Academic Progress & Promotion

John Colicelli  Professor, Biological Chemistry
Assistant Dean for Academic Affairs

Richard H. Gold  Emeritus Professor, Radiological Sciences
Assistant Dean for Academic Affairs

Jonathan R. Hiatt  Professor, Surgery
Vice Dean for Faculty

No disclosures

Academic career building blocks

Academic focus
Mentorship
Collaboration (team science)
Strategy

Academic career strategy

Knowing the rules
Deciding which ones to follow
Academic career strategy

- Knowing the rules
- Deciding which ones to follow
- Following them

http://www.ucop.edu/academic-personnel/academic-personnel-policy/index.html

https://apo.ucla.edu/policies-forms/the-call/an-introduction-to-the-ucla-call

Academic personnel process

- 3 legs
  - Academic excellence
  - Shared governance
  - Due process

Carole Goldberg
VCAP, 2011-16

Academic personnel process: 4 elements

- Scholarly and creative work
- Teaching
- Professional competence and activity (primarily for clinicians)
- University, professional & public service

Today's topics

- Faculty series
- Dossiers – when required, elements
- Criteria for advancement
- Reviews and promotions
- Timelines
- Resources
UCLA professorial series

<table>
<thead>
<tr>
<th>Senate</th>
<th>Non-Senate</th>
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<tbody>
<tr>
<td>Professor</td>
<td>Health Sciences Clinical Prof.</td>
</tr>
<tr>
<td>Professor In-Residence</td>
<td>Adjunct Professor</td>
</tr>
<tr>
<td>Professor of Clinical (X)</td>
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</table>

**Academic Senate**: UCLA and UC-wide faculty governance
Faculty Executive Committee (FEC): DGSOM faculty governance

DGSOM faculty by series

<table>
<thead>
<tr>
<th></th>
<th>2288</th>
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<tbody>
<tr>
<td>HS Clinical Professor</td>
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<tr>
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(As of 7-26-18)

Academic personnel process: 4 elements

- Scholarly and creative work
- Teaching
- Professional competence and activity (primarily for clinicians)
- University, professional & public service

UCLA professorial series

<table>
<thead>
<tr>
<th>Scholarship</th>
<th>Teaching</th>
<th>Professional competence (clinicians)</th>
<th>Service</th>
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<tbody>
<tr>
<td>Regular, In-residence</td>
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<td>++++</td>
<td>++++</td>
</tr>
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<td>Clinical X</td>
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<td>HS Clinical</td>
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</tr>
<tr>
<td>Adjunct</td>
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UCLA professorial series

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<tr>
<td>Clinical X</td>
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<td></td>
</tr>
<tr>
<td>HS Clinical</td>
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<td></td>
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</tr>
<tr>
<td>Adjunct</td>
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</tbody>
</table>
Today’s topics

Faculty series

**Dossiers – when required, elements**

Criteria for advancement

Reviews and promotions

Timelines

Resources

When is a dossier required?

- Appointments (to faculty, to endowed chairs)
- Merit increases (every 2 yrs at asst. prof level)
- 4th yr appraisal
- Promotion
- Change in series

Dossier elements (1)

- Cover page
- History record
- Departmental vote
  - [Bylaw 55](http://senate.universityofcalifornia.edu/bylaws-regulations/bylaws/chapter2.html)
- Data summary
- Bibliography
- Self-statement
Dossier elements (2)

Departmental recommendation
Statement of 5 significant publications (barrier dossier only for Regular, In-Residence, & Adjunct series)
Letters (appt & barrier dossiers only)
Teaching evaluations
CV
Copies of publications (4th Year Appraisal & Promotion only)
**Self-statement**

- Describe teaching, research, service
- 3 well-written, proofread pages
- Explain how work fits into broader agenda
- Provide context and explain significance of work
  
  [https://apo.ucla.edu/cap-guidance/self-statements](https://apo.ucla.edu/cap-guidance/self-statements)

**Letters**

Confidential external letters solicited by department
- Experts in your field and past trainees (mentoring)

For promotion to Associate rank:

<table>
<thead>
<tr>
<th>Health Sciences</th>
<th>External</th>
<th>Internal</th>
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</thead>
<tbody>
<tr>
<td></td>
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<td>Required</td>
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</table>

<table>
<thead>
<tr>
<th>Other series</th>
<th>External</th>
<th>Internal</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Required</td>
<td>Optional</td>
</tr>
</tbody>
</table>

**Sign-off on data summary**

- Identify contributions to diversity
- Designate interdisciplinary entities to be solicited
Mentoring of junior faculty

Assigned by chair (you may suggest)
Associate or full professor
Academic process guidance
Career and professional development
Meeting every 6 mos (minimum)
Documented with signed forms in dossier

Today's topics

Faculty series
Dossiers – when required, elements
Criteria for advancement
Reviews and promotions
Timelines
Resources

Criteria for advancement

Scholarly and creative work
Teaching
Professional competence and activity (clinicians)
Professional and University activities & service
Generally first two criteria carry greater weight
"Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions."

Scholarly and creative activity

Intellectual attainment
Authorship
Presentations
Grants and awards
Dissemination of knowledge / technology
Community programs
Creative contributions to administration & curricula

Documentation of creativity

List publications or other evidence (eg, patents)
Explain role in co-authored work
Document publication status, where in press
Indicate of grant support, where relevant
Designate role (PI, Co-PI, etc)
Note only direct costs actually going to you
Note inclusive dates of total if multi-year grants
Describe work in progress (self-statement)

Creativity, HS Clinical series

Educational curricula
Administration of a teaching program
Advancement of professional education
Original material for handouts for lectures
Informational brochures
Lecture, original educational materials, or teaching files placed on resident website
Platform or poster presentations at local, regional, or national meetings
Participation in research, not necessarily as primary or independent investigator
First, senior, or collaborative authorship of peer-reviewed research papers
Publication of case reports or clinical reviews
Contributions to administration (supervision) of a clinical service or health care facility
Clinical guidelines or pathways
Quality improvement programs
Medical informational systems
Advancement of University professional practice programs
Community-oriented programs
Community outreach or informational programs

Appendix 8, The Call
Teaching

Essential in all professorial series
Therefore must be documented
And must be evaluated

List of courses taught since last review/enrollments
List of mentees and their status
Student evaluations (forms and letters)
Peer evaluations (form or letter, per department)
The UCLA CALL-Appendix 3: https://apo.ucla.edu/policies-forms/the-call/appendices/appendix-3-guide-to-the-documentation-of-effective-teaching

Other teaching including chair or member of dissertation committees, facilitator of journal club

Professional competence

Regular Professor or in-Residence Series
Leadership in field, recognition by peers and patients as outstanding clinician, development of new approaches and techniques

Clinical X Series
Recognition by peers and patients as outstanding clinician, leadership in department or hospital and in local, regional and national professional organizations, election to fellowship in those organizations

Health Sciences Clinical Professor Series
Exemplary professional practice, administrative leadership in department and hospital and in professional organizations, development or supervision of health care facilities, development of innovative approaches to patient care, activity and election to fellowship in professional organizations

Service

University: governance, education, research, clinical

Community: outreach, volunteer activities, lectures

Profession: committee memberships, officerships, editorial duties, study sections, chairing meetings or moderating sessions of meetings

Changes in HS Clinical Series, 2017-

“Research and/or creative” activity replaced ‘scholarly or creative’ activity that supports a faculty member’s primary responsibilities in clinical teaching and professional and service activities.”

New required documentation:
Dean’s or Dept Chair’s recommendation letter, that is placed in the faculty member’s dossier and shared with the faculty member, serves as documentation of the faculty member’s expected balance of activities.
### Today's topics

- Faculty series
- Dossiers – when required, elements
- Criteria for advancement
- **Reviews and promotions**
- Timelines
- Resources

### Professorial ranks and steps

<table>
<thead>
<tr>
<th>Faculty</th>
<th>Assistant (2 yr)</th>
<th>Associate (2 yr)</th>
<th>Professor (3 yr)</th>
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<tbody>
<tr>
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**Professor (3 yr)**

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<th>III</th>
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<td>VII</td>
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<td>Above scale (4 yr)</td>
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### Professorial ranks and steps

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<thead>
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<th>Assistant (2 yr)</th>
<th>Associate (2 yr)</th>
<th>Professor (3 yr)</th>
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<tbody>
<tr>
<td>I</td>
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<tr>
<td>IX</td>
<td>IX</td>
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</tbody>
</table>

Barrier steps: CAP review

Above Scale

### Criteria for acceleration

- Unusual, exceptional accomplishments
- Major increase in responsibilities
- Major publications
- Multiple extramural funding awards
- Major award or honor

### Asst. prof. review cycles

- Merit increase review every 2 years
- Fourth Year Appraisal: early assessment for promotion to Associate Professor, typically begun in fall quarter of 4th year
- Review for promotion to Associate Professor typically conducted no later than 7th year (can be earlier)

### Fourth year appraisal

- Early, internal assessment of record and trajectory for promotion to Associate Professor
- May occur earlier than fourth year by agreement
- Identifies areas of weakness or imbalance in the record
- Department makes formal appraisal, forwarded to Dean, CAP, final determination by V. Chancellor
- Outcomes: favorable, with reservations, unfavorable
- Not intended to affect ultimate decision on promotion
Promotion to Associate Professor

Recommendation for promotion prepared by the Department (see APM and CALL)

The UCLA CALL-Appendix 6: https://apo.ucla.edu/policies-forms/the-call/appendices/appendix-6-appointment-and-advancement-of-assistant-professors-at-ucla

When dossier is complete, Department Chair forwards to Dean, who forwards to CAP, who forwards to Vice Chancellor

CAP MAY seek input from a campus ad hoc review committee of faculty (usually 4 members, 1 from candidate’s dept.)

Review committee report submitted to Dean, CAP, and VC

Council on Academic Personnel (CAP)

14-member committee of Academic Senate
Charged with reviewing scholarly, teaching, and service activities of faculty for academic advancements or appointment
Primary goals: ensure equity; maintain standards of scholarship, teaching, and service across campus
Top priorities: 4th yr appraisals, barrier steps, appts at tenure level
Recommends on some accelerations and all endowed chairs
ClinCAP: subcommittee for HS Clinical series

ClinCAP
Subcommittee of CAP
Reviews dossiers of faculty in the HS Clinical Professor series
Four members-current or former members of CAP

Today’s topics

Faculty series
Dossiers – when required, elements
Criteria for advancement
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Eight-year clock

Includes years at UCLA as Acting, Visiting, Professional Research, Adjunct, In-Residence, etc.

The UCLA CALL-Appendix 14: https://apo.ucla.edu/policies-forms/the-call/appendices/appendix-14-guide-to-the-computation-of-years-of-service-which-count-toward-the-eight-year-limit-1

Academic year begins July 1 (effective date for advancements)
Two quarters count as one year
Time off the clock

Up to two extra years can be added for leave for serious health condition; childbearing and/or childrearing; care or bereavement of child, spouse, domestic partner, or parent; or significant circumstance interfering with research or creativity

Can delay 4th year appraisal

Candidate chooses whether to mention in solicitation of external letters

Please request in timely fashion - within 2 yrs of event and before the first day (7/1) of the promotion year

Typical assistant professor cycle

<table>
<thead>
<tr>
<th>Action</th>
<th>Rank and step</th>
<th>Year</th>
<th>Eff. date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointment</td>
<td>Asst prof II</td>
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<td>Merit increase</td>
<td>Asst prof III</td>
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<td>7/1/20</td>
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<td>4th yr appraisal</td>
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<tr>
<td>Scheduled promotion review</td>
<td>Associate I</td>
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<td>7/1/24</td>
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Typical assistant professor cycle

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<tr>
<td>Merit increase</td>
<td>Asst prof III</td>
<td>2</td>
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<td>Asst prof IV</td>
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<td>4th yr appraisal</td>
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<tr>
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General timeline to assoc. prof. promotion

<table>
<thead>
<tr>
<th>Winter</th>
<th>Faculty notified of eligibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spc, early summer</td>
<td>Dossier prepared and reviewed by dept.</td>
</tr>
<tr>
<td>Aug 1</td>
<td>Dean’s Office (DO) deadline for promotions</td>
</tr>
<tr>
<td>Sep 1</td>
<td>DO deadline for 8 yr limits</td>
</tr>
<tr>
<td>Nov</td>
<td>Academic Personnel Office (APO) deadline for DO submissions</td>
</tr>
<tr>
<td>Winter</td>
<td>APO forwards to CAP, CAP makes recommendation to VC</td>
</tr>
<tr>
<td>Winter</td>
<td>Vice Chancellor makes decisions, appeal processes available</td>
</tr>
</tbody>
</table>

(* different deadlines for other actions)

Some of your rights

To suggest names of external/internal reviewers (as appropriate) to your Chair; also names of those whom you believe cannot write an objective review.

To review dossier materials in redacted form prior to departmental review.

To review departmental vote and recommendation before it leaves the Department, except Chair’s “confidential” letter (if any).

To respond to anything written about you which you find inaccurate or not included.

Today’s topics

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