

UCSF Department of Obstetrics, Gynecology, &

Reproductive Sciences

Departmental Guidelines on Appointment, Advancement & Promotions:

PhD and Physician Scientists

Adjunct, In Residence, Tenure Series

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I. Introduction

Note: The title “Guidelines” has been chosen deliberately. The diversity of talents and accomplishments required in these series is such that the guidelines governing appointments, advancement, and promotions must be applied with some degree of flexibility. These guidelines provide faculty and reviewers (departmental, UCSF, and external reviewers) a basis for evaluating appointments, advancement, and promotion.

Within the standards set for appointment, advancement and promotion in the APM, Departments in the School of Medicine at UCSF may set department-specific *guidelines*. This document outlines the UCSF Department of Obstetrics, Gynecology, & Reproductive Sciences interpretation of the APM policies and procedures and includes several department-specific expectations for successful advancement & promotion in the Adjunct, In Residence, and FTE series for PhD and Physician scientists. For academic advancement, ***the department expects evidence that the faculty member is continuously accelerating the rate of accomplishments in all of the domains relevant to each track.***

Note: Full salary support is expected for all faculty which consists of grants, contracts, clinical revenue, endowments or other sources

II. Ladder Rank, In Residence, Adjunct Series: General Concepts

The Department places great emphasis on two manifestations of success in these series. One is ***publication*** in first-tier, high-impact journals. Publications should reflect the focused development of a faculty member’s research career as well their role in the research conducted. The second is ***support from extramural grants and contracts*** at a level of > 50% of salary*. Grant support from the NIH or similar federal agencies (CDC, DOD) is expected, but the Department also recognizes the value of other funding sources such as major foundations, professional societies and pharmaceutical companies as long as research is investigator initiated (IIR) and that it contributes to the improvement of health or the alleviation of disease.

The “correct” or “best” series usually is the one that most closely aligns with the faculty member’s career goals and academic background.

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III. Variations in Series

Ladder Rank and In-Residence Series:

In the Department, the **Ladder Rank** and **In Residence** tracks have identical expectations and responsibilities. Appointment, advancement, and promotion in both series require excellence in research, teaching/mentoring, professional activity (clinical activities, if appropriate), and University service: all of the criteria in the APM for these series must be met.

- **Appointment:** A national search is required to appoint a faculty member in the **Ladder Rank** or **In Residence** series.
- **Promotion to Associate Professor:** There is an “eight-year rule”.

An Assistant Professor, in Ladder Rank or In Residence series, who has completed eight years of service in that title, or in combination with other titles as established by the president, shall not be continued after the eighth year unless promoted to Associate Professor or Professor. (APM 133-0)

The University gives unsuccessful candidates in this series a one-year terminal appointment; thus, review for promotion must be completed no later than the seventh year. It is critical that you are aware that your eight year clock starts with your initial appointment, includes your years as an instructor, and that your progress will be evaluated during your fourth year by an Appraisal of Achievement & Promise as described in the previous section.

Many Assistant Professors who intend eventually to succeed in the In-Residence series are initially appointed in the Adjunct series to allow for the possibility of more than 8 years at the assistant level prior to evaluation for promotion to Associate and a possible change in series. However, please note that UCSF is the only campus that does not apply the 8-year rule to the Adjunct or HS Clinical series. BUT, if a faculty member transfers to another UC, their time in that series at UCSF will count for purposes of the 8-year rule. Further, if they transfer to UCSF from another UC, their time as an Assistant Adjunct or Assistant HS Clinical on that campus will count toward the 8-year rule here.

Adjunct Series:

For appointment, advancement, and promotion in the Adjunct series of PhD and Physician Scientists, the Department requires excellence in research and preferably more than one of the following categories:

(1) Teaching and Mentoring; (2) Professional Activities (clinical activities, if appropriate); and/or (3) University/Public Service.

Exceptional achievements in one area may compensate for less activity in another area, i.e., a balance in all four categories is not required.

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– *Appointment*: A national search is not required for an *initial* appointment in this series.

IV. Advancement: Assistant Professors: Ladder Rank, In Residence, Adjunct Series

General Concepts:

Advancement at the Assistant Professor level is from step 1 to step 4, with step increases generally occurring every 2 years. Approval of step increases requires demonstrated progress in developing a clear research focus, detailed research program and in attainment of national stature in your field. University and public service should be minimal at the Assistant level.

Departmental Publication Guidelines: For on-time advancement, the Department expects an adequate number of high quality, peer-reviewed publications at early steps with increasing productivity over time being expected at later steps commensurate with increased extramural funding and increased laboratory personnel.

About 50% or more of publications should be first-authored (or last-authored at later steps). Second author publications in which the faculty member has an especially significant role are also considered valuable, and should be explained. First- or last-authored publications in first-tier journals that move the field forward will be weighted more heavily than multiple publications in low impact journals.

Departmental Grant Support Guidelines: The primary compensation source for the Ladder Rank, In Residence and Adjunct series is extramural. It is expected that virtually all junior PhD and physician scientist faculty in these series will obtain a career development award or equivalent to attain grant support of > 50%* within the first few years on the faculty. Other sources of support that maintain > 50% funding are essential.

NIH awards will be weighted more heavily in the consideration for promotion than other types of support.

The Department recognizes that high quality often requires a prolonged time frame for meaningful results, and involvement of a multidisciplinary team of investigators. Therefore, it is especially important for junior investigators to document:

- *Publications*: Clear indication of their role in publication, and 20-30% should not include their lead mentor or supervisor at later steps.

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- *Recognition by peers:* Speaking invitations (or other roles) at major conferences or academic venues, regional or national committee assignments, service as an ad hoc reviewer for journals, national committees, NIH consensus conferences, and on NIH review groups and letters of support attesting to the investigator's contributions.
- *Teaching and Mentoring of students and postdoctoral fellows.*
- *Appraisal of Achievement & Promise:* At approximately year 3-6 after appointment (most commonly year 4), an *Appraisal of Achievement & Promise* will occur for all junior faculty in these series. This is a more formal and extensive evaluation than required for step advancement, and requires the same elements as a full promotion package. It is meant to provide junior faculty with constructive advice and sufficient time to address any deficiencies for successful promotion to the rank of Associate Professor. The faculty member determines the exact timing of this appraisal and his/her advisors based on perceived accomplishments and the need for feedback within the 3-6 years of appointment.

V. Promotion: Assistant to Associate: Ladder Rank, In Residence, Adjunct

General concepts:

Promotion to Associate Professor requires national recognition for independent contributions to research. The Department places ***special emphasis on independence, high impact publications, and the continued likelihood of long-term extramural support.*** These criteria reflect the Department's goal of using limited resources to support individuals who will build programs, mentor trainees, and generate the maximum impact from the investments and commitments associated with promotion.

Departmental Publication Guidelines: A successful promotion package is expected to include an adequate number of high quality, high impact publications. Publication of approximately 15-20 peer-reviewed papers with approximately 50% first- or senior- authored publications in high impact journals is considered adequate.

Last-authored articles in first-tier journals that move the field forward will be weighted more heavily than multiple publications in lower impact journals.

Departmental Grant Support Guidelines: The primary compensation source for the Ladder Rank, In Residence and Adjunct series remains extramural funding. At the Associate Professor level, the Department expects that a faculty member will receive support as a principal investigator on an NIH R01 or

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equivalent. Collaborative grant support mechanisms for multidisciplinary projects (such as U01, P01, etc.) are as worthy as independent single-investigator initiated mechanisms if the investigator is a key contributor to the project (Co-PI or PI of a distinct component). Other sources of support that maintain > 50% funding* are also acceptable and essential.

Change in Series: Adjunct to Ladder Rank or In Residence

A junior faculty member may request a change in series at any point. A change in series to In Residence or Ladder Rank requires above all excellence in research, as demonstrated by grant support, publications and impact on your field. For PhD and physician scientists, integration into the department activities is also of primary importance, as shown by teaching/mentoring, collaboration and contribution to the vigor of the department.

Generally, a change in series is considered at the time of promotion to Associate Professor, or at the point considered optimal given individual progress. Change in series requires fulfillment of the criteria for the new series and a national search.

The “correct” or “best” series usually is the one that most closely aligns with the faculty member’s career goals and academic background.

VI. Advancement: Associate Professors: Ladder Rank, In Residence, Adjunct Series

General Concepts

In general, advancement at the Associate Professor level requires demonstrated progress in building *international* recognition, the developing of leadership in a given research field, a track record of university service, as well as proof of training and mentoring of junior investigators.

Advancement at the Associate Professor level is from step 1 to step 4 or 5, with step increases generally occurring every 2 years. Approval of step increases requires demonstrated progress in establishing an active, independent research program with secure funding, and a developing international reputation. University and public service should increase at the Associate Professor level.

Departmental Publication Guidelines

For on-time advancement, the Department expects an adequate number of high quality publications with increasing productivity over time. About 50% of publications should be senior authored. First- or last-authored publications in first-tier journals that move the field forward will be weighted more heavily than

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multiple publications in low impact journals. The leadership role assumed by the faculty member should be documented by having last or senior authorship in most of the publications.

Departmental Grant Support Guidelines

The primary compensation source for the Ladder Rank, In Residence and Adjunct series remains extramural funding. At the Associate Professor level, the Department expects that a faculty member will receive support as a principal investigator on an NIH R01 or equivalent. Collaborative grant support mechanisms for multidisciplinary projects (such as U01, P01, etc.) are as worthy as independent single-investigator initiated mechanisms if the investigator is a key contributor to the project (Co-PI or PI of a distinct component). Other sources of support that maintain > 50% funding* are essential.

VII. Promotion: Associate to Professor Ladder Rank, In Residence, Adjunct Series

Promotion from Associate to Full Professor should be recommended when a candidate has acquired international recognition for her/his research contributions, has developed a leadership role in her/his research field and in university service, as well as a strong track record of teaching and mentoring.

Departmental Publication Guidelines: A successful promotion package is expected to include high impact publications in first tier journals. Approximately 35-45 peer-reviewed publications with more than 50% first- or senior authored papers and publications in high impact journals is considered adequate.

First- or last-authored articles in first-tier journals that move the field forward will be weighted more heavily than multiple publications in lower impact journals.

Departmental Grant Support Guidelines: A successful promotion package is expected to include a record of consistent extramural salary support for research as a principal investigator on NIH R01 grants or the equivalent. Leadership on collaborative grant support mechanisms for multidisciplinary projects (such as U01, P01, etc.) are as worthy as independent single-investigator initiated mechanisms if the investigator is PI of the overall project (very highly valued) or of an important component. Other sources of support that maintain > 50% funding*, or 100% (95% NIH cap) for PhD non-clinicians, are essential.

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Other criteria:

- *Contribution to the Advancement of Science:* Leadership positions in a focused area of research that addresses important questions in the investigator's chosen field.
- *Recognition by Peers:* Invitations to write editorials or evidence-based reviews, service on public research review committees or committees that set clinical guidelines, speaking invitations/leadership roles at major conferences or academic venues; letters of support for promotion, etc., attesting to the investigator's leadership role in the academic community. Chairing national and international meetings, workshop committees, training foreign research fellows, service on international committees, lectures and paper presentations at international meetings, participation and/or chair of NIH review committees.
- *Training & Mentoring:* Success in developing young investigators and launching their careers as faculty members is required. Demonstrated ability in advising junior faculty in their career and academic choices is also required.

VIII. Advancement: Professor Ladder Rank, In Residence, Adjunct Series

General Concepts

In general, advancement at the Professor level requires maintenance and expansion of *international* recognition, including leadership of an established research program and leadership in training and mentoring of junior investigators. Advancement at the Professor level is from step 1 to step 4, or step 6 to step 9 with step increases generally occurring every 3 years.

Departmental Publication Guidelines: For on-time advancement, the Department expects 4-6 peer-reviewed publications per year. Approximately 40% - 50% of publications should be first- or last-authored.

First- or last-authored articles in first-tier journals that move the field forward will be weighted more heavily than multiple publications in low impact journals.

Departmental Grant Support Guidelines: The primary compensation source for the Ladder Rank, In Residence and Adjunct series remains extramural funding. At the Professor level, the Department expects that a faculty member will receive support as a principal investigator on an NIH R01 or equivalent. Collaborative grant support mechanisms for multidisciplinary projects (such as U01, P01, P50 etc.) as a PI are highly valued. Other sources of support that maintain > 50% funding for PhD non-clinicians in the In Residence series, are essential.

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Other Criteria:

- *Contribution to the Advancement of Science:* Leadership positions in a focused area of research that addresses important questions in the investigator's chosen field.
- *Training & Mentoring:* Demonstrated leadership role in developing young investigators and launching their careers as faculty is required. Mentoring of junior faculty and advising them on academic and career choices is recommended.
- *Teaching:* A demonstrated track record of formal and informal teaching is an essential component of the evaluation of a step change.
- *University Service:* The candidate is expected to contribute to University life by actively participating in departmental and faculty committees, as well as governing bodies of the University.

IX. Promotion: Professor 5 to 6

A successful promotion package is expected to include proof of international recognition and leadership as well as a strong track record in teaching and mentoring.

Departmental Publication Guidelines: First- or last-authored articles in first-tier journals that move the field forward will be weighted more heavily than multiple publications in low impact journals. Progression of publications should show movement of the faculty member to last or senior author.

Departmental Grant Support Guidelines: A successful promotion package is expected to include a record of consistent extramural salary support for research as a principal investigator on NIH R01 grants or the equivalent. Leadership on collaborative grant support mechanisms for multidisciplinary projects (such as U01, P01, and P50 etc.) as PI of the overall project is highly valued. Other sources of support that maintain > 50% funding*, or 100% (95% NIH cap) for PhD researchers, are essential.

Other criteria:

- *Contribution to the Advancement of Science:* Leadership position(s) in a focused area of research that addresses important questions in the investigator's chosen field.
- *Recognition by Peers:* Invitations to write editorials or evidence-based reviews, service on public research review committees or committees that set research guidelines, speaking invitations/leadership roles at major conferences or academic venues; letters of support for promotion, etc.,

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attesting to the investigator's leadership role in the academic community. Chairing national and **international** meetings, workshop committees, training foreign research fellows, service on international committees, lectures and paper presentations at international meetings. Participation and/or chair of NIH review committees.

- *Training & Mentoring*: Demonstrated leadership role in developing young investigators and launching their careers as investigators is required.
- *Teaching*: A demonstrated track record of formal and informal teaching is an important component of the evaluation of step change.
- *University Service*: The candidate is expected to contribute to the University life by actively participating in departmental and faculty committees, as well as governing bodies of the University.

*salary or NIH Cap

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APPENDIX

The Department of Obstetrics, Gynecology, & Reproductive Sciences, like all academic departments at UCSF, operates under the policy and procedures of the Academic Personnel Manual (APM: see table below).

The complete Academic Personnel Manual can be found at:

<http://www.ucop.edu/acadadv/acadpers/apm/welcome.html>

Additional useful information regarding advancement and promotion can be found in the Faculty Handbook for Success: Advancement & Promotion at UCSF available at: <http://www.ucsf.edu/senate/facultyhandbook/>

The following on line resources are available for PhD and Physician scientists.

POLICY	REFERENCE
Academic Personnel Records	APM 160 http://www.ucop.edu/acadadv/acadpers/apm/apm-160.pdf
Appointment and Promotion (general)	APM 200 http://www.ucop.edu/acadadv/acadpers/apm/apm-200.pdf
Review and Appraisal Committees	APM 210 http://www.ucop.edu/acadadv/acadpers/apm/apm-210.pdf
Ladder Rank	APM 220 http://www.ucop.edu/acadadv/acadpers/apm/apm-220.pdf
In Residence Series	APM 270 http://www.ucop.edu/acadadv/acadpers/apm/apm-270.pdf
Adjunct Series	APM 280 http://www.ucop.edu/acadadv/acadpers/apm/apm-280.pdf