

JUNIOR FACULTY GUIDE TO A SUCCESSFUL CAREER
Keys to Advancement and Promotion at UCLA

ABRIDGED for Faculty in the Health Sciences
(Clinician-Educator) Series

To see the full version, which includes information on all series, go to:

<http://medschool.ucla.edu/workfiles/Site-AcademicAffairs/Review/JuniorFacGuide.pdf>

OFFICE OF ACADEMIC AFFAIRS
DAVID GEFFEN SCHOOL OF MEDICINE AT UCLA

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INTRODUCTION

Welcome to the David Geffen School of Medicine at UCLA. You are now a part of the UCLA Health System, a twenty-first century model of excellence in patient care and educational and scientific programs. **The key academic unit in the School of Medicine is the Department**, led by the **Department Chair**, often assisted by one or more **vice chairs** and **division chiefs** appointed by the Chair.

This guide has been prepared to assist you in your quest for success at UCLA, and is based on **The UCLA CALL**, a user-friendly summary of the policies and procedures in the **University of California Academic Personnel Manual (APM)**. The inspiration for this work has been the outstanding handbook of our sister campus, UCSF, “A Faculty Handbook for Success: Advancement and Promotion at UCSF,” to the creators of which we owe our gratitude for the format and for much of the text in our own guide. You will find additional and more comprehensive information about the academic process, including replication of THE CALL, at the website of the UCLA Academic Personnel Office (<https://www.apo.ucla.edu>). The Office of Academic Affairs of the David Geffen School of Medicine is always ready to assist you ([DGSOM Academic Affairs](#)). The APM is available online at: [UCOP Academic Personnel Manual](#)

Quick Links to the School of Medicine Office of Academic Affairs

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FACULTY APPOINTMENTS

Your appointment to the UCLA faculty should be in a series consistent with your background and career goals, and is confirmed only after peer and administrative review. Since you will have clinical responsibilities, you must have received appropriate licensure by the State of California and approval of your applications to the Medical Staff Executive Committees of the hospitals where you will provide clinical care.

ELEMENTS OF ACADEMIC TITLES AND SERIES

- **Series**, e.g., Health Sciences Clinical Professor
- **Rank**, e.g., Assistant Professor, Associate Professor, Professor
- **Step**, e.g., Step I, Step II, Step III, etc. The step indicates the stage of advancement in each rank.

Faculty in the **Health Sciences Clinical Professor series** are supported by clinical income, may be employed full- or part-time, participate primarily in patient care and clinical teaching, and are expected to engage in creative and scholarly activity and service.

Performance Expectations for an Assistant Professor

In order to be promoted to the Associate Professor rank, you must fulfill the performance criteria applicable to your series, including development into an excellent teacher and clinician, and documented evidence of creative and scholarly activity.

CRITERIA FOR ADVANCEMENT

- **Scholarly and research productivity:** original articles in peer-reviewed journals, principal investigator status on extramural research grants, editorials, review articles, invited lectures, and books and chapters (some reviewers consider books and chapters as teaching rather than scholarly activities).

NOTE:

Although they will add luster to any creative performance, peer-reviewed research publications do not necessarily have to be included among the **creative activities pursued by faculty in the Health Sciences Clinical Series**. Non-peer-reviewed publications, however, and such activities as listed in Appendix 8 of THE CALL, are essential.

- **Other creative activity:** development of innovative new methods, tools, or programs to improve the care or safety of patients, or new programs or curricula to improve the

education of trainees. **Examples of creative activity listed in Appendix 8 of THE CALL are as follows:**

- Development of or contributions to educational curricula
 - Development of or contributions to administration of a teaching program
 - Participation in the advancement of professional education
 - Development of or contributions to original material in handouts for lectures
 - Development of or contributions to informational brochures with regard to the individual's specialty or area of interest targeted to physicians, allied health professionals and/or patients
 - Lectures, original educational materials, or teaching files placed on resident website
 - Participation in platform or poster presentations at local, regional, or national meetings
 - Participation in research, not necessarily as primary or independent investigator (in some cases, the individual's participation in research may be sufficiently substantial to warrant a reduced breadth of clinical responsibilities)
 - First, senior, or collaborative authorship of peer-reviewed research papers
 - Publication of case reports or clinical reviews
 - Development of or contributions to administration (supervision) of a clinical service or health care facility
 - Development of or contributions to clinical guidelines or pathways
 - Development of or contributions to quality improvement programs
 - Development of or contributions to medical informational systems
 - Participation in the advancement of University professional practice programs
 - Development of or contributions to community-oriented programs
 - Development of or contributions to community outreach or informational programs]
- **Teaching activity:** formal teaching in the classroom (chairing a course deserves special mention), teaching in a clinical setting or in a laboratory, and mentoring.
 - **Service activity:** service to your department or hospital, the School of Medicine, the UCLA Healthcare System or other University entity; service to regional or national professional, charitable or federal organizations, and service to the community.

Recognition of Activities That Promote Diversity

The University encourages and recognizes the contributions of its faculty to diversity and equal opportunity, including efforts to provide more equitable access to education, innovative initiatives or research that seeks to assess and improve access to quality healthcare in underserved populations, and public service that addresses the needs of California's diverse population.

ADVANCEMENT: TYPES AND TIMETABLES

Merit Increase

An on-time merit increase reflects advancement through the steps, and requires review and approval by your department and the Dean. **At the Assistant Professor and Associate Professor ranks merit increases normally occur every two years. At the Professor rank they normally occur every three years except from Step IX to Above Scale, which normally occurs after four years at Step IX. A merit increase to Professor, Step VI, or to Professor, Above Scale (the so-called barrier steps) in any series is a special advancement, rewarding a distinguished career and sustained accomplishment, and subject to review by the ClinCAP (Council on Academic Personnel).**

Promotion

Your promotion to the Associate Professor rank will require review and recommendation by your department, the Dean, and ClinCAP, with the final approval decision resting with the Vice Chancellor for Academic Personnel. To ease the process, **(1) maintain and revise your CV in a timely fashion, (2) provide in your dossier a personal statement that clearly and as simply as possible describes your research and other creative accomplishments, your teaching and service contributions and the significance of any honors or awards you may have received, and (3) have copies of all of your publications since your appointment readily available.**

Accelerated Advancement

As an Assistant Professor you normally spend two years at each step before advancing to the next step. Accelerated advancement refers to a merit increase to a higher step or a promotion awarded one or more years earlier than the normal on-time schedule for advancement. If because of exceptional productivity or an exceptional award you have applied for an accelerated advancement, **the reason should be clearly stated in the department's letter and in the personal statement in your dossier.** Accelerated merit increases at the Assistant Professor rank are approved by Dean. As with all promotions, accelerated promotions must be reviewed by ClinCAP and approved by the Vice Chancellor.

Change in Series

A change in your goals may lead you and your department to consider a change in series to one more in tune with your skills and talents. As an example, you may have been appointed in the Health Sciences Clinical Professor series and find that your outstanding research skills and accomplishments merit a change to the In-Residence series, which may be processed at any time.

Fourth-Year Appraisal

Regardless of your series, an appraisal of your achievement and promise is conducted during the fourth year of your eight-year service as an Assistant Professor. The purpose of the fourth-year appraisal is to assess your progress and, if there are weaknesses in your performance, to provide constructive advice as to how to improve it so as to enhance your prospects for promotion to the Associate Professor rank. The final appraisal, by the Vice Chancellor for Academic Personnel, will be sent to your Department Chair, to be shared with you and your mentor.

Eight-Year Limit Rule

An Assistant Professor in any series shall not be continued beyond eight years in that title unless promoted to the Associate Professor rank. The eight-year limit review for promotion must be completed no later than the seventh year. The eight years includes service as a Visiting Professor (usually an interim appointment while your standard appointment is being considered), but not prior service as a Clinical Instructor. Within certain limitations you may obtain **time off the eight-year clock** for childbearing, for medical disability related to pregnancy, and, applying both to male and female faculty, for childcare. **(APM 133-0; APM 760)**

Four- and Five-Year Reviews

Normal reviews for merit increases at the Assistant and Associate Professor ranks occur every two years and at the Professor rank every three years. If your appointment is “Without Step,” you will be reviewed every four years. A faculty member that has not been reviewed in the previous five years, most likely a member of the senior faculty, must receive a Five-Year Review, to be initiated by the Department Chair.

Reviews by ClinCAP (Council on Academic Personnel)

ClinCAP, a subcommittee of CAP, reviews all faculty appointments at the Associate and full Professor rank, changes in series, fourth-year appraisals, promotions, merit increases accelerated by a full-step or greater, and merit increases to Step VI or to Above Scale.

YOUR DOSSIER: ELEMENTS AND PREPARATION

The Dossier and Its Importance in the Promotion Process

The dossier of information for your promotion to the Associate Professor rank includes: (1) the faculty vote; (2) a letter from the Department Chair that reports the department's review, that summarizes your teaching responsibilities and expertise, research and creative accomplishments, professional competence and service activities, and that contains your department's recommendation; (3) the report of a departmental elected review committee or an *ad hoc* review committee; (4) your CV; (5) a separate bibliography; (6) separate lists of lectures, teaching and service contributions, grants, and honors; (7) copies of your publications; (8) teaching evaluations; (9) letters of evaluation from intramural and, if appropriate, extramural authorities; (10) documentation of your having been periodically mentored; and (11) a personal statement that highlights your accomplishments and goals and that describes your creative activities is encouraged but not mandatory. **You may also include in your dossier a supplement that documents creative activities other than publications.** While the dossier is in your department, you have the right to inspect all non-confidential documents and to receive copies of redacted confidential documents.

Your dossier is sent to the Dean, who writes a letter of evaluation and recommendation, then to the UCLA Academic Personnel Office, then to ClinCAP for its vote and recommendation, and finally to the Vice Chancellor for Academic Personnel, who makes the ultimate determination.

In the event that the Vice Chancellor's preliminary assessment of your eight-year limit review and proposal for promotion leads to the decision not to renew your appointment, you will be provided an opportunity to respond in writing and provide new information, including awards, publications, or grants not previously considered. If you believe that you have been unfairly evaluated for promotion, you may seek an informal resolution through consultation with your Division Chief, Department Chair, the Dean, or the Vice Chancellor for Academic Personnel. If you have exhausted informal consultations and remain unsatisfied, you may lodge a formal complaint with the Vice Chancellor and grieve pursuant to APM-140, Non-Senate Academic Appointee/Grievances.

Preparation of Your Promotion Dossier

A. Letters of Evaluation

- **Letters from intramural [UCLA] evaluators:** you and your Department Chair will have the opportunity to develop a list of intramural evaluators. Select individuals who are at a higher rank than yours and who have mentored you or who are familiar with your professional activity, creative contributions, teaching, and service.
- **Letters from extramural [outside] evaluators (optional):** you and your Department Chair (or the chair's designee) may develop separate lists of potential evaluators, each

list with a sufficient number of names so that at least three to four respondents are from each list. The letter writers should be widely recognized as authorities in your field. Proposed evaluators should be at a higher rank than yours and three should have an “arm’s length” relationship (not a previous mentor, co-author, or collaborator).

B. Curriculum Vitae

Your CV is the primary document by which you will be reviewed. Follow the CV guidelines shown in Appendix 1 of this document and be certain it is up to date. Advancement in this series is strengthened by scholarly creative activities, such as authorship of peer-reviewed or non-peer-reviewed research or clinical reports, clinical or scientific reviews, books or book chapters, letters to the editor and editorials. Publications in peer-reviewed, electronic open-access journals are considered to be as valuable as those in traditional print journals. First or senior authorship implies your research independence: first authorship signifies the lead role of the conduct of the research as well as the primary responsibility for writing the manuscript; senior (or last) authorship usually reflects overall guidance of the research and careful review of the manuscript. Enhance the clarity of your CV by printing your name in bold type wherever it appears in your bibliography and in lists of presentations with multiple authors. In a brief statement following each entry, describe your contribution to publications and co-authored presentations. Grants should be grouped according to status (active, past or pending), and should include dates, title, funding source, direct cost, your role (P.I., co-P.I., or co-investigator), and the name of the P.I. if you are not the P.I. In each section of your CV list entries in chronological order, beginning with the oldest. Avoid abbreviations when listing organizations and funding agencies.

C. Evaluations of Your Teaching

Peer and trainee evaluations of your teaching are essential components of your promotion package. The most valuable, eloquent part of each raw evaluation is the section with comments. Your department may also request letters of evaluation from your peers and trainees.

D. Description of Your Creative Activities

Creative activities other than publications should be described in **your personal statement**, or better still, **documented in a supplement to your dossier. We recommend the latter. You need to include a list of your research and creative activities along the categories listed in Appendix 8 of The CALL. Please, provide details on the activity, how it was evaluated and the impact it had.**

E. Service

As an Assistant Professor, you will be expected to provide service to committees of your Department, your hospital, the UCLA Healthcare System, the School of Medicine, or other University entities. At the associate and full level, service should include to regional or

national professional, scientific, charitable or federal organizations, and to the community.

- F. While optional, we highly encourage you write a self-statement, detailing your accomplishments in teaching, clinical activity, creative contributions, and service. You should also use this section to describe your goals and how they align with your department's mission and your field of interest. While there is no limit, try not to exceed three pages.

THE UNIVERSITY HEALTH SCIENCES COMPENSATION PLAN

Your membership in the University Compensation Plan is a condition of your employment at UCLA if you are paid at greater than 50% of full-time through the University. Your base salary is based on your series, rank and step, and increases as you advance. Your Department Chair has no authority to increase your base salary. Compensation Plan members receive a base salary and may be eligible for additional compensation. **Your total compensation is comprised of a base salary (X + X') plus, if appropriate, a negotiated amount of additional compensation (Y), plus, if appropriate, incentive/bonus compensation (Z).** Benefits related to your base salary may include health insurance (medical, dental, and vision), employee-paid disability insurance, and employee-paid term life insurance. The University of California Retirement Plan designates the **base salary (X + X')** as covered compensation up to the amount permissible by law. The component of pay beyond the base (X + X'), if any, is the **Y component**, based on your academic performance, the quality of your work, and your productivity in scholarly and research activity, teaching, clinical care, administration and service. The Y component is recommended by the Department Chair, subject to approval by the Dean, and may be renegotiated annually. The last component of your pay, the **Z component**, is incentive compensation based largely on the revenue you generate from your clinical or professional activities.

Please, note that all patient care activities must be provided within the University setting, or as part of an approved affiliation agreement or professional service agreement. For more details, see APM-670 and APM-671.

POLICIES

Mentoring of Junior Faculty

Now that you are an Assistant Professor your mentoring should begin as soon as possible. Mentoring is essential for academic success, and should include academic process guidance and career guidance (professional development). At UCLA mentoring of junior faculty in all series is mandatory, and documentation of mentoring is required in the dossier for promotion.

Your Department Chair or the Chair's designee will assume responsibility for the mentoring process, including identifying and assigning your mentor and changing your mentor upon your request. The mentor should be an Associate Professor or Professor who has established a successful career in a field of common interest.

- **Academic process guidance** includes reviewing the criteria for advancement in your series of appointment, including the requirements to achieve favorable fourth-year and eight-year reviews and promotion to the Associate Professor rank; reviewing the deadline dates for academic actions; and reviewing the procedures in your department for personnel actions, and the step-by-step progression your dossier will make from your department, to the Dean, to CAP, and finally to the Vice Chancellor for Academic Personnel.
- **Career Guidance and Professional Development** includes assisting you in time management and setting career priorities, choices, and goals; advising you on how to judiciously balance your research and creative activities, teaching, clinical activities, and service – including knowing when to say “no”; helping you to plan ahead by determining what you must accomplish in a specific period of time to advance academically; reviewing and critiquing your scholarly and creative work; and suggesting ways to improve the content and organization of your CV.

Although mentoring thrives on informal and continuous guidance, **you and your mentor should meet no less than twice a year to formally review your progress, and the dates of these meetings should be documented on the designated form.** To preserve the confidential nature of your discussions their content should not be revealed, except perhaps for a brief statement of professional goals.

Prevention of Sexual Harassment and a Hostile Environment

UCLA is committed to maintaining a community in which all individuals, including faculty, can work in an atmosphere free of harassment, exploitation, and intimidation. When an individual in authority or power jeopardizes another's academic future or career through job discrimination, demotion, withheld promotion, or a decreased grade unless sexual favors are granted, **sexual harassment** has occurred. When an individual engages in unwelcome sexual behavior that creates an offensive work or learning environment – behavior such as sexually demeaning language, the posting of offensive material in a common space, the use of sexually offensive slides in a classroom setting, or implying that women are less capable than men in conducting their jobs, or vice versa – the offending individual has created a **hostile environment**. If you experience such events, maintain a record of them and seek the assistance of a campus advisor at the **UCLA Sexual Harassment Prevention Office**.

UC Policy on Sexual Relations with Students

It is unacceptable behavior to enter into a romantic or sexual relationship with any individual under your academic supervision 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 individual with whom you have a romantic or sexual relationship. Such individuals include undergraduate students, professional school candidates, medical and other doctoral and postdoctoral students, interns, residents, and fellows. **(APM 015)**

1. **Conflict of Commitment-** Faculty members employed by the UC owe their primary professional allegiance to the University and accept as their own the University's responsibilities to advance and communicate knowledge. (See [APM 025](#) and [UCLA Appendix 19](#)).
2. **Conflict of Interest-** A conflict of interest is a situation in which a person is in a position to derive personal benefit from actions or decisions made in their official capacity. (See [UCLA Policy 150](#)).
3. **Digital and Social Media Policies -** Communicate on social media as you would in person
 - a. No protected health information
 - b. Provide thoughtful and relevant content.
 - c. Respond to conversations & questions in real time
 - d. Proofread; posts stay “published” online indefinitely
 - e. Get permission before sharing others’ media
 - f. For more information including Social Media Best Practices please see [DGSOM Social Media Policies](#)
4. **Disclosure Policy-** All content providers at DGSOM must include at the beginning of any educational activity any disclosures of financial relationships and support from commercial interests that are relevant to the specific educational activity.
5. **For other important UCLA policies related to academic affairs and research please visit [UCLA Policies Directory](#).**

Important Faculty and Academic Affairs Links

- a. [DGSOM Executive Leadership](#)
- b. [UCLA Office of Academic Affairs](#)
- c. [DGSOM Justice, Equity, Diversity and Inclusion](#)
- d. [THE UCLA Call](#)
- e. Professional Development Portal (This website needs to be updated and will get the link from Katy Nameth).

Additional Campus Resources:

- a. [Staff and Faculty Counseling Center](#)
- b. [UCLA Office of Ombuds Services](#)
- c. [DGSOM GME Office](#)
- d. [UCLA Civil Rights Office](#)
- e. [UCLA Title IX Office](#)
- f. [UCLA Discrimination Prevention Office](#)

APPENDIX 1: EXAMPLE OF CURRICULUM VITAE

Your CV is your autobiography – a record of your activities as a faculty member – and the primary document by which you will be reviewed for advancement and promotion. Keep it complete and keep it current. The example below is only a guide; depending upon your series certain sections may not be applicable, or if you are involved in unique activities not represented in these examples you may choose to add your own sub-categories.

CURRICULUM VITAE

Date Prepared (or Revised)

Name

Current Position (e.g., Health Sciences Clinical Professor – no need to add your step)

Business Address, Phone and FAX Numbers, Email Address

Education

Dates (inclusive), Undergraduate

Dates, Medical School

Dates, Institution, Location, Internship in X Specialty

Dates, Institution, Location, Residency in X Specialty

Dates, Institution, Location, Fellowship in X Specialty

Licenses to Practice Medicine

Board Certification

List name of Board(s) and date(s)

Positions Held Previously

List the institutions and inclusive dates chronologically, from oldest to most recent.

Professional Activities

List your activities chronologically, with inclusive dates from the oldest to the most recent:

Director of Surgery Outpatient Clinic, Ronald Reagan UCLA Medical Center, 2006-present

Membership in Professional Organizations

List names and dates

Service

List by inclusive dates of service, followed by organization, followed by your contribution.

University Service

- System-wide
- Campus-wide
- UCLA Health System
- School of Medicine
- Department
- Division

Service to Professional or Scholarly Organizations or to Regional, State, or Federal Government

List the organization, your contribution, and the inclusive date of your service:

- American College of Surgeons, Committee on Trauma, 2009-15 (chair, 2014-15)
- American Association for Cancer Research, president, 2008-09
- National Cancer Institute, Cancer Genetics Study Section, 2000-05

Community Service

Mentoring

List inclusive dates, name of mentee, program, your role as mentor.

Mentoring of Undergraduate Students

Mentoring of Medical Students

Mentoring of Postdoctoral Students

Mentoring of Faculty or Visiting Faculty

Inclusive dates, name of mentee, academic title at home institution, name of home institution

Honors and Awards

List chronologically with dates, from oldest to most recent; if the award is especially prestigious, briefly describe its significance.

Teaching Awards and Nominations for Awards

Specify whether University-wide, School of Medicine-wide, departmental, or division.

Invited Presentations

List chronologically, from the oldest to the most recent; if you had co-authors, list your name in bold type and in the order that it appears on the list of authors, followed by the title of the presentation, the name of the conference where it was presented, the city, and finally the date. If your presentation had co-authors, it would be useful to reviewers if, following the entry, you briefly explained your contribution.

International Presentations

National Presentations

Regional and Extramural Local Presentations

UCLA Presentations

Research and Creative Activities

Research Awards and Grants

List chronologically from newest to oldest; list grant title and number, your role (e.g., P.I., co-P.I., co-investigator, consultant), funding period, source of funding, and direct costs for one year and for entire period of grant.

Current Grants

RO1 CA 12345 (P.I.)	6/1/89-5/31/94
NIH/NCI	\$250,000 direct/year 1
Molecular Diagnostics in the Clinic	\$1,250,000 direct/years 1-5

Pending Grants

None

Past Grants

Publications

In each category, list the publications in chronological order – oldest first. Wherever your name appears in the list of authors, print it in bold type. Follow the full list of authors with the full title of the paper, the name of the journal, the volume number, the inclusive page numbers, and the date. It would be useful to reviewers if, following the entry, you briefly explained your contribution.

Peer-Reviewed Research Papers – Published

1. **Spector, DH**, Varmus, HE, and Bishop. J.M. Nucleotide sequences related to the transforming gene of avian sarcoma virus are present in DNA of uninfected vertebrates, Proc Natl Acad Sci USA. 75:4102-6,1978.

Peer-Reviewed Research Papers – In Press or Accepted for Publication

Peer Reviewed Research Papers – Submitted

Non-Peer Reviewed Papers

Review Articles

Books

Chapters

Editorials

Letters to the Editor

Other Publications

Abstracts