



OFFICE OF THE VICE PROVOST -  
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT  
1111 Franklin Street, 11th Floor  
Oakland, California 94607-5200

December 1, 2016

CHANCELLORS  
LABORATORY DIRECTOR WITHERELL  
ACADEMIC COUNCIL CHAIR CHALFANT  
ANR VICE PRESIDENT HUMISTON

Re: Second Systemwide Review of Proposed Revised Academic Personnel Manual (APM)  
Section 278, Health Sciences Clinical Professor Series;  
Section 210-6, Instructions to Review Committees Which Advise on Actions Concerning the  
Health Sciences Clinical Professor Series

Dear Colleagues:

Attached for a second Systemwide Review are proposed revisions to the Academic Personnel Manual as follows:

- Section 278, Health Sciences Clinical Professor Series (APM - 278) and
- Section 210-6, Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series (APM - 210-6).

#### Review History

Academic Personnel and Programs has been in consultation for nearly three years, informally and formally, with the Academic Senate and campus administrators to develop proposed changes to five policies governing the Health Sciences Clinical Professor and Volunteer Clinical Professor Series:

- APM - 278, Health Sciences Clinical Professor Series;
- APM - 210-6, Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series;
- APM - 279, Volunteer Clinical Professor Series;
- APM - 350, Clinical Associate; and,
- APM - 112, Academic Titles

During Management Consultation (January to March 2016), reviewers expressed general approval of all five proposed draft policies. After incorporating the recommendations we received, new draft policies were circulated for the first Systemwide Review (March to June 2016).

APM - 279, APM - 350, and APM - 112. We received few comments related to APM - 279, APM - 112, and APM - 350; reviewers who submitted comments on these draft policies endorsed the proposed drafts, offering minor revisions to be incorporated in final policies. We are not circulating APM - 279, - 112, or - 350 for additional consideration since both reviews resulted in consensus on new APM policy language.

APM - 278 and APM - 210-6. Substantive feedback related to APM - 278 and APM - 279 was submitted during the first Systemwide Review, thus prompting a second Systemwide Review. Common themes emerging from consultation during the first Systemwide Review are summarized here: there were requests for the policy to describe more fully the context and principles underlying proposed revisions to the policies; there were concerns that the "research and/or creative activity" review criteria would add new responsibilities for Health Sciences Clinical Professor series faculty; and, there were remarks that the "new" criteria are vague and indistinguishable from the criteria for reviewing faculty appointed in the Professor of Clinical (e.g., *Medicine*) series. These common themes are addressed below.

### **Context for Policy Revisions**

The current effort to update this suite of health sciences-related policies is an outgrowth of the work begun in 2001-02 to recast the single Clinical Professor series policy, used then to appoint University faculty *and* volunteers. As a result of the effort that continued from 2001-02 to 2005, three policies were issued: 1) APM - 278, governing faculty appointments, 2) APM - 210-6, defining appointment, advancement, and promotion criteria for faculty appointments, and 3) APM - 279, governing volunteer appointments. The Clinical Professor series was renamed the Health Sciences Clinical Professor series; terms and conditions for appointment were introduced to the policy (APM - 278); and, new policy was created to provide for the Volunteer Clinical Professor series (APM - 279). At the time, campuses developed local guidelines for each of the two title series, transferring appointees to the applicable title series depending on the duties, review criteria, and appointment status of the positions. These three policies have not been reviewed or updated since issuance in 2005.

Campuses have found current APM - 279 language vague and confusing in terms of appointment, advancement, and promotion criteria as well as service expectations for volunteers. Campuses have also found that neither APM - 278 nor APM - 279 provide clear definitions or guidance to determine the appropriate title to use for various types of faculty appointed in the health sciences disciplines. The current revisions were undertaken because both policies need substantive revision to differentiate the titles, supplement definitions, identify responsibilities, specify terms of appointment and reappointment, and clarify review criteria.

In January 2014, a work group composed of senior academic personnel staff from the health sciences campuses and school deans' offices convened to focus on the Volunteer Clinical Professor Series (APM - 279), to standardize campus/school practices, propose streamlined policy language, define the criteria for appointment, review, and promotion; evaluate clinical competence; and establish a standard length of initial appointment and reappointment of volunteers. Proposed revisions to APM - 279 were circulated for Management Consultation in 2014. Reviewers submitted generally favorable comments; however, during the consultation period, the work group recognized that implementing changes to APM - 279 also requires changes to APM - 278 to clearly differentiate policy for University faculty and volunteers.

Subsequently, in January 2015, work began to inventory campus/school practices related to the appointment, advancement, and promotion of faculty appointed in the Health Sciences Clinical Professor series and to propose updated language to define criteria for appointment, review, and promotion in APM - 210-6. Over the course of the next year, work group members representing the six health sciences campuses were asked to consult with faculty and senior administrators on their respective campuses to review proposed concepts, plans, and draft language to update APM - 278 and APM - 210-6. In addition, Academic Personnel and Programs staff shared preliminary drafts with Academic Council officers and systemwide Senate Committees on Faculty Welfare and Academic Personnel. Feedback from all of these consultation efforts informed the drafting process preceding Management Consultation and Systemwide Review.

While the consultative process was underway, the landscape of health care delivery began changing rapidly in response to external pressures, which included implementation of the Affordable Care Act. Many of the UC Medical Centers began expanding into health networks by partnering and affiliating with other physician and hospital organizations to reach a larger population and operate at the scale necessary to sustain an academic health center. The work group recognized the role of policy to maintain the integrity of the faculty under such pressures and the need to clearly define non-faculty appointments for clinicians working with UC Health under new types of partner and affiliate agreements.

### **Principles Guiding the Policy Revisions**

Several principles provide the foundation for revisions to each of the health sciences faculty policies:

- Health sciences faculty are expected to engage in each of the four areas of faculty responsibilities, participating in each area to a varying degree dependent on the series:  
1) teaching, 2) professional competence and activity, 3) research or creative work, and  
4) University and public service.
- Currently, four areas of activity form the basis of the Ladder-rank, Professor of Clinical (e.g., *Medicine*), Professor in Residence, and the Health Sciences Clinical Professor series policies. The percentage of activity in each of the four areas differentiates each of the series titles.
- Policy for each of the four title series (Ladder-rank, Professor of Clinical (e.g., *Medicine*), Professor in Residence, and the Health Sciences Clinical Professor series) acknowledges that there is a division of effort among the four activities depending on the nature and purpose of the series and the appropriateness of the division to the appointment.
- The 2005 versions of APM - 278 and APM - 210-6 provide campuses with flexibility to interpret and implement the policies, including authority to create guidelines for evaluating the research/creative activity criteria in the Health Sciences Clinical Professor series. This flexibility and authority is maintained in the proposed revisions to the policies.
- These principles apply to all faculty, whether paid by the University or paid by a formal affiliate, appropriate to the needs of the department and under University agreement with affiliated entities such as or similar to the Veterans Administration Medical Center or the Howard Hughes Medical Institute.

These principles guided the work group in its approach to the health sciences volunteer and staff appointee policies:

- Volunteers with teaching and clinical service responsibilities, without a creative component or service expectation, should be appointed under APM - 279 in the Volunteer Clinical Professor Series; they are not appropriately appointed in the Health Sciences Clinical Professor Series under APM - 278.
- Staff physicians without teaching responsibilities and physicians employed by health networks and hospital organizations under partnership or affiliation with UC Health and with no University responsibilities are not entitled to faculty appointments at UC without undergoing academic review.
- The current Clinical Associate title is recast for staff clinicians and other clinicians employed by health networks and hospital organizations that are partners of or affiliated with UC Health. Individuals appointed as Clinical Associates under new policy (APM - 350) engage only in clinical service. They are not appropriately appointed in the Health Sciences Clinical Professor Series under APM - 278 unless an academic review is conducted.

### Additional Consultation Effort Related to "Research and/or Creative Activity"

The nature of the feedback received during Systemwide Review called for an in-depth conversation with Senate leaders and campus academic administrators, specifically, the experts in health sciences disciplines who are knowledgeable about current policy, review criteria, and best practices. A conference call took place on September 30, 2016, when participants discussed the themes that emerged during Systemwide Review. Most importantly, participants discussed how to move forward with revisions to the policies related to the inclusion of "research and/or creative activity" in new drafts for a second Systemwide Review. The Senate leaders and the health sciences campus academic administrators on the call provided recommendations for explicit changes necessary to improve policy language. Participants agreed that it is critical to maintain the Health Sciences Clinical Professor series titles as a meaningful faculty appointment with a scholarly or creative component. Participants recommended that the drafts be revised to eliminate examples of creative activity that may belong more appropriately under teaching criteria. In addition, call participants recommended ways to adjust language to be responsive to the concerns expressed on the call and during the first Systemwide Review. Most agreed that 1) the policy should allow campuses to interpret and to implement the policies, and 2) the term "scholarly or creative activity" should replace "research and/or creative activity."

### Distinguishing Research or Creative Activity Criteria in the Professor of Clinical (e.g., *Medicine*) Series from the Health Sciences Clinical Professor Series

Across the health sciences professorial series, the evidence required to establish research or creative accomplishment is a continuum based on series expectation, from minimal engagement in the non-Senate Health Sciences Clinical Professor series, where creative activities are subordinate to teaching and clinical service, to the Professor of Clinical (e.g., *Medicine*) series, where intellectual contributions are significant components of a dossier for Senate-series clinician educators, to the ladder-rank Professor and Professor in Residence series, where research or creative activities and achievement are a fundamental component of a balanced dossier for a Senate series appointment.

### Changes to the Policy Drafts

The changes that were recommended by reviewers during Systemwide Review and by participants on the September 30, 2016 call are incorporated into revised language and are summarized below.

APM - 278. "Research and/or creative" activity is replaced by "scholarly or creative" activity that supports a faculty member's primary responsibilities in clinical teaching and professional and service activities. Language clarifies that the Dean's or Department 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.

APM - 210-6. "Research and/or creative" activity is revised to "scholarly or creative" activity that supports a faculty member's primary responsibilities in clinical teaching and professional and service activities. Language clarifies that the Dean's or Department 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. Section 210-6-b(3), newly named "Scholarly or Creative Activity," is reformatted and modified to eliminate examples of evidence that may serve to support teaching activity.

## Second Systemwide Review

This second systemwide consultation is intended to resolve prior discussions and to answer remaining questions; it is distributed to the Senate, the Chancellors, the Director, Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community and affected employees about policy proposals. Employees should be afforded the opportunity to review and comment on the draft policy, available online at <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees about these proposed policy revisions.

The Labor Relations Office at the Office of the President is responsible for informing the bargaining units representing union membership about policy proposals.

We would appreciate receiving your comments by **March 1, 2017**. Please submit your comments to [ADV-VPCARLSON-SA@ucop.edu](mailto:ADV-VPCARLSON-SA@ucop.edu). If you have any questions, please contact Janet Lockwood at [Janet.Lockwood@ucop.edu](mailto:Janet.Lockwood@ucop.edu) or (510) 987-9499.

Sincerely,



Susan Carlson  
Vice Provost  
Academic Personnel and Programs

Attachments: Proposed Revised Draft APM - 278, Health Sciences Clinical Professor Series (redline and clean copy)  
Proposed Revised Draft APM - 210-6, Instructions to Review Committees Which Advise on the Health Sciences Clinical Professor Series (redline and clean copy)

cc: President Napolitano  
Provost and Executive Vice President Dorr  
Executive Vice Chancellors/Provosts  
Executive Vice President Stobo  
Vice President Duckett  
Vice Provosts/Vice Chancellors of Academic Personnel/Academic Affairs  
Chief of Staff Grossman  
Deputy/UCOP Compliance Officer Lane  
Health Sciences Deans  
Academic Personnel Directors  
Deputy General Counsel Woodall  
Executive Director Baxter  
Interim Executive Director Lee  
Director Chester  
Chief of Staff and Director Henderson  
Director Lockwood  
Manager Donnelly  
Manager Smith

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APM - 278 Work Group Members:

Senior Academic Affairs Analyst Holland (UCR)  
Assistant Vice Provost Leathers (UCSF)  
Manager Light (UCSF)  
Director Morris (UCR)  
Academic Affairs Supervisor Musey (UCI)  
Academic Personnel Consultant Poole (UCD)  
Academic Personnel Manager Reevesman (UCD)  
Analyst/Supervisor Reyes (UCD)  
Assistant Dean Seifert (UCD)  
Director Shaevel (UCLA)  
Director Shaw (UCLA)  
Director Smith (UCI)  
Principal Analyst Woolston (UCSD)

278-0 **Policy**

The Health Sciences Clinical Professor series is designed to meet the University's mission in ways that are unique to the health sciences disciplines through teaching, scholarly or creative activity, professional activity, and University and public service. Health Sciences Clinical Professor series faculty make substantial contributions to the University through excellence in teaching, clinical expertise, scholarly or creative achievement, and engagement in service.

278-4 **Definition**

Faculty in the Health Sciences Clinical Professor series teach the application of basic sciences, the mastery of clinical procedures, and other health science topics to students, postdoctoral scholars, fellows, interns, residents, and other clinicians in all academic disciplines concerned with patient care, including dentistry, medicine, nursing, optometry, pharmacy, physician assistant studies, psychology, veterinary medicine, the allied health professions, and other health care professions. Health Sciences Clinical Professor series faculty engage in scholarly or creative activities which derive from and support their primary responsibilities in clinical teaching and professional and service activities.

The Health Sciences Clinical Professor series is distinct from the Volunteer Clinical Professor series that is governed by [APM - 279](#), Volunteer Clinical Professor Series. University-paid staff physicians and staff clinicians and other clinicians and physicians practicing at non-UC-affiliated sites with teaching responsibilities may be appointed to titles in the Volunteer Clinical Professor series under [APM - 279](#). University-paid staff physicians and staff clinicians and other clinicians and physicians practicing at UC-affiliated facilities without teaching responsibilities may be appointed to the Clinical Associate title under APM - 350, Clinical Associate.

#### 278-8 **Types of Appointment**

Faculty in the Health Sciences Clinical Professor series may serve the University on a full-time or part-time basis and may be appointed with or without salary. An appointment without salary at the University may be made for an individual who 1) holds a without salary or salaried clinical appointment at an institution with which the University has a formal affiliation agreement (a UC-affiliated facility), and 2) meets the criteria for appointment in this series as described in section 278-10.

a. Titles (and ranks) in this series are:

- (1) Health Sciences Clinical Instructor



- (2) Health Sciences Assistant Clinical Professor
  - (3) Health Sciences Associate Clinical Professor
  - (4) Health Sciences Clinical Professor
- b. An *appointment* (as distinguished from a promotion) to one of the four ranks listed above occurs if the individual's immediately previous status was:
- (1) not in the employ of the University; or
  - (2) in the employ of the University but not in this series; or
  - (3) moving from Health Sciences Clinical Instructor to Health Sciences Assistant Professor.
- c. A *change of series* is a type of new appointment for an individual whose last appointment was within the University of California, usually in a faculty title. A change of series may occur because an individual's duties change. A regular academic review is required for this action. A competitive search may or may not be required (see APM - 278-16-b).

- d. A *promotion* is advancement within this series from Assistant to Associate and Associate to Professor.
- e. A *merit increase* is advancement in salary step or to an above-scale salary rate without a change in rank (see [APM - 610](#), Salary Increases).
- f. A *reappointment* is the renewal of an appointment in this series immediately following the end date of the previous appointment (i.e., without a break in service). A reappointment may or may not be accompanied by a promotion or a merit increase.

#### 278-10 **Criteria**

A candidate for appointment or advancement in this series shall be evaluated by the following criteria, which shall be appropriately weighted according to the primary emphasis on clinical and clinically-relevant teaching and patient care services and also according to the needs of the campus and the individual's responsibilities in the specific discipline. The Dean's or the Department Chair's recommendation letter placed in the dossier shall document the faculty member's expected balance of activities and shall be shared with the faculty member. The four criteria are:

- a. Teaching
  
- b. Professional competence and activity
  
- c. Scholarly or creative activity
  
- d. University and public service

These criteria and standards are set forth in [APM - 210-6](#), *Instructions to Review Committees That Advise on Actions Concerning the Health Sciences Clinical Professor Series*.

#### 278-16 **Restrictions**

- a. Funding

No State funds shall be used for any salary above the Scale 0 rate associate with Health Sciences Compensation Plan participant's rank and step on the Fiscal Year Salary Scale. Any compensation above the Fiscal Year Salary Scale 0 shall be funded using Health Sciences Compensation Plan funds and/or other non-State funds in compliance with any relevant fund source restrictions as outlined in [APM - 670-18](#), Health Sciences Compensation Plan.

b. Change of series of appointees to other titles

An appointee in the Health Sciences Clinical Professor series may change to another academic or professorial series following academic review. A competitive search may or may not be required. The Chancellor may grant a waiver of the search requirement in exceptional circumstances.

c. Appointees at affiliated institutions

In the case of an appointee in the Health Sciences Clinical Professor series who holds an appointment at an affiliated institution, the continuation of the academic appointment is contingent upon the continuation of the faculty member's appointment at the affiliated institution. In the case of an appointee in the Health Sciences Clinical Professor series who is partially paid by the affiliate and UC, the UC appointment may continue if the appointment at the affiliate ends.

**278-17 Terms of Service**

An appointment in the Health Sciences Clinical Professor series shall have a specified ending date. Written notice of the appointment or reappointment shall follow the provisions of [APM - 137-17](#), Non-Senate Academic Appointees/Term

Appointment. Typically, the effective date of an appointment will coincide with the University's fiscal year (July 1 through June 30). See [APM - 220](#), Professor Series for general academic personnel policy regarding appointment and promotion.

a. Health Sciences Clinical Instructor

At this rank, an initial appointment is limited to one year or less. Total service as a Health Sciences Clinical Instructor paid by the University or paid by an affiliated institution may not exceed two years. The Chancellor may grant an exception to the two-year limit.

b. Health Sciences Assistant Clinical Professor

Each appointment and reappointment at this rank is limited to one year or less. The normal period of service is two years at each step. Total University service at more than 50 percent time in this title, combined with service at more than 50 percent time in any of those titles listed in [APM - 133-0-b and -c](#), Limitation on Total Period of Service with Certain Academic Titles, may not exceed eight years of service.

Only those quarters or semesters at more than 50 percent time in a University-paid or affiliate-paid faculty position will count toward the eight-year limit.

Faculty holding a without salary Health Sciences Clinical Professor series appointment along with a salaried appointment at an affiliated institution at more than 50 percent time may not exceed eight years of service unless the Chancellor grants an exception to the eight-year limit for these appointees.

There is no eight-year limit for individuals holding an appointment at 50 percent or less time, whether salaried or without salary, unless the Chancellor establishes such a limit.

c. Health Sciences Associate Clinical Professor and Health Sciences Clinical Professor

Each appointment and reappointment at this rank is limited to a term of one year or less until the faculty member reaches Step VI. The normal period of service is two years at each step for a Health Sciences Associate Clinical Professor (Steps I, II, and III). The normal period of service is three years at each step for a Health Sciences Associate Clinical Professor (Steps IV and V) and for a Health Sciences Clinical Professor. Service at Step V or higher may be of indefinite duration.

Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX will only be granted on evidence of continuing achievement at the level required for advancement to Step VI and usually will not occur after less than three years of service at the lower step. Except in rare and compelling cases,

advancement to Above Scale status will not occur before at least four years of service at Step IX.

#### **278-18 Salary**

- a. The Fiscal Year Salary Scale for the Professor series shall apply, subject to the terms of special salary scales or the Health Sciences Compensation Plan Salary Scales. Salary provisions for Health Sciences Compensation Plan members are outlined in [APM - 670-18](#), Health Sciences Compensation Plan.
- b. Normal periods of service at each step in this series coincide with those of the Professor series as described in [APM - 220-18-b](#).
- c. Typically, a promotion or merit increase is effective July 1.

#### **278-20 Conditions of Employment**

- a. Appointees in this series are not members of the Academic Senate.
- b. Neither tenure nor security of employment is acquired by appointment to a title in this series, regardless of percentage of State funding.

- c. Prior to appointment each candidate's clinical competence shall be reviewed and approved by the Department Chair and/or the Dean as appropriate to the position and to the School. Evidence of clinical competence may be determined by campus guidelines appropriate to the specific discipline. At the discretion of the department, loss of professional license, credentialing, board certification, and/or active medical staff privileges may result in reassignment of duties or termination of appointment for cause under [APM - 150](#), Non-Senate Academic Appointees/Corrective Action and Dismissal.
- d. Expiration of an appointment, layoff, and termination
- (1) [APM - 137](#), Non-Senate Academic Appointees/Term Appointment, applies to this series.
- (2) A Health Sciences Assistant Clinical Professor who, because of the eight- year limitation of service, is not reappointed as a result of a personnel review, may request a written statement of the reasons for non- reappointment. The written request must be made within 30 (thirty) calendar days of the notice of non-reappointment, and a written response shall be made within 60 (sixty) calendar days of the request. The written notice of non-reappointment shall be given to the individual before the specified ending date, whenever possible. However, the appointment will expire on the specified ending date, regardless of whether the notice was provided before the specified ending date.



- (2) Termination of an appointment prior to the specified ending date shall be only for good cause, and in accordance with the provisions of [The Regents Standing Order 103.9](#). When the reason for termination is based on budgetary reasons, lack of work, or programmatic needs, the procedures described in [APM - 145](#), Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time, shall apply. When the reason for termination is for cause, such as misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy, the procedures described in [APM - 150](#), Non-Senate Academic Appointees/Corrective Action and Dismissal, shall apply.
- e. An appointee with a title in this series is eligible for leave with pay under [APM - 758](#), Leaves of Absence/Other Leaves with Pay, when the leave is in the interest of the University and to the extent allowable by the fund source(s) from which the salary is paid.
- f. Appointees with a title in this series are not eligible for sabbatical leave ([APM - 740](#), Leaves of Absence/Sabbatical Leaves).
- g. The Faculty Code of Conduct ([APM - 015](#)) applies to all appointees with titles in this series.

- h. The provisions of [APM - 140](#), Non-Senate Academic Appointees/Grievances concerning grievances of non-Senate academic appointees shall apply to appointees with titles in this series.
  
- i. The provisions of [APM - 145](#), Non-Senate Academic Appointees/Layoff and Involuntary reduction in Time concerning layoff and involuntary reduction in time shall apply to appointees with titles in this series.
  
- j. The provisions of [APM - 150](#), Non-Senate Academic Appointees/Corrective Action and Dismissal concerning corrective action and dismissal shall apply to appointees with titles in this series.

#### 278-24 Authority

The Chancellor has authority to approve academic personnel actions (e.g., appointments, reappointments, merit increases, promotions, and terminations) in this series in accordance with this and other applicable academic personnel policies.

The Chancellor has authority to approve above-scale base salaries up to and including the Indexed Compensation Level threshold. Authority rests with the Provost and Executive Vice President for Academic Affairs to approve base salaries above the Indexed Compensation Level threshold (see APM - 600-4-g).

### 278-80 **Review Procedures**

The general provisions of [APM - 220-80](#), Professor Series, apply to faculty appointed in the Health Sciences Clinical Professor series. The Chancellor, with the advice of the Academic Senate and clinical departments or other units as appropriate, shall develop local review procedures for this series and for all academic personnel actions (e.g., appointment, reappointment, advancement, and termination). Such procedures shall be developed within the guidelines described in [APM - 210-6](#), *Instructions to Review Committees That Advise on Actions Concerning the Health Sciences Clinical Professor Series*.

~~278-4~~ **Definition**

278-0 **Policy**

a. ~~Faculty in the~~The Health Sciences Clinical Professor series ~~are salaried appointees in the health sciences who teach, participate in patient care, and may participate in University and/or public service and scholarly and~~is designed to meet the University's mission in ways that are unique to the health sciences disciplines through teaching, scholarly or creative activity, professional activity, and University and public service. Health Sciences Clinical Professor series faculty make substantial contributions to the University through excellence in teaching, clinical expertise, scholarly or creative activities~~achievement, and engagement in service.~~

278-4 **Definition**

Faculty in the Health Sciences Clinical Professor series teach the application of basic sciences ~~and~~ the mastery of clinical procedures~~in all areas concerned with the, and other health science topics to students, postdoctoral scholars, fellows, interns, residents, and other clinicians in all academic disciplines concerned with patient care~~of patients, including dentistry, medicine, nursing, optometry, pharmacy, physician assistant studies, psychology, veterinary medicine, the allied health professions, and

~~other patient care professions.~~health care professions. Health Sciences Clinical Professor series faculty engage in scholarly or creative activities which derive from and support their primary responsibilities in clinical teaching and professional and service activities.

The Health Sciences Clinical Professor series is ~~separated~~distinct from the ~~volunteer~~Volunteer Clinical Professor series, ~~which that~~ is governed by ~~APM - 279.~~APM - 279, Volunteer Clinical Professor Series. University-paid staff physicians and staff clinicians and other clinicians and physicians practicing at non-UC-affiliated sites with teaching responsibilities may be appointed to titles in the Volunteer Clinical Professor series under APM - 279. University-paid staff physicians and staff clinicians and other clinicians and physicians practicing at UC-affiliated facilities without teaching responsibilities may be appointed to the Clinical Associate title under APM - 350, Clinical Associate.

278-8 **Types of Appointment**

~~b.~~ Faculty in the Health Sciences Clinical Professor series may serve the University on a full -time, or part -time, basis and may be appointed with or without salary.

~~e.—Concurrent without salary appointments~~

~~A concurrent without salary An appointment in the Health Sciences Clinical Professor series without salary at the University may be made for an appointee who is employed by the University as a staff physician or clinician, or for an individual who 1) holds a without salary or salaried clinical appointment paid by an institution with which the University has a formal affiliation agreement. ~~The Chancellor, with the advice of the clinical departments, may establish separate review procedures and, within the limits of APM—210-6, separate criteria for these appointees. For example, the Chancellor may decide that the campus will conduct only promotion reviews for this group. (a UC-affiliated facility), and 2) meets the criteria for appointment in this series as described in section 278-10.~~~~

~~When an individual's salaried appointment ends, the without salary appointment in the Health Sciences Clinical Professor series also will end automatically.~~

~~Without salary appointments in this series are to be distinguished from appointments in the volunteer Clinical Professor series (APM—279), which are for practitioners from the community and at other non-affiliated sites.~~

~~d.—Health Sciences Clinical Professor titles are supported primarily by non-State funds, as defined in APM—190, Appendix F (footnote 1), although under certain conditions, State funds may be used (see APM—278-16 a).~~

~~278-8~~ Types of Appointment

~~a.~~ Titles (and ranks) in this series are:

~~(1)~~ Health Sciences Clinical Instructor

(2) Health Sciences Assistant Clinical Professor

(3) Health Sciences Associate Clinical Professor

(4) Health Sciences Clinical Professor

b. An *appointment* (as distinguished from a promotion) ~~occurs when an individual~~  
~~is employed into~~ one of the four ranks listed above; occurs if the individual's  
immediately previous status was:

(1) not in the employ of the University; or

(2) in the employ of the University but not in this series; or

(3) moving from Health Sciences Clinical Instructor to Health Sciences

Assistant Professor.

- c. A *change of series* is a type of new appointment for an individual whose last appointment was within the University of California, usually in a faculty title. A change of series may occur because an individual's duties change. A regular academic review is required for this action. A competitive ~~affirmative action~~ search may or may not be required; (see APM - 278-16-b).
- d. A *promotion* is ~~an~~ advancement within this series from ~~one rank to a higher rank~~ Assistant to Associate and Associate to Professor.
- e. A *merit increase* is ~~an~~ advancement in salary step or to an above-scale salary rate without a change in rank (see ~~APM - 615~~ APM - 610, Salary Increases).
- f. A *reappointment* is the renewal of an appointment in this series immediately following the end date of the previous appointment (i.e., without a break in service). A reappointment may or may not be accompanied by a promotion or a merit increase.



278-10 **Criteria**

A candidate for appointment or advancement in this series shall be evaluated ~~using~~ by the following ~~criteria specified below. The criteria, which~~ shall be appropriately weighted ~~to take into account this series' according to the~~ primary emphasis on ~~direct~~ clinical and clinically-relevant teaching and patient care services and ~~clinical~~ teaching. See APM 210-6 also according to the needs of the campus and the individual's responsibilities in the specific discipline. The Dean's or the Department Chair's recommendation letter placed in the dossier shall document the faculty member's expected balance of activities and shall be shared with the faculty member. The four criteria are:

~~The criteria are:~~

a. Teaching

~~ab.~~ Professional competence and activity

~~b.~~ Teaching

c. ~~University and public service are desirable and encouraged to the extent required by campus guidelines~~ Scholarly or creative activity

- d. ~~Research and creative work are desirable and encouraged to the extent required~~  
University and public service  
~~by campus guidelines~~

These criteria and standards are set forth in ~~APM-210-6~~, APM - 210-6, *Instructions to Review Committees ~~Which~~ That Advise on Actions Concerning the Health Sciences Clinical Professor Series.*

#### 278-16 **Restrictions**

a. Funding

- (1) ~~For Health Sciences Compensation Plan members, no~~ No State funds shall be used for any salary above the ~~rate associated with the faculty member's~~  
Scale 0 rate associate with Health Sciences Compensation Plan participant's rank and step on the Fiscal Year Salary Scale. Any compensation above the Fiscal Year Salary Scale 0 shall be funded using Health Sciences Compensation Plan funds and/or other non-State funds in compliance with any relevant fund source restrictions as outlined in ~~APM-670~~, APM - 670-18, Health Sciences Compensation Plan, ~~Section IV A, B, and C.~~

~~The Chancellor may develop guidelines on the locally appropriate use of State and non-State funds to support appointments in this series, within the restrictions on fund sources stated in the Health Sciences Compensation Plan and the restrictions given below in (2) and (3).~~

~~(2) In a school or equivalent unit where all appointees in this series have appointments of one year or less, funding equivalent to the Fiscal Year Salary Scale rate for the appointee's rank and step may come from State funds or from other sources. The Chancellor shall notify these faculty that the use of State funds for these appointments does not indicate any commitment of tenure or security of employment. For such appointments, which may be renewed, there is no time limit on the use of State funding.~~

~~(3) Limits on State funding for Schools not covered by (2) above.~~

~~In a school or equivalent unit where appointees in this series do not all have appointments of one year or less, the following restrictions apply for any individual who has an appointment at 50 percent time or more. At least 50 percent of funding equivalent to the Fiscal Year Salary Scale rate~~

~~for the rank and step of an appointee shall come from sources other than State funds. However, in exceptional circumstances, the Chancellor is authorized to use State funds for 50 percent or more of an individual's Fiscal Year Salary Scale rate for the specific rank and step for no more than 8 (eight) years. This limit on State funding applies to service for an individual over the course of his or her University career in all ranks in this series combined. Such an exception, in combination with service in any other State funded appointment in those titles specified in APM 133-0 b and c, shall not exceed eight years.~~

~~Appointments in the Health Sciences Clinical Professor series at less than 50 percent time may be supported by State funds with no limit on the duration of the use of State funding.~~

b. Change of series of appointees to other titles

An appointee in the Health Sciences Clinical Professor series may ~~be appointed~~ change to another academic or professorial series following academic review. A competitive to the Professor series, the Professor in Residence series, or the Professor of Clinical (e.g., Medicine) series only after a competitive affirmative action search and review by the appropriate Senate committee. ~~In exceptional~~

~~circumstances, the search may or may not be required. The~~ Chancellor may grant  
~~an exception to a waiver of~~ the search requirement in exceptional circumstances.

c. Appointees at affiliated institutions

~~The Chancellor may approve \_\_\_\_\_ In the transfer case~~ of an appointee in  
the Health Sciences Clinical Professor series ~~to the Adjunct Professor series with~~  
~~the individual's consent, the recommendation of the department, and a regular~~  
~~academic review, who holds an appointment at an affiliated institution, the~~  
continuation of the academic appointment is contingent upon the continuation of  
the faculty member's appointment at the affiliated institution. In the case of an  
appointee in the Health Sciences Clinical Professor series who is partially paid by  
the affiliate and UC, the UC appointment may continue if the appointment at the  
affiliate ends.

278-17 **Terms of Service**

An appointment in the Health Sciences Clinical Professor series shall have a  
specified ending date. Written notice of the appointment or reappointment shall  
follow the provisions of ~~APM 137-17. In addition, the written notice shall include~~  
~~any funding requirements for continuing the appointment and reappointment.~~ APM -

137-17, Non-Senate Academic Appointees/Term Appointment. Typically, the effective date of an appointment will coincide with the University's fiscal year (July 1 through June 30). See APM - 220, Professor Series for general academic personnel policy regarding appointment and promotion.

~~a.~~ Health Sciences Clinical Instructor

At this rank, an initial appointment is limited to ~~a one-year term but may be for a shorter term or less.~~ Total ~~University~~ service as a Health Sciences Clinical Instructor paid by the University or paid by an affiliated institution may not exceed two years. The Chancellor may grant an exception to the two-year limit.

~~b.~~ Health Sciences Assistant Clinical Professor

Each appointment and reappointment at this rank is limited to ~~a maximum term of one year or less. The normal period of service is~~ two years ~~but may be for a shorter term at each step.~~ Total University service at more than 50 percent time in this title, combined with service at more than 50 percent time in any of those titles listed in ~~APM-133-0-b-~~

~~and e~~APM - 133-0-b and -c, Limitation on Total Period of Service with Certain Academic Titles, may not exceed eight years of service. ~~The Chancellor may grant an exception to the eight-year limit.~~

~~In computing the years of service for a Health Sciences Assistant Clinical Professor, only~~Only those quarters or semesters at more than 50 percent time in a ~~UC~~University-paid or affiliate-paid faculty position will count toward the eight-year limit. Faculty holding a without salary Health Sciences Clinical Professor series appointment along with a salaried appointment at an affiliated institution at more than 50 percent time may not exceed eight years of service unless the Chancellor grants an exception to the eight-year limit for these appointees.

There is no eight-year limit for ~~an individual who holds a without salary Health Sciences Assistant Clinical Professor appointment, along with a salaried clinical appointment paid by an affiliated institute, or along with a University staff~~title individuals holding an appointment at 50 percent or less time, whether salaried or without salary, unless the Chancellor establishes ~~an eight-year~~such a limit.

~~e.~~ Health Sciences Associate Clinical Professor and Health Sciences Clinical Professor

~~For~~Each appointment and reappointment at this rank is limited to a term of one year or less until the faculty member reaches Step VI. The normal period of service is two years at each step for a Health Sciences Associate Clinical Professor (Steps I, II, and III), ~~each appointment. The normal period is limited to a maximum of two of service is three~~ years. ~~For~~ at each step for a Health Sciences Associate Clinical Professor (Steps IV and V) and for a Health Sciences Clinical Professor, ~~each appointment period is limited to a maximum of three years. An individual may be reappointed for successive terms, for example, as Associate Professor Step V, but each reappointment period is limited to a maximum of three years. These appointments may be made for a shorter term.~~

~~Normally, the effective date of an appointment will coincide with the University's fiscal year (July 1 through June 30). Normally, a promotion. Service at Step V or higher may be of indefinite duration. Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX will only be granted on evidence of continuing achievement at the level required for advancement to Step VI and usually will not occur after less than three years of service at the lower step. Except in rare and compelling cases, merit increase is effective July 1. See APM 220 for general academic personnel policy regarding appointment and promotion. Advancement to Above Scale status will not occur before at least four years of service at Step IX.~~



278-18 **Salary**

- a. The ~~academic salary scales~~ Fiscal Year Salary Scale for the ~~regular~~ Professor series shall apply, subject to the terms of special salary scales or the Health Sciences Compensation Plan Salary Scales. Salary provisions for Health Sciences Compensation Plan members are outlined in ~~APM - 670;~~ APM - 670-18, Health Sciences Compensation Plan, ~~Section IV - A, B, C.~~
  
- ~~b.~~ Normal periods of service at each step in this series coincide with those of the Professor series as described in ~~APM - 220-18 b~~ APM - 220-18-b.
  
- b. Typically, a promotion or merit increase is effective July 1.

278-20 **Conditions of Employment**

- a. Appointees in this series are not members of the Academic Senate.
  
- ~~b-a.~~ Neither tenure nor security of employment is acquired by appointment to a title in this series, regardless of percentage of State funding.

~~Unless not required for the position, appointees in the Health Sciences Clinical Professor series must possess and maintain an appropriate valid license and active membership as a Medical Staff member, or equivalent. Loss of license-~~

c. Prior to appointment each candidate's clinical competence shall be reviewed and approved by the Department Chair and/or the Dean as appropriate to the position and to the School. Evidence of clinical competence may be determined by campus or active Medical Staff \_\_\_\_\_ guidelines appropriate to the specific discipline. At the discretion of the department, loss of professional license, credentialing, board certification, and/or active medical staff privileges will may result in, at department discretion, reassignment of duties or termination of appointment for cause under ~~APM-150.d~~ APM - 150, Non-Senate Academic Appointees/Corrective Action and Dismissal.

~~e-b.~~ Expiration of an appointment, layoff, and termination:

- (1) ~~APM-137,~~ APM - 137, Non-Senate Academic Appointees/Term Appointment, applies to this series.
- (2) A Health Sciences Assistant Clinical Professor who, because of ~~an~~ the eight-year limitation of service, is not reappointed as a result of a personnel review, may request a written statement of the reasons for non-reappointment. The written request must be made within 30 (thirty)

calendar days of the notice of non-reappointment, and a written response shall be made within 60 (sixty) calendar days of the request. The written notice of non-reappointment shall be given to the individual before the specified ending date, whenever possible. However, the appointment will expire on the specified ending date, regardless of whether the notice was provided before the specified ending date.

~~(3)~~ Termination of an appointment prior to the specified ending date shall be only for good cause, and in accordance with the provisions of ~~Section~~The Regents Standing Order 103.9. 403.9 of the Standing Orders of The Regents. When the reason for termination is based on budgetary reasons, lack of work, or programmatic needs, the procedures described in ~~APM—145, APM - 145,~~ Non-Senate Academic Appointees/Layoff and Involuntary Reduction in Time, shall apply. When the reason for termination is for cause, such as misconduct, unsatisfactory work performance, dereliction of duty, or violation of University policy, the procedures described in ~~APM—150, APM - 150,~~ Non-Senate Academic Appointees/Corrective Action and Dismissal, shall apply.

- e. An appointee with a title in this series is eligible for leave with pay under ~~APM—758~~APM - 758, Leaves of Absence/Other Leaves with Pay, when the leave is in the interest of the University and to the extent allowable by the fund source(s)

from which the salary is paid. ~~When an appointee's base salary is supported wholly or partially by State funds, the leave will be proportionately supported by State funds.~~

- f. Appointees with a title in this series are not eligible for sabbatical leave (~~APM - 740~~) APM - 740, Leaves of Absence/Sabbatical Leaves.
- g. The Faculty Code of Conduct (~~APM - 015~~) APM - 015 applies to all appointees with titles in this series. ~~The Chancellor may develop procedures for the application of the Faculty Code of Conduct.~~
- h. The provisions of ~~APM - 140~~) APM - 140, Non-Senate Academic Appointees/Grievances concerning grievances of non-Senate academic appointees shall apply to appointees with titles in this series.
- i. The provisions of ~~APM - 145~~) APM - 145, Non-Senate Academic Appointees/Layoff and Involuntary reduction in Time concerning layoff and involuntary reduction in time shall apply to appointees with titles in this series.
- j. The provisions of ~~APM - 150~~) APM - 150, Non-Senate Academic Appointees/Corrective Action and Dismissal concerning corrective action and dismissal shall apply to appointees with titles in this series.

278-24 **Authority**

The Chancellor has authority to approve academic personnel actions (e.g., appointments, reappointments, merit increases, promotions, and terminations) in this series in accordance with this and other applicable academic personnel policies.

The Chancellor has authority to approve above-scale base salaries up to and including the ~~Regental compensation threshold. For salaries beyond the Regental compensation threshold, authority rests with The Regents on recommendation of the President,~~ Indexed Compensation Level threshold. Authority rests with the Provost and Executive Vice President for Academic Affairs to approve base salaries above the ~~after appropriate review and as prescribed in Section 101.2(a)(1) of the Standing Orders of The Regents.~~ Indexed Compensation Level threshold (see APM - 600-4-g).

278-80 **Review Procedures**

The general provisions of ~~APM—220-80~~APM - 220-80, Professor Series, apply to ~~appointees~~faculty appointed in the Health Sciences Clinical Professor series. The Chancellor, with the advice of the Academic Senate and clinical departments or other units as appropriate, shall develop local review procedures for this series and for all academic personnel actions (e.g., appointment, reappointment, ~~promotion~~advancement, and termination). Such procedures shall be developed within the guidelines described in APM - 210-6, Instructions to Review Committees That Advise on Actions Concerning the Health Sciences Clinical Professor Series.

**210-6 Instructions to Review Committees That Advise on Actions Concerning the  
Health Sciences Clinical Professor Series**

- a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The instructions below apply to review committees for actions concerning appointees in the Health Sciences Clinical Professor series. The committee should refer to APM - 278 for policy on the Health Sciences Clinical Professor series.
  
- b. The review committee shall evaluate the candidate with respect to proposed rank and duties, considering the record of the candidate's performance in (1) teaching (2) professional competence and activity (3) scholarly or creative activity, and (4) University and public service. Activities in items (3) and (4) are derived from their primary responsibilities in clinical teaching and professional service activities (see APM - 278-4 and -10) and thus shall be appropriately weighted and broadly defined to take into account the primary emphasis on clinical teaching and patient care services. Candidates for promotion should demonstrate substantial growth and accomplishment in their area of expertise.

The Dean or Department Chair is responsible for documenting the faculty member's division of effort among the four areas of activity; this written recommendation letter shall be placed in the dossier and shall be shared with the faculty member. The Chair should also indicate the appropriateness of this division to the position that the individual fills in the department, school, or clinical teaching faculty.

Appointees in the Health Sciences Clinical Professor series shall be evaluated in relation to the nature and time commitments of their University assignments. Faculty with part-time appointments are expected to show the same quality of performance as full-time appointees, but the amount of activity may be less.

Clinical teaching, professional activity, and scholarly or creative activity may differ from standard professorial activities in the University, and may therefore be evaluated on the basis of professional competence, intellectual contribution, and originality.

- c. Letters of evaluation from internal reviewers are required for health care professionals in the Health Sciences Clinical Professor series being considered for appointment or promotion to the Associate Professor or Professor ranks, as well as for advancement to Step VI or to Above Scale status. Although letters of evaluation from external reviewers may not be required for faculty in the Health Sciences Clinical Professor series who are being considered for appointment or



promotion to the Associate Professor or Professor ranks, they may be useful to document other health care professionals' recognition of the candidate's achievement in professional competence and activity. Letters of evaluation are required from external reviewers and from advanced clinical students and former students now in academic positions or clinical practice for appointment or advancement to Step VI and to Above Scale status for all faculty in the Health Sciences Clinical Professor series. If adequate information is not included in the materials sent forward by the Department Chair, it is the review committee's responsibility to request such information through the Chancellor.

If, in assessing all evidence obtained, the candidate fails to meet the criteria set forth below, the committee should recommend accordingly. If, on the other hand there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement.

The criteria set forth below are intended to serve as guidelines for the review committee in judging the candidate, not as boundaries for the elements of performance that may be considered. See section 210-6-d below for more details on reviews for advancement to Health Sciences Clinical Professor Step VI and for Above Scale status.

(1) **Teaching**

Teaching is a required duty of Health Sciences Clinical Professor series faculty. Before making an initial appointment to this series, the review committee should evaluate the candidate's potential to be an effective teacher and mentor. Evidence of excellence in clinical or clinically-relevant teaching is essential for advancement in this series. Teaching must include registered University of California students and/or University interns, residents, fellows, and postdoctoral scholars. Normally teaching in the clinical setting comprises intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by multiple demands on the teacher to cope with unpredictably varied problems, patient needs, and the necessity of preparing the students to exercise judgment and/or take action. Nevertheless, the criteria suggested for evaluating teaching in the Professor series are applicable to Health Sciences Clinical Professor series faculty:

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following:  
the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness

of the relationship of the subject to other fields of knowledge;  
fostering of student independence and capability to reason;  
spirit and enthusiasm which vitalize the candidate's learning  
and teaching; ability to arouse curiosity in beginning students,  
to encourage high standards, and to stimulate advanced students  
to creative work; personal attributes as they affect teaching and  
students; extent and skill of the candidate's participation in the  
general guidance, mentoring, and advising of students;  
effectiveness in creating an academic environment that is open  
and encouraging to all students, including development of  
particularly effective strategies for the educational advancement  
of students in various underrepresented groups. (For the full  
statement on criteria for evaluating teaching in the Professor series,  
see APM - 210-1-d (1).)

In addition, the clinical teacher should be successful in applying  
knowledge of basic health science and clinical procedures to the diagnosis,  
treatment, and care of a patient that will assure the best educational  
opportunity for the student, and will also provide the highest quality care for  
the patient. Dossiers for advancement and promotion normally will include  
evaluations and comments solicited from students and trainees.

For initial appointment to the Health Sciences Assistant Clinical Professor title, the candidate may have a record of active teaching of health sciences professional students, graduate students, residents, postdoctoral scholars, fellows, and/or continuing education students. Appointments may also be made based on the promise of teaching excellence when appropriate.

For appointment or promotion to the Health Sciences Associate Clinical Professor title, demonstrated excellence in teaching and mentoring is essential. Evidence typically includes teaching evaluations or the receipt of teaching awards. Other evidence may include invitations to present Grand Rounds, seminars, lectures, or courses at the University of California or at other institutions, by participation in residency review committees, programs sponsored by professional organizations, recertification courses or workshops, peer evaluation, or by documentation of activity as a role model or mentor.

For appointment or promotion to the Health Sciences Clinical Professor title, the appointee should be recognized by sustained or continued excellence as a clinical teacher and/or mentor. Evidence typically includes teaching evaluations or the receipt of teaching awards. Other evidence may include invitations to present Grand Rounds, seminars, lectures, or courses at the University of California or at other institutions, by participation in residency review committees, programs sponsored by professional

programs, recertification courses or workshops, peer evaluation, or documentation of activity as a role model or mentor.

(2) **Professional Competence and Activity**

The evaluation of professional competence and activity generally focuses on clinical expertise or achievement and the quality of patient care. A demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be reviewed for evidence of achievement, leadership, and/or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems. The review committee should judge the significance and quantity of clinical achievement and contribution to the profession. In many cases, evidence of clinical achievement will be testimonial in nature. An individual's role in the organization or direction of training programs for health professionals and the supervision of health care facilities and operations may provide evidence of exemplary professional activity; in decisions bearing on academic advancement, these activities should be recognized as important contributions to the mission of the University.

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate, as well as the likelihood that the candidate will be a competent teacher, develop an excellent professional practice, and have the potential to make contributions to the clinical activities of the academic department and to the mission of the University.

In addition to proven excellence in teaching and/or mentoring, creative contributions, and meritorious service, a candidate for appointment or promotion to the rank of Health Sciences Associate Clinical Professor or Health Sciences Clinical Professor in this series should show evidence of distinguished clinical and professional expertise. Such evidence may include, but is not limited to, evaluations that demonstrate:

- provision of high-quality patient care
- a high level of competence in a clinical specialty
- expanded breadth of clinical responsibilities
- significant participation in the activities of clinical and/or professional groups
- reputation as an outstanding referral health-care provider
- effective development, expansion, or administration of a clinical service; or

- recognition or certification by a professional group.

(3) **Scholarly or Creative Activity**

The review committee should evaluate scholarly or creative activity from the perspective that these activities are generally derived from clinical teaching and professional service activities. Evidence of scholarly or creative activity should be evaluated in the context of the candidate's academic responsibilities and the time available for creative activity.

Candidates in this series may be involved in clinical research programs; many may demonstrate a creative or scholarly agenda in other ways that are related to the specific discipline and clinical duties. Campus guidelines may include separate requirements or expectations for various schools or departments.

In order to be appointed or promoted to the Associate Professor or Professor rank in this series, the individual's record must demonstrate contributions to scholarly, creative, or administrative activities. Evidence may include, but is not limited to, the following examples of such activity: participation in platform or poster presentations at local, regional, or national meetings; development of or contributions to educational curricula; development of or contributions to administration of a teaching program; participation in the advancement of professional education; 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 or other disciplinary information systems; participation in the advancement of university professional practice programs; development of or contributions to community-oriented programs; or development of or contributions to community outreach or informational programs.

(4) **University and Public Service**

The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public, with particular attention paid to service which is directly related to the candidate's professional expertise and achievement. There may be overlap between guidelines for service and other criteria for evaluation (professional activity and scholarly or creative activity). However, the review committee should assess the evidence from the perspective of the candidate's unique contributions to the discipline and assign the evidence to the appropriate category. Campus guidelines may include separate requirements or expectations for various schools or departments.



Evidence of achievement in this area is demonstrated by participation in University, campus, school, department, and hospital or clinic committees; election to office or other service to professional, scholarly, scientific, educational, and governmental agencies and organizations, and service to the community and general public which relates to the candidate's professional expertise in health, education, scholarly or creative activity, and practice.

For initial appointment to the Health Sciences Assistant Clinical Professor rank, the candidate should be evaluated for the likelihood of participation in department activities and the potential for service to the University.

For appointment or promotion to the Health Sciences Associate Clinical Professor rank, University and public service may be demonstrated by active participation on committees or task forces within the program, department, school, campus, or University; or by service to local, regional, state, national, or international organizations through education, consultation, or other roles.

For appointment or promotion to the Health Sciences Clinical Professor rank, service may be demonstrated by awards from the University, or local, regional, national, or international organizations; or appointment to administrative positions within the University such as program director,

residency director, or chair of a committee. Service as officer or committee chair in professional and scientific organizations or on editorial boards of professional or scientific organizations is also considered.

d. Advancement to Health Sciences Clinical Professor, Step VI and Above Scale  
Status

(1) Advancement to Step VI

The normal period of service is three years in each of the first four steps.

Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur before at least three years of service at Step V;

it involves an overall career review and may be granted on evidence of sustained and continuing excellence in the following categories:

(1) teaching, (2) professional competence and activity, (3) scholarly or creative achievement, and (4) service. Above and beyond that, great

distinction in academic health sciences, recognized at least regionally, will

be required in teaching and professional competence and activity. Service at

Step V or higher may be of indefinite duration. Advancement from Step VI

to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX

usually will not occur before at least three years of service at the lower step,

and will only be granted on evidence of continuing achievement at the level

for advancement to Step VI.

(2) Advancement to Above Scale Status

Advancement to Above Scale status 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 at least national 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 IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A further merit increase in salary for a faculty member already serving at an Above Scale salary level must be justified by new evidence of merit and distinction. 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 shorter intervals be approved.

210-24 **Authority**

The responsibility to nominate and the authority to appoint review committees shall

be in accordance with the stipulations set forth in the Academic Personnel Manual  
Sections concerning the respective title series.

210-6 **Instructions to Review Committees ~~Which~~That Advise on Actions Concerning the Health Sciences Clinical Professor Series**

- a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The instructions below apply to review committees for actions concerning appointees in the Health Sciences Clinical Professor series. The committee should refer to APM - 278 for ~~polices~~policy on the Health Sciences Clinical Professor series.
  
- b. The review committee shall evaluate the candidate with respect to proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) professional competence and activity,~~(2) teaching,~~ (3) scholarly or creative activity, and (4) University and public service,~~and (4) research and creative work.~~ Activities in items (3) and (4) are ~~desirable and encouraged to the extent required by campus guidelines. See derived from their primary responsibilities in clinical teaching and professional service activities (see APM - 278-4 and -10) and thus shall be appropriately weighted and broadly defined to take into account the primary emphasis on clinical teaching and patient care services. Candidates for promotion should demonstrate substantial growth and accomplishment in their area of expertise. See APM - 278-10 c and d.~~

~~For appointments, the chair shall provide a description of the proposed allocation of the candidate's time in the areas of activity. For advancement, the chair shall document~~ The Dean or Department Chair is responsible for documenting the faculty member's ~~allocation~~division of effort among the four areas of activity; this written recommendation letter shall be placed in the dossier and shall be shared with the faculty member. The ~~chair~~Chair should also indicate the appropriateness of this ~~allocation~~division to the position that the individual ~~holds~~fills in the department, school, or clinical teaching faculty.

Appointees in the Health Sciences Clinical Professor series shall be evaluated in relation to the nature and ~~the allocation of~~ time commitments of their University assignments. Faculty with part-time appointments are expected to show the same quality of performance as full-time appointees, but the amount of activity may be less.

Clinical teaching, professional activity, and scholarly or creative activity may differ from standard professorial activities in the University, and may therefore be evaluated on the basis of professional competence, intellectual contribution, and originality.

- c. Letters of evaluation from internal reviewers are required for health care professionals in the Health Sciences Clinical Professor series being considered for appointment or promotion to the Associate Professor or Professor ranks, as well as for advancement to Step VI or to Above Scale status. Although letters of evaluation from external reviewers may not be required for

faculty in the Health Sciences Clinical Professor series who are being considered for appointment or promotion to the Associate Professor or Professor ranks, they may be useful to document other health care professionals' recognition of the candidate's achievement in professional competence and activity. Letters of evaluation are required from external reviewers and from advanced clinical students and former students now in academic positions or clinical practice for appointment or advancement to Step VI and to Above Scale status for all faculty in the Health Sciences Clinical Professor series. If adequate information is not included in the materials sent forward by the Department Chair, it is the review committee's responsibility to request such information through the Chancellor.

If, in assessing all evidence obtained, the candidate fails to meet the criteria set forth below, the committee should recommend accordingly. If, on the other hand there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement.

The criteria set forth below are intended to serve as guidelines for the review committee in judging the candidate, not as boundaries for the elements of performance that may be considered. See section 210-6-d below for more details on reviews for advancement to Health Sciences Clinical Professor Step VI and for Above Scale status.

#### **Professional Competence and Activity**

~~The evaluation of professional competence and activity generally focuses~~

~~on the quality of patient care.~~

~~A demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be reviewed for evidence of achievement, leadership, or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems.~~

a. ~~Professional Practice~~

~~For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate and the likelihood that the candidate will be a competent teacher and develop an excellent professional practice.~~

~~In addition to proven competence in teaching, a candidate for appointment or promotion to the rank of Health Sciences Associate Clinical Professor or Health Sciences Clinical Professor in this series should show evidence of excellence in professional practice. Such evidence may include, but is not limited to, evaluations that demonstrate:~~

- ~~• provision of high quality patient care;~~
- ~~• a high level of competence in a clinical specialty;~~
- ~~• expanded breadth of clinical responsibilities;~~



- ~~• significant participation in the activities of clinical and/or professional groups;~~
- ~~• effective development, expansion, or administration of a clinical service;~~
- ~~or~~
- recognition or certification by a professional group.

~~The review committee should judge the significance and quantity of clinical achievement and contribution to the profession. In many cases, evidence of clinical achievement will be testimonial in nature.~~

~~(b) Professional Activity~~

~~An individual's role in the organization of training programs for health professionals and the supervision of health care facilities and operations may provide evidence of exemplary professional activity. In decisions bearing on academic advancement, these activities should be recognized as important contributions to the mission of the University.~~

**(2) Teaching**

Teaching is a required duty of ~~clinical~~Health Sciences Clinical Professor series faculty. Before making an initial appointment to this series, the review committee should evaluate the candidate's potential to be an effective teacher and mentor. Evidence of excellence in clinical or clinically-relevant teaching is essential for advancement in this series. Teaching ~~may involve~~must include registered University of California students, ~~house~~staff and/or University interns, residents, fellows, and postdoctoral scholars. Normally teaching in the clinical setting comprises intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by multiple demands on the teacher to cope with unpredictably varied problems, patient needs, and the necessity of preparing the students to exercise judgment and/or take action. Nevertheless, the criteria suggested for evaluating teaching in the ~~regular~~ Professor series are applicable to Health Sciences Clinical Professor series faculty:

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; ~~---~~capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm

## APPOINTMENT AND PROMOTION

APM - 210

### Review and Appraisal Committee

DRAFT

which vitalize the candidate's learning and teaching;  
ability to arouse curiosity in beginning students,  
to encourage high standards, and to stimulate advanced  
students to creative work; personal attributes as they  
affect teaching and students; extent and skill of the  
candidate's participation in the general guidance,  
mentoring, and advising of students; effectiveness in  
creating an academic environment that is open and  
encouraging to all students.—(including development of  
particularly effective strategies for the educational  
advancement of students in various underrepresented groups.  
(For the full statement on criteria for evaluating teaching in the  
Professor series, see APM - 210-1-d(1).))

In addition, the clinical teacher should be successful in applying  
knowledge of basic health science and clinical procedures to the diagnosis, treatment,  
and care of a patient that will ~~not only~~ assure the best  
educational opportunity for the student, ~~but~~ and will also provide the highest quality  
care for the patient.

Dossiers for advancement and promotion normally will include  
evaluations and comments solicited from students and trainees.

For initial appointment to the Health Sciences Assistant Clinical Professor title, the candidate may have a record of active teaching of health sciences professional students, graduate students, residents, postdoctoral scholars, fellows, and/or continuing education students. Appointments may also be made based on the promise of teaching excellence when appropriate.

For appointment or promotion to the Health Sciences Associate Clinical Professor title, demonstrated excellence in teaching and mentoring is essential. Evidence typically includes teaching evaluations or the receipt of teaching awards. Other evidence may include invitations to present Grand Rounds, seminars, lectures, or courses at the University of California or at other institutions, by participation in residency review committees, programs sponsored by professional organizations, recertification courses or workshops, peer evaluation, or by documentation of activity as a role model or mentor.

For appointment or promotion to the Health Sciences Clinical Professor title, the appointee should be recognized by sustained or continued excellence as a clinical teacher and/or mentor. Evidence typically includes teaching evaluations or the receipt of teaching awards. Other evidence may include invitations to present Grand Rounds, seminars, lectures, or courses at the University of California or at other institutions, by participation in residency review committees, programs sponsored by professional

programs, recertification courses or workshops, peer evaluation, or documentation of activity as a role model or mentor.

**(2) Professional Competence and Activity**

The evaluation of professional competence and activity generally focuses on clinical expertise or achievement and the quality of patient care. A demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be reviewed for evidence of achievement, leadership, and/or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems. The review committee should judge the significance and quantity of clinical achievement and contribution to the profession. In many cases, evidence of clinical achievement will be testimonial in nature. An individual's role in the organization or direction of training programs for health professionals and the supervision of health care facilities and operations may provide evidence of exemplary professional activity; in decisions bearing on academic advancement, these activities should be recognized as important contributions to the mission of the University.

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate, as well as the likelihood that the candidate will be a competent teacher, develop an excellent professional practice, and have the potential to make contributions to the clinical activities of the academic department and to the mission of the University.

In addition to proven excellence in teaching and/or mentoring, creative contributions, and meritorious service, a candidate for appointment or promotion to the rank of Health Sciences Associate Clinical Professor or Health Sciences Clinical Professor in this series should show evidence of distinguished clinical and professional expertise. Such evidence may include, but is not limited to, evaluations that demonstrate:

- provision of high-quality patient care
- a high level of competence in a clinical specialty
- expanded breadth of clinical responsibilities
- significant participation in the activities of clinical and/or professional groups
- reputation as an outstanding referral health-care provider
- effective development, expansion, or administration of a clinical service; or
- recognition or certification by a professional group.

(3) Scholarly or Creative Activity

The review committee should evaluate scholarly or creative activity from the perspective that these activities are generally derived from clinical teaching and professional service activities. Evidence of scholarly or creative activity should be evaluated in the context of the candidate's academic responsibilities and the time available for creative activity. Candidates in this series may be involved in clinical research programs; many may demonstrate a creative or scholarly agenda in other ways that are related to the specific discipline and clinical duties. Campus guidelines may include separate requirements or expectations for various schools or departments.

In order to be appointed or promoted to the Associate Professor or Professor rank in this series, the individual's record must demonstrate contributions to scholarly, creative, or administrative activities. Evidence may include, but is not limited to, the following examples of such activity: participation in platform or poster presentations at local, regional, or national meetings; development of or contributions to educational curricula; development of or contributions to administration of a teaching program; participation in the advancement of professional education; 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 or other disciplinary information systems; participation in the advancement of university professional practice programs;

development of or contributions to community-oriented programs; or development of or contributions to community outreach or informational programs.

**(34) University and Public Service**

The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public to the extent required by campus guidelines-, with particular attention paid to service which is directly related to the candidate's professional expertise and achievement.

There may be overlap between guidelines for service and other criteria for evaluation (professional activity and scholarly or creative activity). However, the review committee should assess the evidence from the perspective of the candidate's unique contributions to the discipline and assign the evidence to the appropriate category.

Campus guidelines may include separate requirements or expectations for various schools or departments.

~~(4) Research and Creative Work~~

Evidence of achievement in this area is demonstrated by participation in University, campus, school, department, and hospital or clinic committees; election to office or other service to professional, scholarly, scientific, educational, and governmental agencies and organizations, and service to the community and general public which relates to the candidate's professional expertise in health, education, scholarly or creative activity, and practice.



~~The review committee should evaluate research and creative work, to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for different schools or departments.~~

For initial appointment to the Health Sciences Assistant Clinical Professor rank, the candidate should be evaluated for the likelihood of participation in department activities and the potential for service to the University.

~~Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. As a general rule, for appointment and promotion at the level of Health Sciences Associate Clinical Professor, faculty may demonstrate local or regional recognition for their clinical. For appointment or promotion to the Health Sciences Associate Clinical Professor rank, University and public service may be demonstrated by active participation on committees or task forces within the program, department, school, campus, or University; or by service to local, regional, state, national, or international organizations through education, consultation, or other roles.~~

~~and teaching activities. For advancement to the Health Sciences Clinical Professor rank, faculty may demonstrate a regional or national reputation and should demonstrate highly distinguished clinical expertise, highly meritorious service, and excellence in teaching.~~

For appointment or promotion to the Health Sciences Clinical Professor rank, service may be demonstrated by awards from the University, or local, regional, national, or international organizations; or appointment to administrative positions within the University such as program director, residency director, or chair of a committee. Service as officer or committee chair in professional and scientific organizations or on editorial boards of professional or scientific organizations is also considered.

d. Advancement to Health Sciences Clinical Professor, Step VI and Above Scale

Status

(1) Advancement to Step VI

The normal period of service is three years in each of the first four steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur before at least three years of service at Step V; it involves an overall career review and may be granted on evidence of sustained and continuing excellence in the following categories: (1) teaching, (2) professional competence and activity, (3) scholarly or creative achievement, and (4) service. Above and beyond that, great distinction in academic health sciences, recognized at least regionally, will be required in teaching and professional competence and activity. Service at Step V or higher may be of indefinite duration. Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur before at least three years of

service at the lower step, and will only be granted on evidence of continuing achievement at the level for advancement to Step VI.

(2) Advancement to Above Scale Status

~~Extramural referee letters may be requested for new appointments and promotions if required by campus procedures. For reviews at Health Sciences Clinical Professor, Step VI, and for above-scale salaries, the chair should request letters from authorities and should also seek evaluations from advanced clinical students and former students now in academic positions or clinical practice. If adequate information is not included in the materials sent forward by the chair, it is the review committee's responsibility to request such information through the Chancellor.~~

Advancement to Above Scale status 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 at least national 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 IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A further merit increase in salary for a faculty member already serving at an Above Scale salary level must be justified by new evidence of merit and distinction. 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 shorter intervals be approved.

210-24 **Authority**

The responsibility to nominate and the authority to appoint review committees shall be in accordance with the stipulations set forth in the Academic Personnel Manual Sections concerning the respective title series.

## MODEL COMMUNICATION

The University invites comments on Proposed Revised Academic Personnel Manual Sections:

- 278, Health Sciences Clinical Professor Series (APM - 278),
- 210-6, Instructions to Review Committees Which Advise on Actions Concerning the Health Sciences Clinical Professor Series (APM - 210-6),

Proposed revisions differentiate the Health Sciences Clinical Professor title from the Volunteer Clinical Professor title, identify responsibilities for faculty appointed to a Health Sciences Clinical Professor title, and strengthen and refine review criteria for appointment and advancement.

The proposals are located on the UCOP Academic Personnel and Programs website, “Policies under review”, under the “Systemwide Review” tab at <http://ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. It also may be viewed at (*e.g., the campus Academic Personnel Office*).

If you have any questions or if you wish to comment, please contact \_\_\_\_\_ at \_\_\_\_\_, no later than \_\_\_\_\_ 2016.