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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 or Clinical X 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 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:

- o Series of proposed appointment and information on how it differs in expectations and commitments from other series
- o Rank
- o Step
- o Percent time of Appointment
- o Total Salary
- o Base Salary
- o Compensation Type and how it is determined
- o 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:

- o 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
- o Clarification of specific responsibilities for participation in departmental teaching and/or clinical programs
- o Expectation of approximate percentage of time devoted to teaching and approximate percentage of time to clinical practice (as applicable)

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

Administrative support issues:

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

Campus and Department Orientation:

- o Discussion of benefits
- o Discussion of mentoring
- o Discussion of parking and commuter options
- o Discussion of library resources
- o 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) 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 ([UCRP](#)) 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 one-page summary of your teaching and/or research contributions, and by having copies of all publications that have occurred since your last promotion readily available. 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 of innovative programs, innovative teaching materials, or enhancement of a service.

Scholarly Activity

Includes contributions to the literature in the form of manuscripts, chapters, books, participation in invited lectureships, and development of new methods and tools.

Research Productivity

Includes publication of original articles, independent extramural research funding, principal investigator status, and long-term-extramural support.

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.

Public Service

Includes departmental, school, and University committee service as well as service to national academic societies and to the community.

2.5 Preparing Your File

2.5.1 Internal and External Evaluators

When preparing your dossier, 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 to five letters from UCSF faculty are required for promotion, often including assessment by faculty in other departments.

Five to seven external letters will be requested by your Department Chair. You should submit to your Department Chair a list of individuals who are leaders in your field and who are knowledgeable about your work. Most of your evaluators should be full professors 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.

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 dossier, 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 Department Chair are summarized in the chair's letter. To complete the review of your teaching excellence,

you should solicit individual letters from selected students with whom you have had a recurrent teaching relationship. We recommend that you obtain letters at the end of such a relationship, deposit these with your department, and retain a copy for your own records.

For information about the online [E*Value system for student review](#) used in the School of Medicine, refer to the School of Medicine's Web site at medschool.ucsf.edu.

For information about the online [CoursEval system for student review](#) used in the School of Pharmacy, refer to the School of Pharmacy Web site at pharmacy.ucsf.edu/irc/.

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. These sorts of syllabi 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 syllabi, 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 should 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 should limit your University service in order to assure that you have adequate time available for your research activities. As you advance through the Associate and Professor years, your University service should increase.

2.6 Recognizing Diversity Activities in the Advancement Process

The Academic Personnel Manual (APM) has been updated to recognize the valuable contribution of faculty to issues of diversity and the education and service to underserved communities or populations. APM Section 210-1.d (page 4) reads as follows:

“The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate’s qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California’s diverse population, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.”

The document “Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers” produced by the Academic Senate Committee on Academic Personnel (CAP) and the Office of Academic Personnel (OAP) 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.

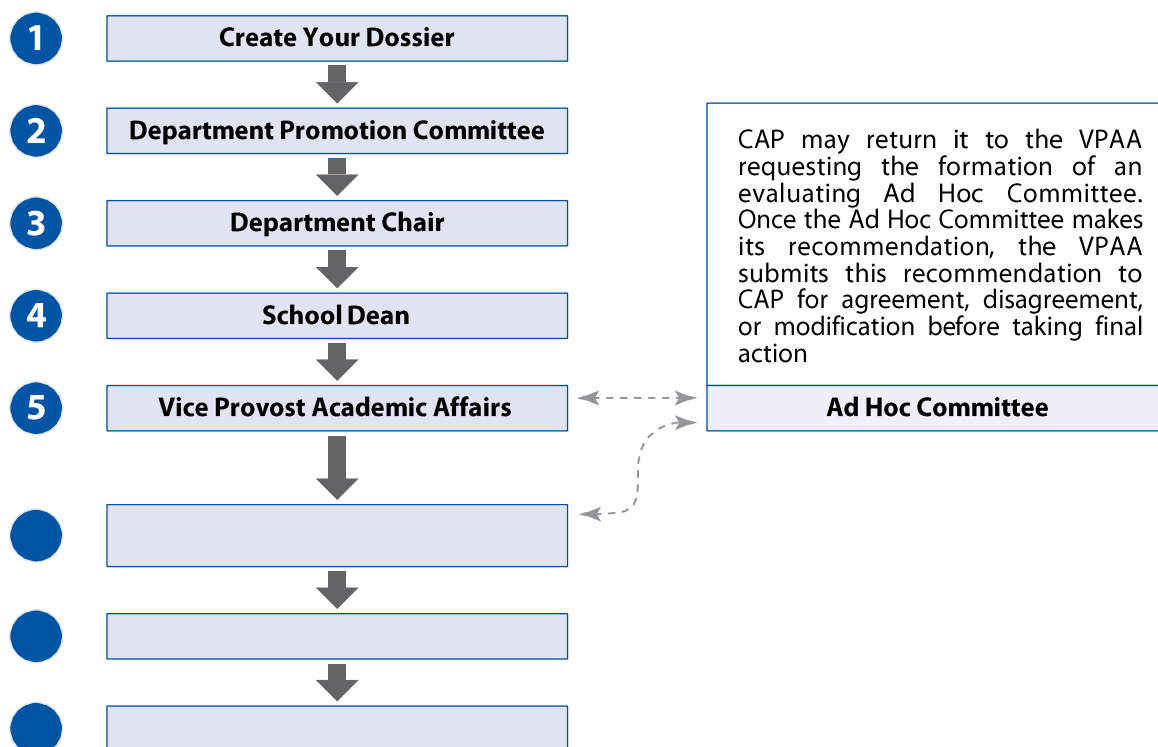
The “Descriptions of Academic Series and Instructions for Use in Correspondence With Internal and External Reviewers” is online at academicaffairs.ucsf.edu/academic-personnel/media/seriesdescription.pdf.

2.7 The Appointment and Promotion Process

Initially, the faculty member prepares a **dossier** (also known as a “packet” or a “file”) which includes current CV, recent publications, internal and external Letters of Review, Student Evaluations, and a Summary Statement of research and/or teaching. This packet is submitted through the Chair’s office to the Department 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 transmits the dossier to the Dean. The Dean or Dean for Academic Personnel reviews and makes a recommendation and passes the dossier on to the Office of Academic Affairs (OAP) and the Vice Provost Academic Affairs (VPAA).

The Executive Vice Provost Academic Affairs transmits the dossier to Academic Senate Office for review and recommendation by the Academic Senate Committee on Academic Personnel (CAP), who will determine if an Ad Hoc Committee is required. If so, CAP makes a recommendation to the VPAA for the composition of Ad Hoc, which is typically composed of three UCSF faculty as follows: one faculty member at or above proposed Rank/Step; one faculty member from the Department of the person under review, and one faculty member who typically has expertise in the same or similar field as faculty under review.

FIGURE 4: STEPS In THE REVIEW PROCESS



**Academic Senate
Committee on Academic Personnel**

Vice Provost Academic Affairs

Response to You

If an Ad Hoc Committee is recommended by CAP, the dossier is returned to the VPAA who will appoint the Ad Hoc Committee. After they perform their review, the Ad Hoc Committee will return the dossier to the VPAA, who will send it back to CAP for their own review and recommendation (agree with, disagree with, or agree with modification of the Ad Hoc Committee recommendation).

The Committee on Academic Personnel transmits a letter of recommendation and returns the file to the VPAA for final disposition (action).

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, including teaching hours; 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:

1. Your Department Chair's letter
2. 3-5 formal course evaluations of teaching from students and/or peers (or letters attesting to teaching if formal evaluations are available)
3. At least 5 representative reprints reflecting your creative activity
4. At least 3 intramural letters of evaluation
5. At least 5 extramural letters of evaluation
6. A CV that includes a one-page description of your current research program as well as one page documenting your current teaching responsibilities

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.**

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 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 Academic Personnel (OAP) 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 OAP and the VPAA with its recommendations regarding the proposed action.

2.8.6 CAP Ad Hoc Review Committees

For some reviews, the Committee on Academic Personnel may request additional review by an ad hoc review committee consisting of faculty in fields pertinent to your own and at least one member of your department. The Ad Hoc Review Committee writes its own assessment of your academic progress and makes an independent recommendation to the Committee on Academic Personnel. The membership, deliberations, and recommendation of the Ad Hoc Review Committee are confidential, however you do have some influence as to who may serve on such a committee. Faculty may include with their submission packet a list of any individuals who you feel may be biased or unable to objectively evaluate your qualifications and/or performance. Your written statement must include your reasons for such concern and be included in the packet in its initial submission to for department review (see [APM 220-80-c](#)).

2.8.7 Vice Provost Academic Affairs

The Vice Provost Academic Affairs reviews the dossier 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.

2.8.8 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.

2.8.9 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.

2.8.10 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 salaried 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 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.

2.8.11 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.

2.8.12 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 dossier will address your overall record.

2.8.13 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](#))