



OFFICE OF THE VICE PROVOST -  
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT  
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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  
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December 1, 2016

Page 6

APM - 278 Work Group Members:

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