.ucsf.edu/about/locations/campus-maps) and shuttle schedules can be found at [campuslifeservices.ucsf.edu/transportation/services/shuttles](http://campuslifeservices.ucsf.edu/transportation/services/shuttles).

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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## 1.0 Faculty Appointments at UCSF

Your appointment to the faculty is the first step in your academic career at UCSF. Your initial faculty appointment should be into a series that is consistent with your academic background and your 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 appointment. Although you may negotiate for a specific level of faculty appointment, your appointment is affirmed only after campus-wide peer and administrative review. Furthermore, depending on your faculty responsibilities, there may be 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 a:

- [Series](#), e.g., Professor (Ladder Rank), Professor In Residence, Clinical X, Health Sciences Clinical, or Adjunct,
- [Rank](#), e.g., Assistant Professor, Associate Professor, or Professor; and
- [Step](#), e.g., Step 1, Step 2, Step 3...

It is important to carefully understand and negotiate your appointed series, since this will not normally change during your University career. UCSF primarily uses five of the six available faculty series: [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 [Academic Senate](#), and only appointments in the Professor series lead to tenure. Depending upon the academic focus, each school with its departments will establish a proportion of faculty appointments to 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, appointments to an Academic Senate series 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 work less than 100% effort if the Chancellor certifies that the faculty member's sole professional commitment is to the University. For detailed information, see Academic Personnel Manual sections [220](#), [270](#) and [275](#). The APM is viewable online through the Web site of the Office of the President ([www.ucop.edu](http://www.ucop.edu)).

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

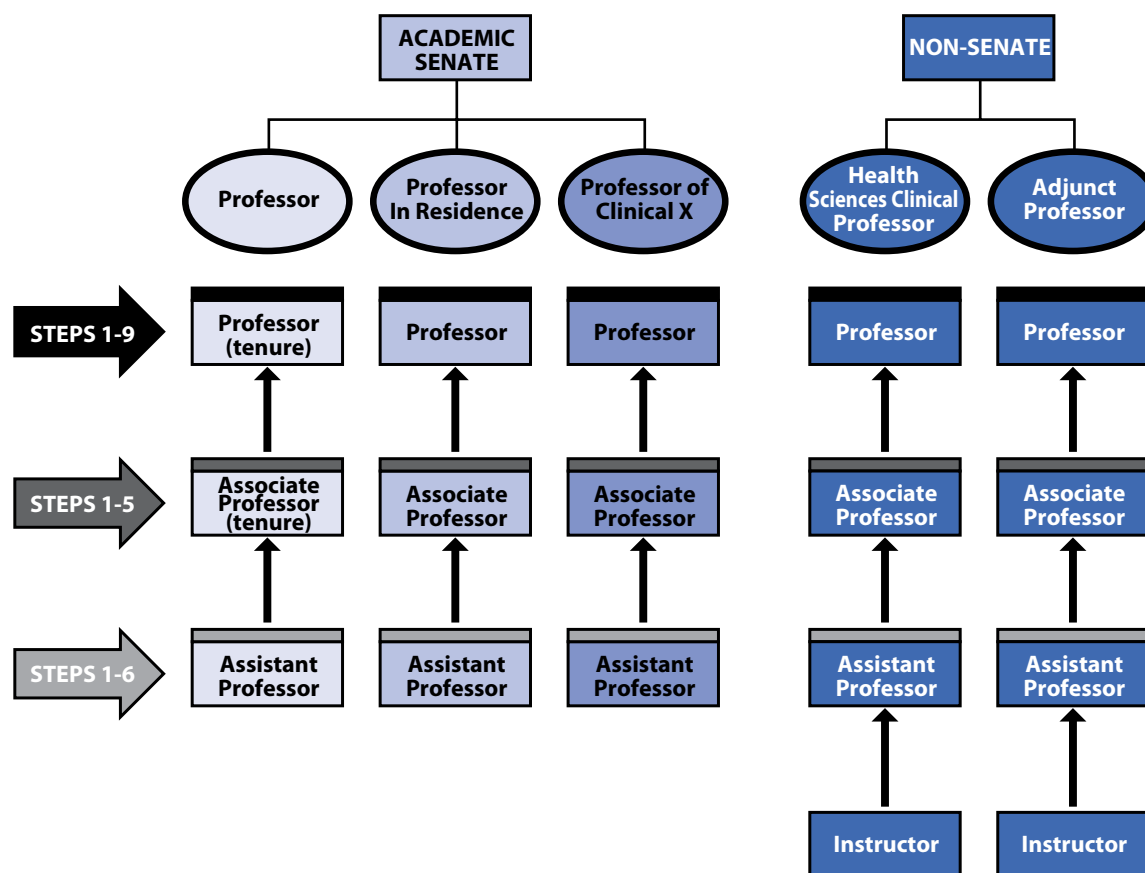
## 1.1 Licenses and Credentials Licensure and Boards (School of Medicine only)

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 received/renewed. Documentation of board eligibility and certification, both specialty and subspecialty, must be submitted and should include your license number (if available) and the date of your certification/recertification. It is advisable for all new faculty in clinical departments 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) where they will practice prior to the initiation of 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<sup>1</sup>) and board certification as well as 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**



<sup>1</sup> Faculty will not be allowed any patient contact until a DEA number is on record.

## 1.2 Description 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 “Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers.” Explanation of each series for the benefit of new UCSF faculty are described below. When communicating externally, please refer to the CAP/OVPAAFD document for descriptions of the local series and what activities need to be addressed in letters of support. The “Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers” is available for download at the Academic Affairs website at <https://academicaffairs.ucsf.edu/>, or specifically from [academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf](https://academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf).

### 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. While criteria for advancement and promotion as outlined in the APM are similar, there are distinct differences among these series that you should understand. For example, faculty in the Professor series receive a portion of their salary from the State 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 are not entitled to sabbatical leave although they are eligible for professional development leave. The In Residence and Clinical X series are generally self-supporting through clinical and/or extramural funds. Faculty who hold In Residence or Clinical X appointments 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 to traditional faculty position funding formulas that limited the University’s ability to maintain existing programs or to develop new ones. In Residence and Clinical X faculty are

UCSF is one of ten campuses of the University of California. Remember that the Academic Personnel Manual (APM) sets the minimum University-wide criteria required for advancement. Departments vary in the standards set 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.

highly valued and hold position titles that are equivalent to those in the Professor series. They are subject to similar criteria for advancement and promotion and are members of the Academic Senate, although they do not have tenure. In each of these series, you must contribute with distinction in the areas of teaching and mentoring, research, University and public service, professional competence, and/or creative activities.

In the Ladder Rank series, promotion or appointment to Associate Professor requires *national* recognition for independent contributions to research or creative activities, as well as evidence of excellent teaching. Promotion to the rank of full Professor requires *international* recognition of one’s creative activity. Appointees in these series obtain extramural grant support and/or clinical support throughout their careers. More information may be found at [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. This means that based on a review of your performance as well as departmental and programmatic needs, you are appointed from year to year until you reach the Associate level. Appointments to the In Residence series at the Associate and full-Professor rank do not have a fixed end date. However, a department may establish a termed appointment (i.e., an appointment with an end date) due to budgetary reasons, programmatic change, and/or lack of work.

In 1999, a special task force of the Chancellor reported on changes to the In Residence series. In particular, the task force addressed (1) information and recruitment issues, (2) indefinite appointment, (3) the termination process, and (4) the campus contingency fund. You are encouraged to read the full report, which is included in [Appendix II](#) of this handbook. You should feel free to ask your Department Chair any questions you might 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 this 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. 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 rank may or may not have a specified ending date.

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, e.g., in a body of publications, in teaching materials used elsewhere, or in improvements or innovations in practice adopted elsewhere. You 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**

### **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; participate in patient care, and who 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 and/or scholarly activity.

Appointments in this series may be full-time or part-time. Any changes in percent effort will require the evaluation of your needs together with the departmental needs and resources. Since it is frequently difficult to decrease or increase percent effort once a position has been filled, it is



important to carefully negotiate the percent effort you desire at the time of your 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.

In order to be appointed or advanced to the Associate Professor or Professor rank in this series, the individual's record must demonstrate contributions to scholarly, creative, or administrative activities. Scholarly or creative activities are reviewed from the perspective that such activities are generally derived from clinical teaching and professional service activities. A demonstrated distinction in the special competencies appropriate to the faculty member's field and its characteristic activities will be recognized as a criteria for appointment, advancement, or promotion. Evidence of scholarly or creative activity will be evaluated in the context of the candidate's academic responsibilities, and the time available for creative activity.

However, your contributions to creative activity need not be disseminated nationally for timely advancement within this series. Health Sciences Clinical Professors are supported primarily by clinical income. Appointees in the Health Sciences Clinical Professor series generally have a one-year term with a fixed end date that is renewable. Faculty in this series are not members of the 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 any UCSF affiliate such as the Zuckerberg San Francisco General Hospital and Trauma Center, Veterans Affairs Medical Center or the Fresno Medical Center). Faculty with paid appointments at UCSF or its affiliates now have appointments in the newly named Health Sciences Clinical Professor Series. Volunteer community practitioners retain the series title Clinical Professor.

Also note that 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 series and title Clinical Professor is used for community practitioners who donate their time to the University and are governed by [Section 279](#) of the Academic Personnel Manual.

### **1.2.2c Adjunct Professor**

The Adjunct Professor series requires excellence in at least one, and preferably more than one, 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, i.e., a balance in all four categories is not required. As with the Clinical Professor series, faculty in the Adjunct series may hold appointments at less than 100% effort. However, any changes in percent effort will require the evaluation of your needs together with departmental needs and resources.

In the event that you transfer to another UC campus, you should be aware that service in this series

will apply towards the [eight-year rule](#). Commitments to faculty in the Adjunct series are at the discretion of each Department (e.g., financial resources, space, administrative support, etc.). You are encouraged to discuss all issues related to your position with your department chair prior to commencement of your appointment.

More information related to the Adjunct Professor series may be found in [APM 280](#).

### **1.2.2d Professional Researcher**

The Professional Research series description set forth in [APM section 310-4](#) can appear to be contradictory to system-wide and campus practices. The Committee on Academic Personnel offers this description to clarify policy and practice regarding the Professional Research series:

The Professional Research 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. Candidates in the Professional Research series do not have teaching responsibilities.

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

Appointments in this series can be made to individuals who contribute unique and essential expertise to a research program. Letters—internal, external, or from a Department Chair—written in support of an appointment to or an advancement within this series should include reference to the unique and essential contribution a candidate provides to a collaborative research effort (in the cases where the candidate is not working independently as a Principal Investigator).

### **1.2.2e Other Series**

There are other academic series than those listed here. It is important to note that while these are *academic* appointments, they are not *faculty* appointments.

**TABLE 1: CHARACTERISTICS OF VARIOUS FACULTY SERIES**

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

- 1 Variation exists between schools and departments in the weighting of criteria.
- 2 Criteria for promotion of faculty in the Adjunct series can vary depending on the role expected of each individual.
- 3 Faculty in the Clinical X series are expected to have creative achievement; however, these are subject to different criteria than the creative achievements expected of Professor and In Residence faculty members (APM 21). Creative achievements may be given less weight than teaching and professional competence.
- 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 are eligible for professional development leave. Professional development leave varies among departments.
- 6 Only at UCSF. If transferring to another campus, the 8-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, your UCSF percent effort must represent your total professional commitment.
- 8 In Residence appointments are only open-ended above the Assistant level rank. Faculty appointed after July 1, 2000 do not have an end date, but any In Residence faculty may be converted to a termed appointment (i.e. an appointment with an end date) due to budgetary reasons, programmatic change, and/or lack of work.
- 9 Faculty in the Clinical X series have a termed appointment, i.e., an end-date has been specified.
- 10 Effective July 1, 2018, creative activity is now a required element for advancement and promotion in the HSC Series. Such work can be internal and doesn't have to be disseminated. Please see [CAP Communication on HSC Series](#) for more information.
- 11 Clinical income is not the primary source of compensation for HS 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 the rank is determined. There are 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 (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 series and the salaried 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 creative activity in order to meet the expectations for advancement to the rank of Assistant Professor. Remember that each series has different appointment criteria, as described above.

### 1.3.2 Assistant Professor

In order to be appointed or promoted to the rank of Assistant Professor, you must show promise of achieving stature in your field as well as fulfillment of 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 your allocation of time to different activities (research, clinical, teaching) is balanced effectively.

### 1.3.3 Associate Professor

In order 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 in the Ladder Rank Professor series do you obtain tenure at this rank.** In most other series, continued professional growth and excellence in teaching are required. If research is a criterion, you must attain national recognition for independent contributions to research or creative activities. Independence in research includes publications as first author in peer-reviewed journals, independent extramural research funding, and principal investigator status. In the clinical arena, significant contributions in the areas of creative and scholarly activity must be made. Creative activity might include the development of innovative clinical programs or new approaches to disease management. Scholarly activity might 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. At the Associate level, significant service to your profession must be made. There should be involvement and leadership in professional organizations and societies. You should 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 Professor requires continued professional growth and excellence in teaching. For promotion to full Professor rank in some series, you should demonstrate *national* and *international* prominence related to research or creative activities. Your creative activities

should reflect the same or greater accomplishments met at the Associate level. As Professor, 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 level include participation in school and campus-wide committees, University-wide committees, professional society committees or offices, and service 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 with 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 IX). Intervals between salary increases may be of an indefinite duration and do not normally occur at intervals 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

In order to preserve the significance and value of the University's rank and step system, salaries are 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 higher than the [published salary scale](#) for the relevant title series. At UCSF when an appointee is placed at an off-scale salary, he or she must be returned to an on-scale salary no later than the second subsequent advancement (i.e., between 4 and 8 years).

Further information regarding University of California, San Francisco academic salary scales is available online at [academicaffairs.ucsf.edu/academic-personnel/compensation-benefits/salaryinformation.php](http://academicaffairs.ucsf.edu/academic-personnel/compensation-benefits/salaryinformation.php), provided by the Office of Academic Personnel.

## 1.4 Description of Steps

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

Steps identify the salary level (and retirement salary) of your particular rank. While your step is never indicated as part of your public title, it is part of your "official" title at UCSF and is used administratively. Except for instructors, each rank has steps that indicate the level of advancement.

Steps have a corresponding number of standard years until promotion, e.g., 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. If advancement occurs after you have been two years at a particular step—or three years at Associate level Steps 4 and 5, or 3 years at the full Professor level from Steps 1-4—, it is referred to as a **decelerated advancement**<sup>1</sup>. Department Chairs should clearly state in their letter the reason for the acceleration or deceleration of any action.

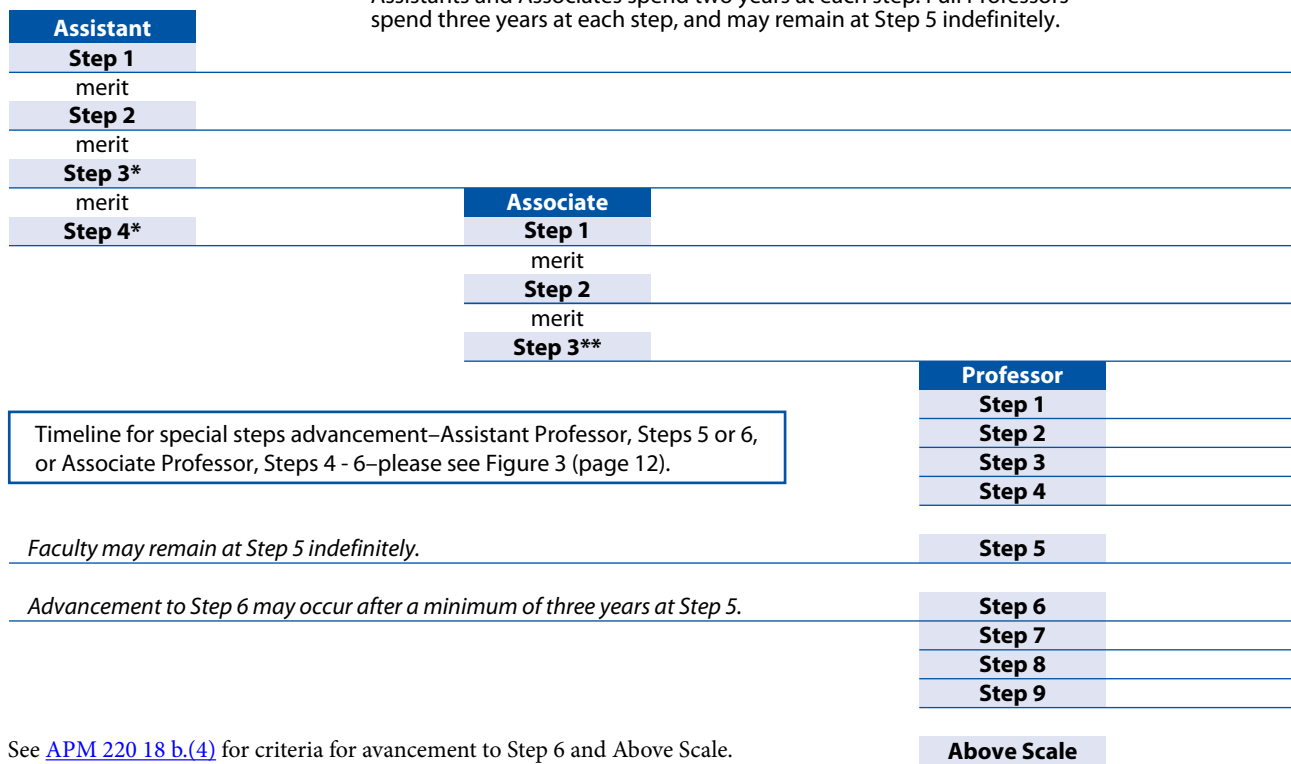
Accelerated advancement is an important form of recognition that rewards faculty who perform at an exceptional level over a sustained period. If you believe that you warrant an accelerated advancement, you should discuss this with your Department Chair. During times of exceptional productivity, your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

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 Management Services Officer (MSO) are all knowledgeable about the University’s step system and are able to 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.”

## FIGURE 2: 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.

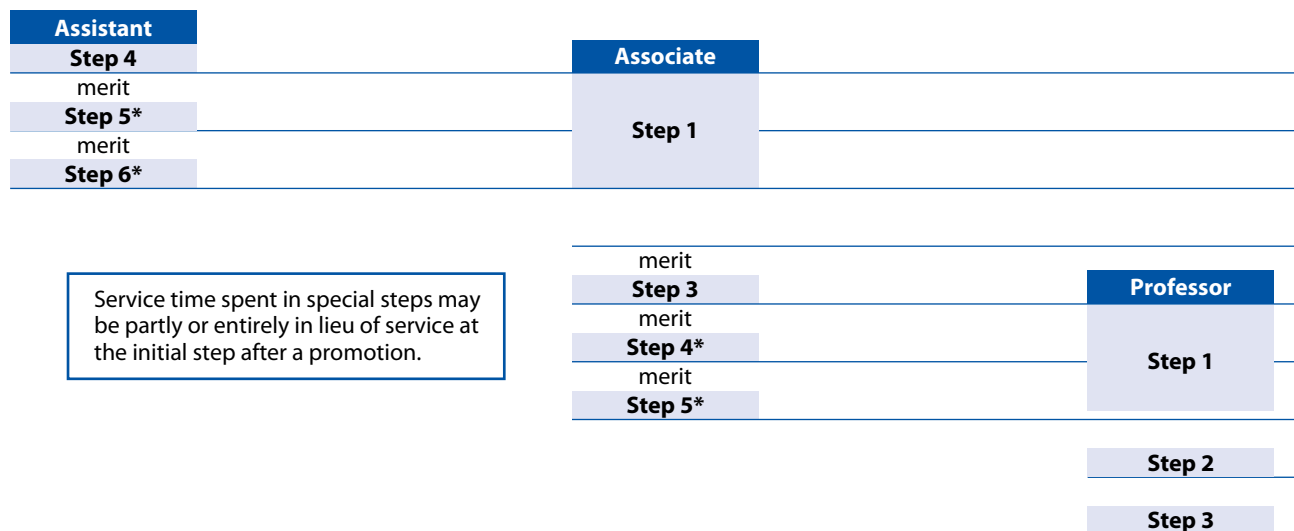


\* An Appraisal needs to happen at least 2 1/2 years before the anticipated date of promotion. On-time advancement from [Assistant Professor to Associate Professor](#) is calculated based on the step of the initial appointment, refer to UCSF Criteria for Advancements.

\*\* 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 Associate rank, refer to UCSF Criteria for Advancements.

1 Decelerated advancement may occur if a faculty member does not submit his/her packet on time to meet required deadlines for timely consideration of advancement OR if his/her Department Chair does not believe he/she is meeting all criteria necessary for timely advancement. Decelerated advancement may also occur after medical or family leave.

**FIGURE 3: TIMELINE FOR SPECIAL STEPS ADVANCEMENT**



\* All promotions from Assistant Step V or VI to the Associate level—or from Associate Step IV or V to the Professor level—will be considered on-time. They will not be considered decelerated; however, they will require justification for the proposed step in the Departmental Evaluation letter.

Promotions from these special steps to ranks higher than 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 it is determined that the candidate’s performance and achievement are **not** commensurate with a higher step at the associate rank, then 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** because of a change in the direction of your work. For example, you may start as a Clinician, but your scholarly enterprise may have built an academic profile that qualifies you for a change from the Health Sciences Clinical series to the Clinical X series. Therefore, *you should be knowledgeable of your department’s policies regarding changes in series*. Issues such as space, sources of funding, 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, ideally, you should 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.

Beginning in 2004-05, during the [Annual Call for Academic Personnel Actions](#), UCSF faculty can initiate a Career Review, which includes a review to determine if a change in series is warranted. Faculty are permitted 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, the 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 the [Standing Orders of the Regents 103.9](#). Faculty members in the In Residence, Clinical X, Health Science Clinical or Adjunct series never receive tenure, even though they do advance from the Assistant to the Associate level and the processes involved in their promotion, as well as 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 during appointment negotiation with the Department Chair. New appointees should be sure to cover the following during the appointment process:

- Series of proposed appointment and information on how it differs in expectations and commitments from other series
- 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 proposed distribution of time:

- Confirm percentage of time protected to conduct research/creative activities during the first year and discussion of expected protected time if appointment renewed in second and third years
- Clarification of specific responsibilities for participation in departmental teaching and/or clinical programs
- Expectation of approximate percentage of time devoted to teaching and approximate percentage of time to clinical practice (as applicable)
- Expectations for University and public service (as compared to professional commitments)



Administrative support issues:

- Identification and confirmation of office space
- Identification and confirmation of research space (if applicable)
- Specific computer and other technology equipment that will be available (if applicable)
- The nature of administrative support and other resources that will be available (if applicable)

Campus and Department Orientation:

- Discussion of benefits
- Discussion of mentoring
- Discussion of parking and commuter options
- Discussion of library resources
- Discussion of information technology resources both within and outside department

**TABLE 2: APPOINTMENT NEGOTIATIONS**

	CHAIR NEGOTIATED	REQUIRES FURTHER APPROVAL
Series, Rank, and Step appointment	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 department	X	
Availability of administrative support and other resources	X	
Discussion of benefits	X	
Availability of home loans through the University	X	X
Discussion of mentoring	X	
Discussion of parking and commuter options	X	
Discussion of library resources	X	

Your success as a faculty member at UCSF depends in part on the availability of resources for the conduct of your academic activities. As we have mentioned, **your future advancement and salary often depend on negotiation for your initial appointment.** Remember that salary boundaries are dictated by your series, rank, and step, as well as 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 Web site features ([www.ucop.edu](http://www.ucop.edu)) complete information on salary scales for the University of California. More information on 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 directed by UC system-wide. Remember that your Department Chair does **not** have the authority to increase your base salary.

The University's Health Sciences Compensation Plan is used by each Department to foster 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 Compensation Plan is a term and condition of employment at UCSF as specified in the Plan.

Compensation Plan 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) plus, if appropriate, a negotiated additional amount of compensation (Y), plus, if appropriate, incentive/bonus compensation (Z). Base salary is the approved rate on the [Health Sciences Compensation Plan Salary Scales](#) 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 such benefits is presented online at the [UCSF HR](#) Web site. The base salary is considered covered compensation for the purposes of the University of California Retirement Plan up to the amount permissible under 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 Dean. ***The Y-Component may be re-negotiated on an annual basis. The Y-Component is not considered covered compensation for 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. Compensation Plan members may also earn additional incentive or bonus compensation beyond the base salary and Y-component compensation, known as the **Z-Component**. A major factor in determining incentive/bonus compensation is revenue generation from consulting, clinical, and other types of revenue-generating professional activity. The Z-Component is negotiated with your Department Chair.

Information regarding the reporting requirements for outside professional activities can be found in your school's approved Health Sciences Compensation Plan (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). These 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., department, school, and campus levels). Normal periods of service are assigned to various steps. Although these 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 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. *Remember that departmental or divisional criteria may exceed those listed in the APM.* Therefore, 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 contribute to maintaining faculty excellence, from appointment through retirement. You should know that **the review process for promotion could, at times, take six to nine months!** You can minimize the time 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 follows in section 2.5.

#### **Advancement to Professor, Step 6 and Professor, Above Scale**

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

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. Criteria for advancement to Step 6 are set forth in [APM Section 220-18-b](#).

The normal period of service at step is three years in each of the first four steps. Service at Step 5 may be of indefinite duration. Advancement to Step VI usually will not occur after less than three years of service at Step 5. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship

or creative achievement, (2) University teaching, and (3) service. Above and beyond that, great academic distinction, recognized nationally and internationally\*, will be required in scholarly or creative achievement or teaching. 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 will not occur after less than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step 6.

Advancement to an 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 after less than four years at Step 9. Moreover, mere length of service and continued good performance at Step 9 is not justification for further salary advancement. There must be demonstration of 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 only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four years be approved.

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

### **2.4.3 Criteria for Advancement**

#### **Creative Activity**

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

#### **Scholarly Activity**

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

#### **Research Productivity**

Includes 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.

#### **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 to the local community.

## **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 ranks), your Department Chair will request letters of evaluation from both internal and external evaluators. These references will assess your productivity compared to others in similar appointments in your field. Three internal letters from UCSF faculty are required for promotion, often including assessment 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 you will be promoted into, 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 write letters on your behalf and let them know the request is forthcoming.

### **2.5.2 Curriculum Vitae and Recordkeeping**

You should pay careful attention to the preparation of your CV since 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 beginning with oldest to most recent. Your CV should be up-to-date and formatted consistently with the example in [Appendix III](#). Most current sample is posted online at [academicaffairs.ucsf.edu](http://academicaffairs.ucsf.edu).

These guidelines are intended to assure that evaluations are accomplished for all of your personnel actions (appointments, promotions, merit advancements, appraisals for promotion, etc.) by Departmental, School, Campus, and Academic Senate reviewers in a fair and impartial manner, with adequate data that represents 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 this format.

### **2.5.3 Teaching: Student and Peer Review**

Student and peer review 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 appropriate for your specific personnel action, the 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. **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 or senior authorship helps to document your research independence.

Those in the Health Sciences Clinical series may have independent research pursuits, but are not required or expected to disseminate on the same level as those in the Professor, In Residence, or 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 Professor series), faculty are encouraged to expand the external dissemination of their creative activity via such venues as syllabi, reviews, clinical Web sites, case studies, presentations, books, book chapters, or published scientific papers.

The Committee on Academic Personnel (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 the latter, open access journals will be viewed in the light of their peer review processes and standing in their particular field of scholarship.

The Committee on Academic Personnel also notes that faculty in the Clinical X series, and perhaps 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 run to the 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 these projects, the Committee would encourage the candidate to include reference to such in the packets submitted for review.

In these cases, the Committee on Academic Personnel recommends that candidates be mentored or notified by their Department Chair that they should describe in their submission materials the magnum syllabus (content, context, adoption etc.) and their role in its creation. CAP will consider this information in their evaluation of creative activity for those in the Health Sciences Clinical and Clinical X series, and possibly elsewhere if appropriate.

## 2.5.5 University and Public Service

Throughout your career, University and public service are important components of your academic life (although it 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 system-wide) or University of California systemwide committees. During your Assistant Professor years, you can limit your University service in order 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.

## 2.6 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. These contributions to diversity and equal opportunity can take a variety of forms, examples include:

- 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, partnerships with community-based organizations/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/Advising of students or faculty at all levels: assisting those who are underrepresented in health sciences, underrepresented minorities (URM) or disenfranchised populations with understanding the process of merits and promotions and encouraging career advice and career advancement;
- e. Teaching: incorporating diversity and inclusion training, health disparity issues, population risk factors, and research findings of URM/disenfranchised groups in core curriculum content;
- f. Service: identify programs that include a focus on diversity and inclusion;
- g. Administration: resources and tools that encourage the recruitment and retention of diverse individuals, diversity and inclusion training of staff and faculty.

The document Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers ([academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf](http://academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf)) produced by the Academic Senate Committee on Academic Personnel (CAP) and the Office of the Vice Provost, Academic Affairs and Faculty Development (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

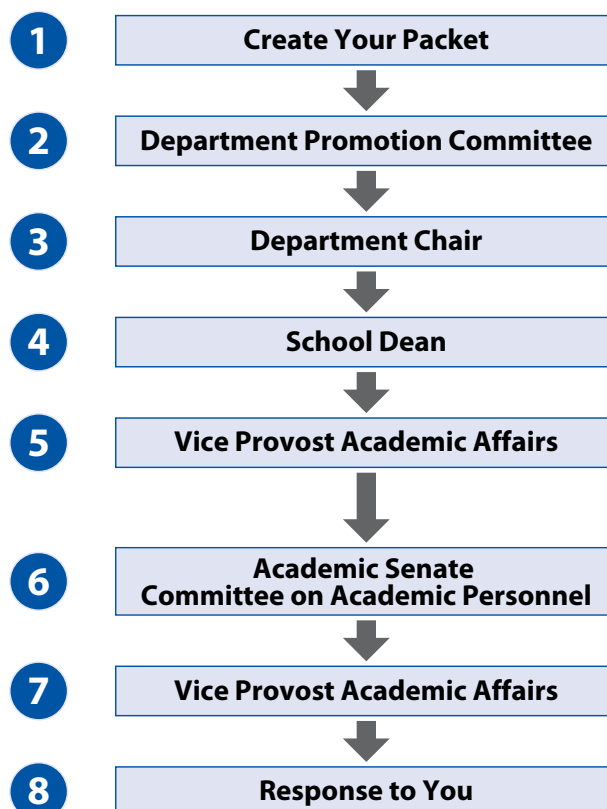
Initially, the faculty member prepares a packet (also known as a “file”) which includes current CV, list of recent publications, internal and external letters of review, student evaluations, and summary statements of research and teaching. This packet is submitted through the Chair’s Office to the respective Department/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 on to the Office of the Vice Provost, Academic Affairs and Faculty Development (OVPAAFD) and the Vice Provost, Academic Affairs (VPAA).

The Executive Vice Provost, Academic Affairs transmits the packet to Academic Senate Office for review and recommendation by the Senate’s Committee on Academic Personnel (CAP). Following full review, the Committee on Academic Personnel transmits a letter of recommendation and returns the file to the VPAA for final disposition (action).

### FIGURE 3: STEPS IN THE REVIEW PROCESS

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 will discuss this with the faculty member.

The process for promotion from Associate to full Professor is the same as that for promotion from Assistant to Associate, 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; a summary of your teaching responsibilities and expertise, a summary of your research and creative work, professional competence and activity, and University and public service; and finally, the Chair's own evaluation of your academic progress.

### **2.8.3 Your Promotion Package**

The promotion package that is submitted by your department is identical for Professor, In Residence, and Clinical X faculty, and includes the following:

**TABLE 3: LADDER RANK, IN RESIDENCE AND PROFESSOR OF CLINICAL \_\_\_\_\_**

	Appoint-ments	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
<b>Curriculum Vitae</b> from Advance My CV (follow UCSF CV guidelines)	X	X	X	X	X	X
<b>Intramural/Extramural Letters of Evaluation</b> <sup>1</sup>	see note*		3/3		3/3	3/3
<b>Formal Evaluations</b> for Teaching Activity <sup>2</sup>	see note*		X	X	X	X
<b>Important Points for Discussion</b> Upload as attachment in Advance	X	X				
<b>Titles and Institutions of all referees on reference list page</b> <sup>3</sup>	X	X	X		X	X
<b>Department Chair Letter</b> , including:						
• Four categories: Teaching and Mentoring, Research/Creative Work, Professional Competence, University/Public Service • If applicable, include statement confirming ORU concurrence in “additional comments” section	X	X	X	X	X	X
Faculty Vote	X	X	X		X	
Justification for accelerated/decelerated action			X	X	X	
Justification for appointment or advancement to or from a special step (Assistant step V, VI; Associate step IV, V)	X	X	X	X		
Concurrence of joint department and/or School where individual has an academic appointment	X	X	X	X	X	X
<b>Dean Letter</b> w/ Recommendation (obtained by Academic Affairs)	X	X	X	X	X	X

\*Letter requirements for Appointments and Change 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

It is important to remember that, although 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.**

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

2 If no formal course evaluations are available, at least 5 teaching/mentoring references are required (3 for appointment/change 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.

If you like, you can prepare a statement of your record 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. The Committee on Academic Personnel (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 significance of your contributions. Extramural evaluators may include referees from outside the country, but remember to alert them of the importance of their letters in the process of your promotion. You should contact each individual to determine his/her willingness to respond in a positive and timely manner.

#### **2.8.4 Dean**

Once your promotion package is complete, your Department Chair will forward it to your School Dean. After the Dean appraises your package, he or she 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 level, the Office of the Vice Provost, Academic Affairs and Faculty Development (OVPAAFD) and Vice Provost, Academic Affairs (VPAA) sends your packet to the Academic Senate Committee on Academic Personnel (CAP) for academic review.

CAP reviews all faculty appointments and changes in series, appraisals, promotions, merit advancements which 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, on which a CAP member participates.)

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

#### **2.8.6 Chancellor and Vice Provost of Academic Affairs**

The Vice Provost, Academic Affairs (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 Vice Provost, Academic Affairs agrees, then the Chancellor will notify you of your promotion. In advising the Chancellor, the Vice Provost, Academic Affairs 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 in order 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, 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 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 Vice Provost, Academic Affairs. Any of these Administrators can look into your file, correct errors and injustices, and advise you about other courses of action. The Affirmative Action office 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 having exhausted informal consultations, you may undertake a formal internal complaint if you remain unsatisfied. A formal complaint can be filed with (1) the Vice Provost, Academic Affairs, (2) the Academic Senate Committee on Privilege and Tenure, (3) the Affirmative Action office (complaint of discrimination only), (4) the Office of Sexual Harassment, or (5) the campus' whistle blower coordinator. Redress may also be sought in some cases filing a complaint with applicable external agencies (e.g. DFEH or EEOC) or in the courts.

### **2.8.8 Appraisals of Achievement and Promise**

Appraisals of Achievement and Promise constitute an evaluation of Assistant Professors midway through the eight-years of service at this rank (typically during your fourth year as assistant professor). The purpose of the Appraisal is to assess your progress and to provide advice and guidance for successful progression to the rank of Associate Professor. The Appraisal review 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, 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 (Professor, In Residence, and 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, 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, 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 other UC campuses in that it currently does *not* apply an eight-year limit to the Adjunct or Health Sciences Clinical series. This 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.

There are categories of leave and time off which 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. If a faculty member has not been reviewed in the previous five years, a Five-Year Review is initiated. The purpose of this five-year review is to ensure that your performance is appraised at regular intervals, to assess your productivity since your last successful advancement, and to identify what needs to be accomplished for further advancement. At UCSF, faculty who are employed at less than 50% time will not be required to undergo a five-year review. However, if the faculty member wishes to be reviewed, he/she may request it.

The five-year review may result in:

1. Advancement, if performance warrants it;
2. No advancement, but with performance monitoring and scheduling of the next review date if progress is satisfactory;
3. Establishment of a remedial plan and timetable for progress if progress is deemed unsatisfactory; or
4. Further disciplinary action consistent with UC policy governing incompetent performance in a ladder rank faculty member.

### **2.8.11 Career Review**

Occasionally, the series, rank and step of a faculty member may be inconsistent with their accomplishments. If you feel this is the case, you may request a career review to reassess your entire UCSF career, from 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, etc., but 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 discussion with your Department Chair, it's recommended that you be put forth for an accelerated action, please be sure to review the [Guidelines for Accelerated Action](#) which detail the criteria upon which you will be reviewed outside of your department. These are recommended guidelines and should your successes not appear under the “Examples of Exceptional Performance” list – that doesn't necessarily mean you aren't eligible. The examples are listed to provide ideas, not to be 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 as well as your peers. It will be critically important that you participate in your department's mentoring program, both by attending workshops and by meeting with your assigned mentor or mentoring team.

The goal of academic mentoring is to support the professional development of students, fellows, post-doctoral fellows and faculty in their careers and to promote excellence in teaching and learning, research, and academic leadership. At UCSF, the academic review values mentoring 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/division's "Mentoring Facilitator." While many departments focus their mentoring efforts on new or junior faculty, it is vital that faculty at all career stages take advantage of mentoring opportunities to enhance their career and to increase satisfaction.

Mentoring overall refers to longer-term relationships. Mentoring doesn't refer to trainees or students who a faculty member meets during clinical rotations or other such interactions; these should be listed under informal teaching and trainee names need not be listed as the teaching role is expected.

Mentoring extends beyond the teaching of a specific skill; it encompasses personal, professional, and civic development. Expecting a single person to fulfill all of 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 tends to fall into the following areas:

- Career Mentor: provides overall career guidance and support mentoring.
- Co-mentor / 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, e.g. data collection, data analysis, manuscript preparation, curriculum or course development.
- Research / 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 might 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 in order 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/ child-rearing responsibilities will have an impact on your life-work balance and potentially on your productivity. In these instances and others, the identification of a mentor who has had similar experiences may provide you with perspective and help you to balance your personal and professional life. Similarly, peer mentors (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 – for example, if you develop mentoring programs, or tools to improve mentoring, or you spend a large percentage of your time mentoring others – you may choose to develop an Educator Portfolio CV. This 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 as a mentee.

#### **CTSI Mentor Training Program** ([accelerate.ucsf.edu/training/mtp](https://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 & Translational research can apply to participate annually. Many residency and fellowship directors have found the MTP useful. They are also strongly encouraged to [apply](#).

The CTSI MTP has created an integrated environment for senior mentors and mentors-in-training, encouraging creative and innovative networking, discussing a range of mentoring challenges and a myriad of solutions, developing a toolbox of strategies, and using discussions and collective experiences to build a community of mentoring excellence.

#### **Faculty Mentoring Program** ([academicaffairs.ucsf.edu/ccfl/faculty\\_mentoring\\_program.php](https://academicaffairs.ucsf.edu/ccfl/faculty_mentoring_program.php))

Responding to the results from the Faculty Climate Survey, the UCSF Faculty Mentoring Program was established in 2006 with the goals of supporting the recruitment and retention of the highest quality faculty, increasing faculty diversity through improved mentoring of under-represented faculty and improving faculty career satisfaction and success.

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



## **Mentors and Mentees**

A successful mentoring relationship depends on both the mentor and the “mentee.” You, as aspiring mentee, should look within your division, department, and school as well as across schools to identify ideal mentors. Work with your department’s Mentoring Facilitator to identify potential mentors or to establish formal mentoring relationships with mentors you have identified. **Be assertive in contacting potential mentors, and consider what you might bring to the relationship.**

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, clinical and teaching responsibilities, manuscripts, and your academic progress and potential. Consider, too, 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, while still others address issues concerning human subjects’ research protection or how to effectively manage a research staff. By taking full advantage of the opportunities afforded by one-on-one mentoring, team mentoring, 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 demonstrates you are continuously and productively engaged in creative activity of high quality and significance.

Become strategic about managing your time, and develop annual and multi-year plans to accomplish specific investigative goals. This will aid you in building a research program that has the room and time to grow. The following are some suggested strategies for success:

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 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 and/or clinical load that might involve less preparation or contain 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 the schedule. Some people work best in whole-day blocks of time; others find mornings the best time to write. Do not use these precious blocks of time to read your mail or answer correspondence or to finish lectures or other work that has spilled over into the time allotted for your own research. **Guard your research times as if these are actual appointments that cannot be broken!**

3. *Plan for some leave time in order 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 a summer free to write or pursue your research. If such funding is not available, draw on your sabbatical or professional development time, if eligible, or discuss obtaining some release time with your Department Chair in order 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 which many faculty subscribe to. Check in with your Department for their suggested lists. Separately, research on your own which ones from which you want to receive information (including funding announcements and meetings). Select 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. Also be sure to check [Section 9.0](#) (Resources) of this Handbook for various UCSF websites which can also help.

## 4.2 Developing a Basic Scholarly Research Program

Your scholarly contributions will be evaluated for evidence of growth, impact on the field (e.g., work that opens new lines of investigation), and future promise. Often that means your work needs to be programmatic or progressive—it is expected to unfold, with one contribution leading to another. Hence, you will continually face choices about what to do next. Each discipline varies in terms of what kind of scholarly contribution is most valued, be it a book or a journal article, empirical or theoretical work. Ask your colleagues for more specific direction about these criteria, and shape the direction and scope of your scholarly activities accordingly.

Several rules probably hold true across disciplines. Publication of popular books and of textbooks does 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 its scholarly contributions. Ask for such letters if you think your text makes such a contribution. Work that is too narrow in scope might 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. 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 a breakdown of discipline-based barriers. Therefore, research programs will tend to become more interdisciplinary. Ad hoc review committees may have to be directed to your contribution or oriented by documentation of your independent creative activities. Collaborative studies can expand your capabilities, but establishing collaborations that are independent of past mentors and advisors is important.

For academic review packets, it is the responsibility of the individual faculty member and the Department Chair (and/or other appropriate individuals) to establish the essential creative contributions of the faculty member. Opinions from internal and external reviewers should be sought to specify the exact nature of the contribution.

[Mentors](#) and advisors in your research area are always useful, and seeking new ones in 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 investigation 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 investigation. Some junior faculty members may not yet have the training appropriate for a career in patient-oriented investigation, while others may already have doctoral and postdoctoral training in areas such as epidemiology and biostatistics. Regardless of your training, be sure to 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 a number of courses and workshops that will enable you to learn how to approach clinical investigation. One particular curriculum offered is the 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, choose an area of investigation that is closely aligned with your clinical practice; this will make your clinical work more interesting and increase your research productivity. Clinical research may be conducted in a number of venues including hospitals, outpatient settings, or the community. Performing research through some Clinical Research Centers (either [General](#), [Pediatrics](#) or [Women's](#)) allows you to obtain preliminary results through partially-subsidized studies. You can also apply for intramural pilot funding through the RAP program. Once this is accomplished, you can apply for extramural funding. (See [Appendix V](#) for an example of intramural funding.)

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

As your work grows, you will find yourself in a supervisory position. The responsibilities for group leaders of a research laboratory outlined in [Section 4.10.4](#) of this handbook also apply to the clinical investigator as well, especially regarding scientific conduct, grants management, and inventions and patents. It is important that you become knowledgeable about the University's policies, procedures, labor contracts, or other conditions related to employing and supervising post-doctoral Students or Staff. More information is available on the UCSF Human Resources Web site ([hr.ucsf.edu/hr.php](http://hr.ucsf.edu/hr.php)).

### 4.4 Grants: A First Step

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

Often a new faculty member does not have all the information about grant sources. This information is available through your school or department and, to a limited extent, from the

Executive Vice Chancellor, the UCSF Office of Research Affairs or the Academic Services Office. Research funds are available for 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 (See also [Appendix V](#) of this handbook.)

The [Academic Senate's](#) Committee on Research funds its own Individual Grant Program through its partnership with UCSF's intramural grant clearinghouse [Resource Allocation Program](#) (RAP) that releases small grants twice a year to individual and collaborative scientific teams. Most campus intramural funding agencies work with RAP, thereby allowing a faculty member to do a "one-stop application" for numerous funding options. Awards up to \$35,000 are given to [individual investigators](#) for start-up (for both junior and established faculty), new direction, lapse in funding, or re-entry. Awards up to \$40,000 are given for [shared equipment](#) not to be used in campus Core Facilities. The Senate also funds the Team Science Awards for scientific groups and the Independence Support Award for those faculty who've not yet acquired a NIH R01 Grant.

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

Both intramural and extramural funding can be sought. Although Intramural sources generally provide smaller grants, they are a good venue in which to begin the grant-writing process. It is extremely helpful to read the grant proposals of successful applicants before you begin to write. In addition, have independent investigators review your grant application prior to submission. Many senior colleagues at UCSF have served on grant review committees are good sources for advice and constructive criticism. There are also grant writing resources to be found through [CTSI-Accelerate](#).

## 4.5 Preparing for Publication

Although evaluation of your performance for promotion is based on professional ability, teaching, and service, research resulting in scholarly publications is also greatly valued by reviewing committees. Research publications which can be read, judged, and compared represent 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.

To achieve success, it is important to approach 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. Publication should be considered when the work has been completed or has reached a stage when 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 the manuscript, discuss in advance who will take what roles and what authorship order is anticipated. When the paper is ready to submit, ask your colleagues both within and outside the immediate field of research to critique your work, as well as a scientific editor if possible. 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 order of authorship.

The manuscript should be sent to a journal that specializes in publishing the type of research being reported. The journal should be as prestigious as possible—a paper appearing in a leading general-interest or specialty journal brings more credit to an author than one in a lesser publication. The journal will likely submit all research papers to peer review, and then send these written reviews to 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 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 and 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. More often than not, 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.

Preparation of abstracts for presentation at professional meetings requires thought and care. Adhere to the format 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 there must be evidence that presentations are followed in a reasonable time by publication of a formal report in a refereed journal. Effective public presentation 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. In the department, the more you help the advancement of your colleagues, 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 respect to your independent creative activities.

### **4.6.2 Increasing National Visibility**

National recognition is generally built on the originality and quality of 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 are valuable contributions that help the school and the department as well as the individual. The education of young colleagues and their professional success will eventually be viewed as one of the most important ingredients 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 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 own 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)<sup>1</sup>. At present, the HRPP is actually three separate committees that share equal authority and responsibility: Committee 1, Committee A, and the Laurel Heights Committee.

The National Institute of Health (NIH) has changed its policies so that approval by an Institutional Review Board (IRB) is no longer required before 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 ("pink sheet") notification of priority score/percentile. If the pink sheet indicates the application is in a fundable range, IRB review should proceed.

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 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, called a Multiple Project Assurance. It 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 Web site: [irb.ucsf.edu](http://irb.ucsf.edu).

## 4.8 UCSF Institutional Animal Care and Use Committee (IACUC)

This Committee is comprised of faculty members, veterinarians, and at least one representative of the public. The Institutional Animal Care and Use Committee ([iacuc.ucsf.edu](http://iacuc.ucsf.edu)) oversees all UCSF research and instruction involving vertebrate animals, in order to ensure that the highest ethical and animal welfare standards are met.

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<sup>1</sup> An Institutional Review Board, or IRB, is a committee, operating under federal regulations, state laws, and institutional policy, that reviews research involving human subjects to ensure the ethical and equitable treatment of those subjects.

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, and 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 and also 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 (USDA) 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 prevention of animal-associated injuries, illnesses, and infections.

A guide for new users of animals at UCSF is online at [iacuc.ucsf.edu](http://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 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. Environmental Health & Safety ([ehs.ucsf.edu](http://ehs.ucsf.edu)) routinely carries out inspections, so carelessness can bring major problems, including fines and possibly closure of a laboratory.

Detailed information on regulations and deadlines for submitting applications is 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. It is typical for a junior faculty member to collaborate on one or more grants with colleagues that 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 differentiated from those of your mentors. This does not mean you have to do research on a completely different topic; rather, it means that your contributions can be described as making unique contributions to the field or opening 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 Discipline

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 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 you to build in the time needed to learn from one another, recognizing that even what counts as data or evidence may vary from discipline to discipline.

### 4.10.3 Order of Authorship on Publications

Determine who will be considered an author during the initial planning of research. 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. *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 parts written by coauthors. Generally, this person contributed most to the work and is usually the first author of the paper. The last author position is often the “senior” author (sometimes referred to as the Principal Investigator) but the relative status of authorship positions will vary 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, is online at the ICMJE Web site at [www.icmje.org](http://www.icmje.org) and includes information on authorship and contributors.

### 4.10.4 Supervising Post-Doctoral Fellows, Residents, and Staff

As your research program develops, you will likely be working with one or more postdoctoral Fellows, Residents, and/or research or administrative staff. Sustaining cordial, professional working relationships is critical to moving the work along as efficiently as possible. If you have limited supervisory or management experience, you might benefit from learning more about how to avoid common pitfalls of new managers. The UCSF Work Life Resource Center ([ombuds.ucsf.edu](http://ombuds.ucsf.edu)) and the UCSF Human Resources Department ([hr.ucsf.edu/hr.php](http://hr.ucsf.edu/hr.php)) offer resources to help you. As a beginning academic, it can be complex to sort out the role expectations related to different categories of colleagues. 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 project, but opportunities for networking, visibility, and publications. 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 his or her 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 (non-United States citizens and non-permanent residents). Each international faculty member either must 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, U.S. Department of State, and other federal agencies.

When assuming the responsibility of training postdoctoral fellows and other researchers, it is essential to understand the implications of visa types (F-1, J-1, H-1, TN, etc.). Communication with staff in the ISSO office is required to arrange the government documents needed to facilitate these appointments. Please be aware that with all appointments of internationals, both ISSO and the federal government apply processing fees. 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, as well as filing for the Permanent Residency petitions on behalf of the University. The ISSO is the only office authorized to sign immigration forms on behalf UCSF.

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

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

International faculty's arrival and departure should be reported to ISSO so that accurate records can be maintained. ISSO also offers a pre-arrival guidebook and orientation sessions for newly arrived international scholars/faculty and their family members. You can contact ISSO by telephone at 415-476-1773 or you can visit the ISSO Web site at [isso.ucsf.edu](http://isso.ucsf.edu).

## 6.0 Emeritus and Recall Appointments

### 6.1 Emeritus

For every member of the Academic Senate in good standing, the title suffix “Emeritus” is automatically conferred for positions held at the time of retirement. Other academic appointees may be nominated for conferral of the Emeritus title suffix. In these cases, the nominee must have at least ten years of University service; attained the highest rank in the individual’s title series; and have 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 can only follow a break in service of 90 days after the retiree’s retirement date or receipt of the first retirement payment, whichever occurs first. Faculty who are retired and who have not been granted an Emeritus title may return to work on a postretirement appointment, on a year-to-year basis. It is important to know that further advancement is not allowed once you have retired.

Generally, if you return to work after retirement, you should be reappointed at 46 percent time (1,000 hours) or less. If you return to work and you or a family member is eligible for Medicare (65 years of age or older), you may be reappointed up to 43.75 percent time. *The impact on your retirement, health, and welfare plans needs to be carefully evaluated.* The departmental benefits representative should be your principle point of contact.

Important contributions to our academic mission continue to be made by faculty 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 postretirement employment is of interest to you, discuss this with your Department Chair.

## 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, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning.

The Faculty Code of Conduct sets forth your professional rights as well as the University’s responsibility to protect and encourage faculty in its 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 set forth in the Academic Personnel Manual (APM) section 15; section 16 covers University Policy on Faculty Conduct and the Administration of Discipline. The Academic Personnel Manual is published online at the Office of the President’s Web site at [www.ucop.edu](http://www.ucop.edu). To learn more about the UCSF process for handling [faculty misconduct investigations and disciplinary proceedings](#), please refer to the UCSF [Office of Academic Personnel](#).

### 7.2 UCSF Guidelines on Conflict 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 and/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 have the appearance of compromising, 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 at the time a proposal is submitted for funding. In those cases in which a financial interest and possible conflict of interest are disclosed, the laws provide for the review of each 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 for acceptance, acceptance with conditions, or disapproval of a gift, grant, or contract. This review and recommendation *must be completed before the University accepts funding in question*. If you do not agree with the Committee’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 Committee to answer questions and to provide additional information.

UCSF Guidelines on Conflict of Interest can be found in [Appendix IV](#). These guidelines supplement federal regulations, state laws, and UC policies. More information is available from the Conflict of Interest Advisory Committee Web site at [coi.ucsf.edu/coiac](http://coi.ucsf.edu/coiac).

More information about the University's policy on disclosure of financial interests and management of conflicts of interest related to sponsored projects is available from the Office of Research section on the Web site of the Office of the President (UCOP, [www.ucop.edu/research-graduate-studies/](http://www.ucop.edu/research-graduate-studies/)). The University's policy on conflict of interest and a compendium of specialized university policies, guidelines, and regulations related to conflict of interest are also [available](#) from the UCOP Web site. See [APM 028](#) for University policy on disclosure of financial interest 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, or intimidation. For example, when an individual in authority or power jeopardizes another's academic or career future through job discrimination, demotion, withheld promotion, or a decreased grade unless sexual favors are granted, "quid pro quo" sexual harassment has occurred. The 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. Examples of hostile environment may include, but are not limited to, sexually demeaning language, the posting of offensive photographs or posters in common space, 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 number of available advisors through the Office of Sexual Harassment Prevention and Response who are trained to assist both faculty and staff, and who are aware of the law as well as resources within the University.

Inquiries about sexual harassment can be made without disclosing specific names and events, and 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 investigation and/or mediation) will begin immediately. If the charge is proven, effective action will be taken to prevent further sexual harassment.

The goals of the UCSF Sexual Harassment Prevention and Response Program include the education of both faculty and staff, the provision of resources for the counseling of those who feel they are being or have been harassed, and the provision of a fair and equitable resolution process with the protection of all involved. The institutional intent includes the prompt recognition of sexual harassment, and open discussion between all parties in order to provide a workplace free of harassment and without litigation.

To learn more sexual harassment and sexual violence resources, please contact the [Office of the CARE Advocate](#) or the Sexual Violence Prevention & Response ([shpr.ucsf.edu](http://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 relationship between faculty and students must be protected from influences or activities that can interfere with learning. Whenever a faculty member is responsible for 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 into a romantic or sexual relationship with any student<sup>1</sup> for whom you have, or should reasonably expect to have in the future, academic responsibility (instructional, evaluative, or supervisory). 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 might have academic responsibility for (1) students whose academic program will require them to enroll in a course you teach, (2) students known by you 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 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 a confidential, impartial, informal and independent problem-solving service that includes consultation, mediation, and group facilitation services to members of the diverse UCSF community predicated on the principles of fairness, equity and respect.

The Office of the Ombuds ([ombuds.ucsf.edu](http://ombuds.ucsf.edu)) can offer two- or multiple-party mediations. The utilization of mediation services is supplemental to the University's existing formal grievance and complaint procedures. It emphasizes open communication, active listening, and collaborative problem solving, and is facilitated by professional mediators. Individuals who utilize mediation through the Office of the Ombuds do so voluntarily. Those who participate, enter into confidentiality agreements which 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 International Ombudsman Association Standards of Practice and Code of Ethics and is a resource for faculty, staff, administrators, students, and trainees.

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

## 7.6 Domestic Partnership

A domestic partnership (same-sex and opposite-sex domestic partners<sup>1</sup>) registered with the State of California is a domestic partnership for UC benefits purposes. A domestic partnership that has not been registered with the State of California must meet the following criteria:

- Parties must be each other'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.
- Parties must be financially interdependent.
- 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 UCSF Human Resources Web site ([hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits](http://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits)) has more information about UC Domestic Partnership benefits. The Declaration of Domestic Partnership (UBEN 250) is also available for download ([ucnet.universityofcalifornia.edu/forms/pdf/ubn-250.pdf](http://ucnet.universityofcalifornia.edu/forms/pdf/ubn-250.pdf)).

## 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 and payment of 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) 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 can result in civil monetary penalties up to \$25,000 per standard per year. Violation 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 [hipaa.ucsf.edu/](http://hipaa.ucsf.edu/).

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<sup>1</sup> The State of California only registers opposite-sex domestic partners if one or both individuals are over the age 62 and are eligible for Social Security benefits.

## 8.0 Taking Time Off

### 8.1 UCSF Administrative Holidays

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

The typical, annually-recurring administrative holidays are:

- New Year’s Eve and Day (or two nearest days)
- Martin Luther King Day
- President’s Day
- Cesar Chavez Day
- Memorial Day
- Independence Day
- Labor Day
- Veteran’s Day
- Thanksgiving Holiday (Thursday and Friday)
- Christmas Eve and Christmas Day (or two nearest days)

For the scheduled holidays each year, please refer to the [calendar](#) produced by the Office of Admissions and Registrar.

### 8.2 Vacation

Except for Postdoctoral Scholars, academic personnel appointed on a fiscal-year basis for six months or more, at 50 percent time or more, accrue vacation leave at two days (or 16 hours) per full month of service. Fiscal-year appointees 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 credit 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. Periods of academic recess are not regarded as vacation, and 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 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 with your Department.

Complete and current vacation policy is presented in [APM 730](#).

### 8.3 Sick Leave

Faculty within the five series (Professor, In Residence, Clinical X, Clinical, and Adjunct) do *not* accrue sick leave under UC policies. However, each department makes specific provisions in its compensation plan to allow faculty paid leave, which may include sick leave. Most departmental compensation plans allow up to six weeks of sick leave with full pay each academic year. Additional leave with pay may be possible under the disability guidelines. Under unusual circumstances, the Chancellor may also approve leave with pay. You should check your department’s compensation



plan for details and eligibility.

In some cases, non-faculty academic appointments (i.e., appointments not made in the five series mentioned above), do accrue sick leave under UC policies. See [APM 710](#) if you think you may be eligible. For more information, see also [APM 715](#) and [760](#).

## 8.4 Disability Leave

Faculty do not accrue sick leave through the University, but may be entitled to benefits of six weeks or more paid through their Department's compensation plan. However, base disability coverage varies from Department to Department. It is essential that you 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 (SDI). If you've worked for UC for less than 18 months and your previous employer was in California, you may be eligible for CA-SDI benefits under your previous employer. You should contact [State Disability](#) directly for an understanding of your eligibility for this benefit.

In lieu of this benefit, the University offers short-term and supplemental disability through Liberty Mutual:

**Short-Term Disability** - If you're an employee with full benefits, you're automatically covered for this benefit which covers up to 55 percent of your eligible monthly earnings to a maximum of \$800 per month, for up to six months. There is a standard seven-day waiting period before you can begin receiving benefits. While you're receiving Short-Term Disability income, UC continues to pay its portions of your medical premiums.

**Supplemental Disability** - If you're an employee with full benefits, you may enroll in supplemental disability during your period of initial eligibility (this is usually a 31-day period that starts on your hire date). If you apply after this date you will need to submit a statement of health and you may be disqualified based on a current or preexisting medical condition. This benefit provides up to 70 percent of your eligible earnings to a maximum benefit of \$15,000 per month. Eligible earnings don't include by-agreement payments, compensation for University Extension teaching, summer salary, additional compensation or Health Sciences Compensation Plan additional compensation. After 12 months, the definition of disability changes and if you still qualify, you receive up to 50 percent of your eligible earnings until your disability ends or age 65, whichever is earlier. The cost for this benefit varies depending on your age, the waiting period you choose (a longer waiting period means a lower premium) and the UCRP disability benefits for which you are eligible.

Detailed information on [Faculty Disability Benefits](#) may be found on the UCOP website. The [Guide for Filing Liberty Mutual](#) provides instruction on applying for the short-term and/or supplemental disability benefit.

Health Sciences Compensation Plan faculty members may be eligible to receive a separate disability benefit. Faculty should confer with their HR Generalist regarding their eligibility for and applying for the Hartford benefit.

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 as a result 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 employment, notice your supervisor/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 a leave with pay to attend professional meetings or for University business (as described in [APM 752](#)). If the leave is for more than seven days, the rules in [APM 758](#) and [759](#) apply. Leave to attend professional meetings must be arranged with your colleagues and must not interrupt usual University responsibilities.

## 8.6 Military Service

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

## 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. If you are fully compensated for services by the governmental agency, then usually these leaves of absence are granted without pay. However, full or partial pay may be granted for leaves of 30-days or less 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 the appointee would normally receive from the University. While the University of California and UCSF encourage government service to the National Institutes of Health, you should verify your departmental policy 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 (Professor, Professor In Residence, and Clinical X) are limited by the [eight-year rule](#). However, there are occasions when you can stop the tenure clock, i.e., take leave that does not count towards these eight years. You can stop-the-clock more than once during the eight-year probationary period, but *total leave excluded from the rule cannot exceed two years*.

With the exception of childbearing and parental leave—which is discussed below—time-off, whether with or without salary, *counts towards the eight-year rule*. However, you may petition the Chancellor to have these periods excluded if your leave is unrelated to your academic career. Your petition should be filed at the same time at which 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

The intense period of early career development is often precisely the time, from both a psychological and a biological standpoint, when a young faculty member might wish to start a family or already be engaged in the care of young children. The difficulties of the early career period are compounded by a promotion process that requires you to prove yourself within a specific time. Historically, the University introduced the eight-year time limit in response to criticism that it was unfair to keep a faculty member employed at a junior level without either promotion or dismissal. Seven years with a year’s warning was considered sufficient time to make a decision. Unfortunately, pregnancy, childbirth, and the commitments required of parenting can make this eight-year time limit a highly stressful and all too rapidly passing period of time.

**TABLE 4: PREGNANCY, CHILDBEARING, AND CHILD REARING LEAVE**

	GUARANTEE	MAXIMUM DURATION	PAID	STOP CLOCK
<b>Pregnancy (Disability)</b> leave for medical needs prior to, during, and following pregnancy – negotiated through Department Chair	FEHA <sup>1</sup>	4 Months	No	Yes
<b>Childbearing</b> leave after pregnancy – administered through the Chancellor’s Office	FMLA <sup>2</sup>	6 Weeks	Yes	Yes
<b>Child rearing</b> leave for newborns or newly adopted children under age five – negotiated through Department Chair	FMLA	6 Weeks	Maybe	Yes
<b>Extended child rearing</b> leave may be negotiated with advanced 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 as well as the California Fair Employment and Housing Act (FEHA) assure various forms of the leave during pregnancy. Under FMLA, any period of incapacity or treatment due to pregnancy, including prenatal care, is included as a “serious health condition.” If eligible, and employee may take up to 12 workweeks of unpaid FMLA leave due to her pregnancy.

Under the California Fair Employment and Housing Act (FEHA), you may take up to four months of unpaid medical leave for the period of actual disability caused by your pregnancy, childbirth, or related medical condition (G. C. Sec 12945(b)(2)). For example, if you are put to medical bed rest during or after your pregnancy, you may access unpaid medical leave. During this time, no duties will be required by the University. Since this is unpaid leave, you may want to reserve paid vacation to use during part or all of this period.

1 [California Fair Employment and Housing Act](#)

2 [Federal Family and Medical Leave Act](#)

Childbearing Leave or Prenatal Leave taken that is equal to or in excess of one semester or one quarter, but not more than one year, is *automatically excluded* from time counted toward the eight-year rule *unless* you inform your department chair in writing before, during, or within one semester after the leave, that it should not be excluded.

University-guaranteed forms of childbearing and parental leave are detailed in APM 760, and should be reviewed before taking leave.

## 8.9.2 Prenatal, Childbearing, and Child Rearing Leave

University policy requires at least one year of service in a faculty title *before* paid childbearing leave can be taken. Remember that time spent as a Student, Fellow, or Resident does *not* count towards this one-year requirement. However, there is no service requirement for the Academic Senate series.

The initial six-weeks of *paid* childbearing leave is administered through the Chancellor's Office and is available to faculty in all five series (Professor, In Residence, Clinical X, Clinical, and Adjunct). If eligible, additional leave of up to six-weeks is assured by the federal Family and Medical Leave Act (FMLA), which guarantees continuation of benefits and return to your previous position. However, compensation during this additional six-week period is at the discretion of your Department Chair, and *must be negotiated ahead of time*. **The combined total of twelve weeks leave (FMLA benefits and University-supported leave) run concurrently.**

Birth mothers are eligible for 12 weeks FMLA leave plus 12 weeks CFRA (California Family Rights Act) leave. If you are disabled, you may be eligible for up to four months of PDL (Paid Disability Leave). CFRA leave taken to care for a newborn runs concurrently with parental leave taken for the same purpose ([APM 760-27-a](#)).

Fathers and adoptive parents may be eligible for up to 12 workweeks of state or federal family and medical leave to care for their newborn child or child newly placed for adoption or foster care.

Childbearing/child rearing leave may be excluded from time counted towards the eight-year rule. Remember that you can still stop the tenure clock even if you do not take a formal leave or have a modification of duties. All requests to stop the clock must be made in writing to the Department Chair and agreed to by the Chancellor's office *within two years of a birth or adoption*.

Individuals may elect to take leave without pay for up to one year following the birth of a child. If such a leave is taken, 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 extension of time to tenure must be formulated in advance and with the agreement of your Department Chair, School Dean, and the 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 faculty members whose academic responsibilities will be affected by your leave.

### 8.9.3 Family Medical Leave Act (FMLA)

As mentioned above, family and medical leave combined with University-supported leave provides you with leave up to twelve (12) workweeks in a calendar year, continuance of health plan coverage as if on pay status, and reinstatement rights. Leave may be taken to care for your own serious health condition, to care for your child, parent, spouse, or domestic partner (same sex or opposite sex) with a serious health condition, or to care for your newborn child or a newly placed adopted or foster child. No salary accompanies FMLA, and FMLA leave may not run concurrently with disability/sick/childbearing leave awarded by your Department or the institution. In other words, should you utilize six (6) weeks sick leave or child rearing leave with pay, your remaining FMLA benefit without pay would be six weeks.

Under FMLA and CFRA, employees may take leave to care for their children with a serious health condition (up to age 18). Under APM 760-27-a, there is no age limit on parental leave. Faculty are encouraged to make special arrangements with their Department Chair when additional time is needed for the care of an older child or a parent. In the past, temporary reductions in percentage effort as well as extended leaves without pay have been granted. Although faculty do not accrue sick leave, up to six weeks each academic year generally is allowed within departmental guidelines. Up to one-week sick leave each year may be used for the care of a first-degree relative, when the Department Chair agrees.

For more information regarding family and medical leave, refer to [APM 715](#).

### 8.10 Sabbatical

Professors, Associate Professors, and Assistant Professors in the Professorial Series are entitled to sabbatical leave or absence from regular scheduled duties, following a prescribed period of service (seven years) at the rank of Assistant Professor or higher. In other words, the clock ticks towards the seven years of service required prior to one's request for sabbatical leave beginning with the rank of Assistant Professor. Sabbatical leaves are granted to enable you to engage in intensive programs of research and/or study; and thus, to become a more effective teacher and scholar, and to enhance your service to the University. *Sabbatical leaves may be granted every seven years* but must be carefully planned in advance with the concurrence of your 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. Guidelines governing sabbatical leave are covered in [APM 740](#).

### 8.11 Professional Development Leave

Department Chairs may support a request to participate in a development program by flexible or alternate work scheduling, leave without pay, leave at full or part pay, full or part payment of fees and expenses, and temporary or part-time reassignment in another department. Such leaves must be planned well in advance and with the concurrence of your Department Chair. Professional Development leave generally is available and follows the same time schedule as Sabbatical leave. Salary during Professional Development Leave is negotiated with the Chair and is in accordance with the Departmental Compensation Plan policy.

## 9.0 Resources

Promotion at the University 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, the Chief Admissions Officer on each campus and in the Office of the President, Registrars, and the University Librarian on each campus of the University, 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 [Academic Assembly](#), and their Divisional counterparts. Consultation with the senior administration occurs in a parallel structure: at the systemwide level between the Systemwide Senate Chair and the [President](#), and on the campus level between the Divisional Senate Chairs and the Chancellors. With some exceptions, and as defined by the [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 contained 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](http://senate.ucsf.edu)) has 20 committees organized into 13 standing committees, four Faculty Councils representing each School ([Dentistry](#), [Medicine](#), [Nursing](#), and [Pharmacy](#)), an Executive Committee, and the [Committee on Committees](#). The Committee on Committees (COC) is an elected body that appoints the officers of the UCSF Academic Senate; UCSF faculty Delegates to the Assembly of the Senate, UCSF faculty representatives to Systemwide Academic Senate Committees, members of all [standing committees](#) of the Division, and identifies Academic Senate members at the request of the Chancellor to serve on Chancellor committees.

The UCSF Academic Senate is led by the Chair, Vice Chair, Secretary and Parliamentarian, who are the [Officers of the UCSF Division](#). These appointments are for two-year terms; the Vice Chair becomes the Chair at completion of the Chair's term.

The Academic Senate sponsors the three most prestigious lectures at UCSF—the [Faculty Research Lectures in Basic, Clinical, and Translational Science](#)—which are given to UCSF faculty who demonstrate excellence in Research (Clinical and Basic). Additionally, the Academic Senate selects recipients for both the campus Distinction in Teaching Awards and the Distinction in Mentoring Awards, both of which recognize junior and senior faculty for teaching and mentoring efforts.

The Academic Senate is also involved in selecting and awarding grants for Faculty Development Awards (administered by the EVC) and Instructional Improvement Grants (administered by the Library). The work of the UCSF Academic Senate is supported by an office of dedicated Analysts who assist with the work of Academic Senate Committees and its officers, and provide general support for the UCSF faculty role in shared governance. Feel free to contact the Senate office for assistance ([senate.ucsf.edu/academic-senate-staff](mailto:senate.ucsf.edu/academic-senate-staff)).

### 9.1.3 Privilege and Tenure Committee

The [Committee on Privilege and Tenure](#) is a standing committee of the Academic Senate at UCSF. There are three types of matters that Committee on Privilege and Tenure handles:

1. Senate faculty grievances;
2. Senate faculty disciplinary cases; and
3. Early termination cases where a Senate or non-Senate faculty member challenges the cause for his or her early termination.

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

### 9.1.4 Committee on Academic Personnel (CAP)

The Committee on Academic Personnel ([CAP](#)) is the Senate Committee that will review your packet and make recommendations to the Vice Provost, Academic Affairs. CAP generally reviews faculty appraisals, appointments, promotions, merit increases from Step 5 to 6 and to Above Scale, campus and University policies and procedures related to academic personnel, and represents the Division on matters related to appointment 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 Academic Personnel Manual is published online as a series of PDF documents. It is provided by the Office of the President Web site, and listed under the section heading Academic Affairs-Academic Personnel. As of the time of this printing, the URL is [www.ucop.edu/academic-personnel/academic-personnel-policy/](http://www.ucop.edu/academic-personnel/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 service to investigators; fostering new research initiatives; and promoting translational discoveries into public benefit.

The Office of Research provides leadership, direction, and management of campuswide research administration, infrastructure and services and oversees the operations of the following units: Research Services, and the Office of Innovation, Technology and Alliances (ITA).

#### 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 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](http://irb.ucsf.edu))—and the three groups that comprise it ([IRB](#), [QIU](#), and [GESCR](#))—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](http://iacuc.ucsf.edu)) oversees all UCSF research and instruction that involves vertebrate animals, in order to ensure that the highest ethical and animal welfare standards are met.

#### 9.2.1c Office of Environmental Health and Safety (OEHS)

The Office of Environmental Health and Safety ([ehs.ucsf.edu](http://ehs.ucsf.edu)) is designated to assist the University of California, San Francisco in achieving its goal of maintaining a safe and healthy workplace. You may obtain further information on OEHS from Section 550 of the UCSF [Administrative Policy Web site](#).

## 9.2.2 Intellectual Property

### 9.2.2a UCSF Innovation, Technology & Alliances (ITA)

In 1995, UCSF had the largest gross royalty revenues of any single university in the world, over \$42 million. It accounted for 76% of the total combined income of the nine UC campuses. Over 100 new technology disclosures per annum (over two per week) are generated from research and scholarship at UCSF. Established in 1996, the UCSF Office of Innovation, Technology & Alliances ([innovation.ucsf.edu](http://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 towards support of the basic research, clinical research, and education missions of UCSF.

#### 9.2.2b Patent and Copyright Information

Resources related to UC System patent and copyright information are available online. The University patent policy is online at [www.ucop.edu/innovation-alliances-services/innovation/training-and-education/uc-patent-policy.html](http://www.ucop.edu/innovation-alliances-services/innovation/training-and-education/uc-patent-policy.html). General copyright concerns are addressed at [copyright.universityofcalifornia.edu](http://copyright.universityofcalifornia.edu). Note that all UC employees must sign a “Patent Acknowledgement” form prior to commencing work for the University ([policy.ucop.edu/manuals/business-and-finance-bulletins.html](http://policy.ucop.edu/manuals/business-and-finance-bulletins.html)).



To obtain copyright permissions online, visit the Copyright Clearance Center at [www.copyright.com](http://www.copyright.com).

### **9.2.2c UCSF Innovation, Technology & Alliances**

The Mission of the UCSF Innovation, Technology & Alliances ([innovation.ucsf.edu](http://innovation.ucsf.edu)) center is bringing research and industry together to advance health science through innovation and entrepreneurship. Broken down into three components—researchers, entrepreneurship, and industry—the center aims to facilitate translation of UCSF research and innovations for societal benefit.

The center collaborates with all members of the UCSF community and with industry, catalyzing connections, relationships and the transfer of technology.

It also partners with industry on research and clinical programs, supporting and marketing UCSF inventions to the commercial world. The center serves as a knowledgeable network and a bridge to the commercial world. Entrepreneurship Center is at [innovation.ucsf.edu/entrepreneurs](http://innovation.ucsf.edu/entrepreneurs).

### **9.2.2d Collegial Advice to Assistant Professors**

Dr. Evelyn M. Silvia, Professor, Department of Mathematics, UC Davis has written a helpful Web page offering beneficial advice to Assistant Professors. In this paper, Dr. Silvia shares some in-house information, and suggests such things as keeping track of professional endeavors, setting priorities, choosing committees on which to serve, and recognizing warning signs that could influence progress up the academic ladder. Dr. Silvia's Web page can be found at [www.math.ucdavis.edu/~emsilvia/CollegialAdvice/html/CollegialAdvice.html](http://www.math.ucdavis.edu/~emsilvia/CollegialAdvice/html/CollegialAdvice.html).

## 9.3 Family and Parenting Resources: Family Friendly Policies

The University of California and UCSF has established policies and programs to assist faculty and other academic appointees in balancing the needs of work and family. The website at [campuslifeservices.ucsf.edu/familyservices](http://campuslifeservices.ucsf.edu/familyservices) provides descriptions and contact information for various programs and a listing of related links.

### 9.3.1 Elder Care

UCSF offers a benefit at no charge to assist faculty, staff, students, and retirees with the planning and care of elder family members. Elder care specialists will research resources in the community and provide consultation. This benefit is offered in partnership with The Institute on Aging. For consultation and contact information, please call (415) 476-2692 for the Child & Elder Care Referral Service.

### 9.3.2 Infant and Child Care at UCSF

UCSF is committed to quality family life, including providing access to affordable and high quality infant and child care for our faculty. Faculty parents require optimal infant and child care to reach their maximum academic productivity. Optimal infant and child care assumes parental comfort with the child care arrangements, including inclusive hours that do not place undue pressure on parents to rapidly complete their academic workday, as well as geographic access to children during the workday. UCSF Child Care Services ([campuslifeservices.ucsf.edu/familyservices](http://campuslifeservices.ucsf.edu/familyservices)) currently includes two campus child care centers—both of which are accredited by the National Association for the Education of Young Children (NAEYC)—and a resource and referral program.

In addition to the two existing child care centers, two additional facilities are planned to open by 2006. Fifty-five children attend the Lucia Child Care Center on the Parnassus campus and 144 children attend University Child Care (a partnership between UCSF and Marin Day Schools) on the Laurel Heights campus. UCSF's goal is to serve over 270 children by September 2006, a plan that entails opening a child care center at the Mission Bay campus to serve 75 children. The Parnassus Heights Lucia Child Care Center will be relocated in September 2006 and will expand to include approximately 80 infants and children.

Nevertheless, access to UCSF child care is limited and **wait lists often exceed 300 families**. Faculty should visit the UCSF sponsored child care facilities, select the facilities that match their personal needs and place their child's name on the waiting list as soon as possible. UCSF remains committed to the recruitment and retention of faculty. Thus, faculty may request a supporting letter from their Department Chair/Dean asking that their child be accelerated on the wait list in order to better assure successful University recruitment/retention. Approximately seven such child care positions are reserved for this purpose annually.

### 9.3.3 Lactation Services

The UCSF Lactation Services ([whrc.ucsf.edu/whrc/lactservices/index.html](http://whrc.ucsf.edu/whrc/lactservices/index.html)), a function of the UCSF Women's Health Resource Center, provides women and their families with supportive education and advice about breastfeeding. Individual consultations provide direct and practical advice in a safe and friendly environment. The UCSF Lactation Services offers free telephone advice for mothers with concerns about breastfeeding issues such as nipple pain or milk supply. The UCSF Women's Health Resource Center can be reached at (415) 353-2668.

## **9.4 Benefits and Employee Resources**

### **9.4.1 UC Human Resources and Benefits**

*At Your Service* is a comprehensive Web site with information about UC benefits that affect employees including: health and insurance, retirement and savings, personnel policies and programs, as well as any new or forthcoming changes to such programs. You can access this service through the [UCSF My Access single sign-on](#) page or through the UC Office of the President [website](#). Faculty should also review the main [Benefits](#) page on the ucsf.edu website. This page includes detailed information about the full benefits available to faculty.

#### **9.4.1a UCSF Human Resources**

UCSF Human Resources ([hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits](http://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits)) provides services to attract, develop, motivate, and retain a diverse workforce within a supportive work environment. They can provide you with information and training related to hiring and supervising staff employees, managing problem employees, understanding terms of labor union contracts, providing temporary employees and the like. For more information, visit the UCSF Human Resources Web site.

#### **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; the members represent scientists as well as clinician educators from all disciplines. The Council is charged with developing programs in response to the Faculty Climate Survey as well as considering other means of improving 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 of the campus community.

Faculty and Staff Assistance Program  
3333 California St., Suite 293  
San Francisco, CA 94143-0938  
Phone: (415) 476-8279 • Fax: (415) 476-6183  
email: [FSAP@hr.ucsf.edu](mailto:FSAP@hr.ucsf.edu)  
Web site: [hr.ucsf.edu/hr.php?org=c&AT=cm&S=Faculty+and+Staff+Assistance](http://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Faculty+and+Staff+Assistance)

#### **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 how to navigate through your health plan in order to obtain the full benefit of services available from your UC-sponsored health plan. 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 Financial Planning**

UCSF offers faculty and staff free financial planning and counseling services from a Personal Financial Advisor. Appointments are required and can be made by calling the Benefits Hotline at (415) 476-1400.

### 9.4.1f UC Home Loan Program Resources

The [Mortgage Origination Program](#) (MOP) is a recruitment tool to assist qualifying new faculty 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/ Ladder Rank, Professor In Residence, or Professor of Clinical X) and members of the Senior Management Group (SMG) within the first two years of their 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 and Recreation Center and the Mission Bay Fitness and Recreation Center ([campuslifeservices.ucsf.edu/fitnessrecreation/](https://campuslifeservices.ucsf.edu/fitnessrecreation/)) offer programs and services to help you achieve and maintain a healthy quality of life.

### 9.4.4 Housing

[Housing Services](#) provides information on short-term lodging, rental vacancies, and roommate notices.

UCSF Housing Services  
Mission Bay Housing Office (Campus Mail Box 3100)  
1505 4th Street San Francisco, CA 94158  
Ph: 415.514.4550 • Fax: 415.514.4560  
Aldea Center Office (Campus Mail Box 0231)  
155 Johnstone Drive (at the top of Medical Center Way)  
San Francisco, CA 94131  
Phone: 415.476.2231 • Fax: 415.502.0152  
Web site: [campuslifeservices.ucsf.edu/housing/information/contact\\_us](https://campuslifeservices.ucsf.edu/housing/information/contact_us)

Additionally, there are four UC programs ([academicaffairs.ucsf.edu/academic-personnel/recruitment-retention/HomeLoanPrograms.php](https://academicaffairs.ucsf.edu/academic-personnel/recruitment-retention/HomeLoanPrograms.php)) to assist UCSF faculty in the Academic Senate with home ownership: the Mortgage Origination Program, the Graduated Payment Mortgage, the Supplemental Home Loan Program, and the Salary Differential Housing Allowance Program. For more information on these programs, peruse the information on their website and contact the Office of Academic Personnel with any additional questions.

### 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 sit in densely populated areas, which means 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, ridesharing, or bike/walk to the campus.

The UCSF Parking and Transportation Services staff can assist you in finding alternative transportation. The Parking and Transportation Services Web site 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  
(415) 476-2568  
Monday-Friday 7:45 A.M.-4:45 P.M.

Transportation Office:  
MCB 500 - Mission Center Building  
1855 Folsom Street  
(415) 476-1514  
Monday-Friday 8 A.M.-4:30 P.M.  
Web site: [campuslifeservices.ucsf.edu/transportation/](https://campuslifeservices.ucsf.edu/transportation/)

## **9.5 Affirmative Action, Equal Opportunity, and Diversity Resources (AA/EO/D)**

UCSF views affirmative action as an important part of managing its human resources and enriching the diversity of the campus community. The Office of Affirmative Action/Equal Opportunity/Diversity (AA/EO) within 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 to promote diversity at all levels of the campus community ([diversity.ucsf.edu/aaeo](https://diversity.ucsf.edu/aaeo)).

### **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 minorities 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 availability figures derived for women and minorities, as appropriate for each job group. More information about the academic placement goals is available on the UCSF Diversity website ([diversity.ucsf.edu/AAplan](https://diversity.ucsf.edu/AAplan)).

### **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 minorities 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 minorities, as appropriate for each job group. More information about staff placement goals is available on the UCSF Diversity website ([diversity.ucsf.edu/node/69](https://diversity.ucsf.edu/node/69)).

### **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 law and University policy, which may be undertaken to promote equal employment opportunity in the context of faculty employment practices. These guidelines may be requested from the Office of Diversity **and Outreach** or downloaded from their website ([diversity.ucsf.edu/AAplan](http://diversity.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 our campus community. They work toward creating and maintaining a safe, inclusive, and equitable environment for LGBTQQI students, staff, faculty, post-docs, 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 our patients.

#### **9.5.4a 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/intimate partner violence, sexual harassment or stalking. Services are available to people of all genders and the incident need not be recent nor does it have to have occurred on campus. The CARE Advocate can explain options for filing a report as well as 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 in the area of interpersonal violence.

### **9.5.5 Office of Sexual Harassment Prevention & Response**

The mission of the Office of Sexual Harassment Prevention & Response ([shpr.ucsf.edu](http://shpr.ucsf.edu)) is to educate the campus community on prevention and resolution of sexual 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 Harassment 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 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 [academicaffairs.ucsf.edu/advance/media/CV\\_guidelines.pdf](http://academicaffairs.ucsf.edu/advance/media/CV_guidelines.pdf).

**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.

## Checklist for New Faculty Appointments

Important points for discussion between department chairs and new faculty appointees:		
<input type="checkbox"/>	Series of proposed appointment and information on how it differs in expectations and commitments from other series:	
<input type="checkbox"/>	Rank:	Step:                      Percent time of Appointment:
<input type="checkbox"/>	Total Salary:	Base Salary:
<input type="checkbox"/>	Compensation Type and how determined:	
<input type="checkbox"/>	Responsibilities of the faculty member related to the compensation plan (if applicable). A copy of the plan should be provided to the candidate.	
<input type="checkbox"/>	Provision of the “Advancement and Promotion at UCSF: A Faculty Handbook for Success” and the opportunity to have questions answered about its content.	
Proposed Distribution of Time:		
<input type="checkbox"/>	Confirmation of approximately _____ % protected time to conduct research/creative activities during candidate’s first year and discussion of expected % protected time if appointment renewed in second and third years.	
<input type="checkbox"/>	Clarification of specific responsibilities for participation in departmental teaching and/or clinical programs.	
<input type="checkbox"/>	Expectation of approximate _____ % time devoted to teaching (if applicable) and approximate _____ % time to clinical practice (if applicable).	
<input type="checkbox"/>	Expectations for University and public service (as compared to professional commitments).	
Administrative Support Issues		
<input type="checkbox"/>	Identification and confirmation of office space.	
<input type="checkbox"/>	Identification and confirmation of research space (if applicable).	
<input type="checkbox"/>	Specific computer and other technology equipment that will be available (if applicable).	
<input type="checkbox"/>	The nature of administrative support and other resources that will be available (if applicable).	
Campus and Department Orientation:		
<input type="checkbox"/>	Discussion of benefits.	
<input type="checkbox"/>	Discussion of mentoring.	
<input type="checkbox"/>	Discussion of parking and commuter options.	
<input type="checkbox"/>	Discussion of library resources.	
<input type="checkbox"/>	Discussion of information technology resources both within and outside department.	

## Appendix II

### 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 (I) 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/academic-personnel/academic-personnel-policy/](http://www.ucop.edu/academic-personnel/academic-personnel-policy/).

## 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**

SF-AP-24

Rev 7/00 (revisions italicized)

## Appendix III

### 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.

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**University of California, San Francisco**

**Prepared: 01/01/00**

**CURRICULUM VITAE** (online version: [academicaffairs.ucsf.edu/advance/media/CV\\_guidelines.pdf](http://academicaffairs.ucsf.edu/advance/media/CV_guidelines.pdf))

**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 (Advisor Name)	Ph.D.	Molecular Biology
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

Service to Professional Organizations [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.]

INTERNATIONAL

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)

NATIONAL

American Society of Medical Testing; 19XX (session chair)  
American Academy of Your Specialty, 19XX (plenary session)

**REGIONAL AND OTHER INVITED PRESENTATIONS** [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
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**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.]

SYSTEMWIDE:

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

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.]

Academic Qtr	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 Carpentry 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; oldest first.]*

**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.*

## Appendix IV

### **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 <https://coi.ucsf.edu>.

## Appendix V

### Index of Web Addresses, Alphabetical

Academic Council: [senate.universityofcalifornia.edu/committees/council/](https://senate.universityofcalifornia.edu/committees/council/)

Academic Personnel Manual (APM): [www.ucop.edu/acadadv/acadpers/apm](http://www.ucop.edu/acadadv/acadpers/apm)

Academic Personnel, Committee on (CAP): [senate.ucsf.edu/committee/2](https://senate.ucsf.edu/committee/2)

Academic Senate, UCSF: [senate.ucsf.edu/](https://senate.ucsf.edu/)

Academic Senate—Divisional Senates: [senate.universityofcalifornia.edu/links.html](https://senate.universityofcalifornia.edu/links.html)

Academic Senate—Faculty Council, Dentistry: [senate.ucsf.edu/committee/18](https://senate.ucsf.edu/committee/18)

Academic Senate—Faculty Council, Medicine: [senate.ucsf.edu/committee/19](https://senate.ucsf.edu/committee/19)

Academic Senate—Faculty Council, Nursing: [senate.ucsf.edu/committee/20](https://senate.ucsf.edu/committee/20)

Academic Senate—Faculty Council, Pharmacy: [senate.ucsf.edu/committee/21](https://senate.ucsf.edu/committee/21)

Academic Senate—Manual (Bylaws and Regulations):  
[senate.universityofcalifornia.edu/manual/](https://senate.universityofcalifornia.edu/manual/)

Academic Senate—Officers: [senate.ucsf.edu/academic-senate-officers](https://senate.ucsf.edu/academic-senate-officers)

Academic Senate—Shared Equipment Grants: [rap.ucsf.edu/](http://rap.ucsf.edu/)

Administration Organizational Chart:  
[chancellor.ucsf.edu/sites/chancellor.ucsf.edu/files/AdminCampus.pdf](https://chancellor.ucsf.edu/sites/chancellor.ucsf.edu/files/AdminCampus.pdf)

Administrative Calendar: [registrar.ucsf.edu/academic-calendar](https://registrar.ucsf.edu/academic-calendar)

Affirmative Action Guidelines: [diversity.ucsf.edu/AAplan](https://diversity.ucsf.edu/AAplan)

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

At Your Service: [atyourserviceonline.ucop.edu/ayso/](https://atyourserviceonline.ucop.edu/ayso/)

Banking—ATM locations: [campuslifeservices.ucsf.edu/retail/services/bank](https://campuslifeservices.ucsf.edu/retail/services/bank)

Banking—Golden 1 Credit Union: [www.golden1.com](http://www.golden1.com)

Benefits administered by UC:  
[ucnet.universityofcalifornia.edu/compensation-and-benefits/index.html](https://ucnet.universityofcalifornia.edu/compensation-and-benefits/index.html)

Benefits administered by UCSF Human Resources: [hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits](https://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits)

Campus Council on Faculty Life: [academicaffairs.ucsf.edu/ccfl/](https://academicaffairs.ucsf.edu/ccfl/)

Campus Maps: [www.ucsf.edu/about/locations/campus-maps](http://www.ucsf.edu/about/locations/campus-maps)

Office of the CARE Advocate: <https://shpr.ucsf.edu/confidential-care-advocate>

Career Review Request launch page: [academicaffairs.ucsf.edu](https://academicaffairs.ucsf.edu)

Chancellor's Office: [chancellor.ucsf.edu](https://chancellor.ucsf.edu)

Child Care Services: [campuslifeservices.ucsf.edu/familyservices](https://campuslifeservices.ucsf.edu/familyservices)

Clinical Research Center—General: [accelerate.ucsf.edu/research/crs](https://accelerate.ucsf.edu/research/crs)

Clinical Research Center—Pediatric: [pediatrics.ucsf.edu/pediatrics/research](https://pediatrics.ucsf.edu/pediatrics/research)

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

Committee on Academic Personnel (CAP): [senate.ucsf.edu/committee/2](https://senate.ucsf.edu/committee/2)

Committee on Privilege and Tenure: [senate.ucsf.edu/committee/11](https://senate.ucsf.edu/committee/11)



Confidential Consultation/Mediation: [ombuds.ucsf.edu](http://ombuds.ucsf.edu)  
Conflict of Interest Advisory Committee: [coi.ucsf.edu/coiac](http://coi.ucsf.edu/coiac)  
Copyright Clearance Center: [www.copyright.com](http://www.copyright.com)  
Copyright Information (UC System): [copyright.universityofcalifornia.edu](http://copyright.universityofcalifornia.edu)  
CoursEval system for student review—School of Pharmacy: [www.e-value.net](http://www.e-value.net)  
CTSI-Accelerate: [accelerate.ucsf.edu/funding/grant-writing-guidance#resources](http://accelerate.ucsf.edu/funding/grant-writing-guidance#resources)  
CTSI Mentor Training Program ([accelerate.ucsf.edu/training/mtp](http://accelerate.ucsf.edu/training/mtp))  
Declaration of Domestic Partnership (UBEN 250): [ucnet.universityofcalifornia.edu/forms/pdf/ubem-250.pdf](http://ucnet.universityofcalifornia.edu/forms/pdf/ubem-250.pdf)  
Department of Epidemiology and Biostatistics: [epibiostat.ucsf.edu/](http://epibiostat.ucsf.edu/)  
Descriptions of Academic Series: [academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf](http://academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf)  
Disability Management Services (DMS): [srs.ucsf.edu/hr.php?org=c&AT=cm&S=Disability+Management](http://srs.ucsf.edu/hr.php?org=c&AT=cm&S=Disability+Management)  
Distinction in Teaching and Mentoring Awards: [senate.ucsf.edu/all-awards](http://senate.ucsf.edu/all-awards)  
Divisional Senates: [senate.universityofcalifornia.edu/resources/divisional-sites.html](http://senate.universityofcalifornia.edu/resources/divisional-sites.html)  
Domestic Partnership, Declaration of (UBEN 250): [ucnet.universityofcalifornia.edu/forms/pdf/ubem-250.pdf](http://ucnet.universityofcalifornia.edu/forms/pdf/ubem-250.pdf)  
E\*Value system for student review—School of Medicine: [meded.ucsf.edu/tee/evaluate-medhub](http://meded.ucsf.edu/tee/evaluate-medhub)  
Employee Incident Protocol: [hr.ucsf.edu/hr.php?A=1268&AT=cm&org=c&sref=25](http://hr.ucsf.edu/hr.php?A=1268&AT=cm&org=c&sref=25)  
Environmental Health and Safety, Office of (OEHS): [ehs.ucsf.edu](http://ehs.ucsf.edu)  
Epidemiology and Biostatistics, Department of: [epibiostat.ucsf.edu/](http://epibiostat.ucsf.edu/)  
Faculty and Staff Assistance Program (FSAP):  
[hr.ucsf.edu/hr.php?org=c&AT=cm&S=Faculty+and+Staff+Assistance](http://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Faculty+and+Staff+Assistance)  
Faculty Mentoring Program ([academicaffairs.ucsf.edu/ccfl/faculty\\_mentoring\\_program.php](http://academicaffairs.ucsf.edu/ccfl/faculty_mentoring_program.php))  
Faculty Disability Benefits:  
[ucnet.universityofcalifornia.edu/forms/pdf/disability-benefits-information-for-faculty.pdf](http://ucnet.universityofcalifornia.edu/forms/pdf/disability-benefits-information-for-faculty.pdf)  
[Faculty misconduct investigations and disciplinary proceedings.](#)  
Faculty Research Lecture Award: [senate.ucsf.edu/all-awards](http://senate.ucsf.edu/all-awards)  
Family and Parenting Resources: Family Friendly Policies: [campuslifeservices.ucsf.edu/familyservices/](http://campuslifeservices.ucsf.edu/familyservices/)  
General Clinical Research Center: [accelerate.ucsf.edu/research/crs](http://accelerate.ucsf.edu/research/crs)  
Golden 1 Credit Union: [www.golden1.com](http://www.golden1.com)  
Guidelines for Accelerated Action: [academicaffairs.ucsf.edu/academic-personnel/appointment-advancement-reviews/media/UCSF%20Criteria%20for%20Advancement.pdf](http://academicaffairs.ucsf.edu/academic-personnel/appointment-advancement-reviews/media/UCSF%20Criteria%20for%20Advancement.pdf)  
Health Care Facilitator: [hr.ucsf.edu/hr.php?org=c&AT=cm&S=Health+Care+Facilitator+Program](http://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Health+Care+Facilitator+Program)  
Health Insurance Portability and Accountability Act (HIPAA): [hipaa.ucsf.edu](http://hipaa.ucsf.edu)  
Health Sciences Compensation Plan Salary Scales:  
[academicaffairs.ucsf.edu/academic-personnel/compensation-benefits/salaryinformation.php](http://academicaffairs.ucsf.edu/academic-personnel/compensation-benefits/salaryinformation.php)  
Home Loan Programs: [www.ucop.edu/loan-programs/](http://www.ucop.edu/loan-programs/)  
Home Ownership Programs:  
[academicaffairs.ucsf.edu/academic-personnel/recruitment-retention/HomeLoanPrograms.php](http://academicaffairs.ucsf.edu/academic-personnel/recruitment-retention/HomeLoanPrograms.php)  
Housing Services: [campuslifeservices.ucsf.edu/housing/](http://campuslifeservices.ucsf.edu/housing/)  
Human Gamete, Embryo and Stem Cell Research (GESCR): [irb.ucsf.edu/stem-cell](http://irb.ucsf.edu/stem-cell)  
Human Resources Department: [hr.ucsf.edu/hr.php](http://hr.ucsf.edu/hr.php)

Human Research Protection Program (HRPP): [irb.ucsf.edu](http://irb.ucsf.edu)  
Human Resources, UCSF Benefits: [hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits](http://hr.ucsf.edu/hr.php?org=c&AT=cm&S=Benefits)  
Institutional Animal Care and Use Committee (IACUC) Guide for New Users of Animals at UCSF:  
[iacuc.ucsf.edu](http://iacuc.ucsf.edu)  
Institutional Animal Care and Use Committee (IACUC): [iacuc.ucsf.edu](http://iacuc.ucsf.edu)  
Institutional Review Board (IRB): [irb.ucsf.edu/irb-review](http://irb.ucsf.edu/irb-review)  
International Committee of Medical Journal Editors (ICMJE): [www.icmje.org](http://www.icmje.org)  
International Students & Scholars Office (ISSO): [isso.ucsf.edu](http://isso.ucsf.edu)  
Lactation Services: [whrc.ucsf.edu/whrc/lactservices/index.html](http://whrc.ucsf.edu/whrc/lactservices/index.html)  
LGBT Resource Center at UCSF: [lgbt.ucsf.edu](http://lgbt.ucsf.edu)  
Maps of Campus: [www.ucsf.edu/about/locations/campus-maps](http://www.ucsf.edu/about/locations/campus-maps)  
Milberry Recreation and Fitness Center: [campuslifeservices.ucsf.edu/fitnessrecreation/](http://campuslifeservices.ucsf.edu/fitnessrecreation/)  
Mortgage Origination Program:  
[academicaffairs.ucsf.edu/academic-personnel/recruitment-retention/HomeLoanPrograms.php](http://academicaffairs.ucsf.edu/academic-personnel/recruitment-retention/HomeLoanPrograms.php)  
Office of Diversity & Outreach: [diversity.ucsf.edu](http://diversity.ucsf.edu)  
Office of the Ombuds: [ombuds.ucsf.edu](http://ombuds.ucsf.edu)  
Office of the President: [www.ucop.edu](http://www.ucop.edu)  
Office of Research: [research.ucsf.edu](http://research.ucsf.edu)  
Office of Sexual Harassment Prevention & Response: [shpr.ucsf.edu](http://shpr.ucsf.edu)  
Office of Innovation, Technology & Alliances. (ITA): [innovation.ucsf.edu](http://innovation.ucsf.edu)  
Office of the CARE Advocate: [shpr.ucsf.edu/confidential-care-advocate](http://shpr.ucsf.edu/confidential-care-advocate)  
Parking and Transportation: [campuslifeservices.ucsf.edu/transportation/](http://campuslifeservices.ucsf.edu/transportation/)  
Pediatric Clinical Research Center: [pediatrics.ucsf.edu/pediatrics/research](http://pediatrics.ucsf.edu/pediatrics/research)  
President, Office of: [www.ucop.edu](http://www.ucop.edu)  
Privilege and Tenure, Committee on: [senate.ucsf.edu/committee/11](http://senate.ucsf.edu/committee/11)  
Quality Improvement Unit (QIU): [irb.ucsf.edu/monitoring](http://irb.ucsf.edu/monitoring)  
Research, Office of: [officeofresearch.ucsf.edu](http://officeofresearch.ucsf.edu)  
Resource Allocation Program (RAP): [rap.ucsf.edu](http://rap.ucsf.edu)  
Salary Scales: [academicaffairs.ucsf.edu/academic-personnel/compensation-benefits/salaryinformation.php](http://academicaffairs.ucsf.edu/academic-personnel/compensation-benefits/salaryinformation.php)  
Senate—See Academic Senate  
Sexual Harassment Prevention & Response, Office of: [shpr.ucsf.edu](http://shpr.ucsf.edu)  
Shared Equipment Grants: [rap.ucsf.edu/](http://rap.ucsf.edu/)  
Shuttle Schedules: [campuslifeservices.ucsf.edu/transportation/services/shuttles](http://campuslifeservices.ucsf.edu/transportation/services/shuttles)  
Standing Committees of the Senate: [senate.universityofcalifornia.edu/committees/index.html](http://senate.universityofcalifornia.edu/committees/index.html)  
Standing Orders of the Regents, 103.9:  
[regents.universityofcalifornia.edu/governance/standing-orders/so1039.html](http://regents.universityofcalifornia.edu/governance/standing-orders/so1039.html)  
State Disability: [www.edd.ca.gov/disability/SDI\\_Online.htm](http://www.edd.ca.gov/disability/SDI_Online.htm)  
UCSF Innovation, Technology & Alliances: [innovation.ucsf.edu](http://innovation.ucsf.edu)  
Woman's Research Center: [whcrc.ucsf.edu/](http://whcrc.ucsf.edu/)  
Work Life Resource Center: [ombuds.ucsf.edu](http://ombuds.ucsf.edu)