

Keck School of Medicine of USC

Combined Guidelines for Tenured, Tenure Track, Clinical, and Research Faculty Appointments and Promotion

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I. Introduction

The Keck School of Medicine of USC (the Keck School) encourages all faculty or prospective faculty to actively engage in activities that will result in their career advancement. Thus, it is important to have up-to-date information about the criteria upon which faculty are evaluated for appointment or promotion, and about what is expected from the faculty member for the promotion process itself. It is also important for the chairs and faculty members and the staff who assist in appointments and promotions processes to also have a clear understanding of both the criteria to be evaluated and each of their responsibilities in the promotion process. The Keck School of Medicine of USC Guidelines for Appointment and Promotion 2015 ("the Keck School AP Guidelines") are designed to provide that information for faculty, chairs and mentors, and staff.

Different tracks and general university expectations for promotion are defined within the University of Southern California Faculty Handbook and the official University Committee on Appointments, Promotion, and Tenure Manual (UCAPT Manual), both of which may be changed from time to time. Because of the possibility of change and their official recognition by the University administration and the Faculty Senate, the UCAPT manual and Faculty Handbook must always take precedence over these School guidelines.

For each school at USC, the Provost and President are ultimately the decision makers for both appointments of senior (at the rank of Associate or full Professor) or lateral recruitments to the school with tenure, and promotion of faculty at the university to more senior ranks with tenure. These decisions are made after appropriate departmental, school and university committee review and recommendations from the department chair (and institute director, where applicable) and the Dean. Appointments or promotions at senior rank on the clinical series with the designation of "Clinical Scholar" (without tenure) are also made by the Provost and President in a process that is parallel to that of the tenure/Tenure Track appointments and promotions. The policies governing these processes are, again, provided by the UCAPT Manual.

The Keck School AP Guidelines, unlike the UCAPT Manual which is for the entire university, are intended to highlight what is specifically valued in the Keck School for tenure, and to provide guidance for promotion criteria and processes for clinical and research designations which do not include consideration for tenure. The Provost has delegated to the Dean the authority to appoint junior faculty (at assistant professor rank) to the Tenure Track in the Keck School without further university review. In addition, all clinical or research designation appointments and promotions (except those with the Clinical Scholar designation) at the Keck School are made by the authority of the Keck School Dean after appropriate faculty committee review. The Dean is also the final authority for all appointments and promotions for all part-time, voluntary faculty or Visiting Scholars. The Keck School AP Guidelines are thus the definitive source of information for these types of appointments and promotions.

The entire process of consideration for appointment or promotion is to be kept confidential, except for those who need to be involved in the immediate decision.

A. Faculty Tracks, Ranks, and Titles at the Keck School of Medicine

At USC, tenured or tenure-track appointments and promotions are defined in both the Faculty Handbook and the UCAPT Manual, and are essentially identical at all schools. However, the expectations and duties of those who are appointed or promoted with designations that are not on the tenure track, and criteria used for evaluation for appointment or promotion vary substantially among schools. For full-time faculty at the Keck School, there are two major

designations for appointments and promotions that are not linked to tenure: clinical and research. In addition, within the clinical designation, there are several different promotion series that are primarily based on both the profile of activities for a candidate, and the area in which they demonstrate their greatest strength.

1. Tenured and Tenure-Track Titles:
 - Assistant Professor of [Dept.]**
 - Associate Professor or Professor of [Dept.]**
2. Clinical Titles:
 - Clinical Scholar:* **Associate Professor or Professor of [Dept.] (Clinical Scholar)**
 - Educational Scholar:* **Associate Professor or Professor of Clinical [Dept.] (Educational Scholar)**
 - Clinical:* **Instructor of Clinical [Dept.];
[Rank] Professor of Clinical [Dept.]**
 - Clinician Educator Series:* **Clinical Instructor of [Dept.] (Clinician Educator);
Clinical [Rank] Professor of [Dept.] (Clinician Educator)**
 - Practitioner Series:* **Clinical Instructor of [Dept.] (Practitioner);
Clinical [Rank] Professor of [Dept.] (Practitioner)**
 - Non-ACGME Fellows* **Clinical Instructor of [Dept.] (Fellow)**
3. Research Titles:
 - Instructor of Research [Dept.];
[Rank] Professor of Research [Dept.]**
4. Part Time Faculty Titles (less than 75% time):
 - Part Time Clinical Faculty:* **Clinical [Rank] Professor of [Dept.] (Part-Time)**
 - Part time Research Faculty:* **Research [Rank] Professor of [Dept.] (Part-Time)**
 - Lecturing:* **Part-Time Lecturer**
5. Emeritus Titles:
 - Emeritus Tenured Faculty* **[Rank] Professor of [Dept.] Emeritus/Emerita**
 - Emeritus Clinical Faculty* **[Rank] Professor of Clinical [Dept.] Emeritus/Emerita**
 - Emeritus Research Faculty* **[Rank] Professor of Research [Dept.] Emeritus/Emerita**
6. Voluntary and Visiting Faculty (unpaid):
 - Voluntary Clinical Faculty:* **Adjunct Clinical [Rank] Professor of [Dept.] (Voluntary)**
 - Voluntary Research Faculty:* **Adjunct Research [Rank] Professor of [Dept.] (Voluntary)**
 - Visiting Scholar:* **Visiting [Research/Clinical] [Rank] of [Dept.]**
 - Residents and Fellows (ACGME fellows)* **Resident Clinical Instructors of [Dept.]**

B. Appointments and Promotions Committees

No one involved in any committee review or any evaluative process should communicate information about that process or any review to the candidate, or to anyone else not directly involved in the decision.

Departmental Committees

All departments and most institutes should have appointments, promotions and tenure committees (APT committees). Departmental APT committees are almost always composed of senior faculty who have undergone appointment and/or promotion with or without tenure and who may be involved in the promotion process in other respects. These individuals are particularly well-positioned to serve as resources for more junior faculty who are seeking promotion within the department. The size of the committee will vary with the department.

When a faculty member relies upon an Institute for salary, resources and space, their membership in the institute is treated as a secondary appointment. As with all secondary appointments, appointments, promotions, and/or tenure are considered within the institute and support for the appointment, promotion, and/or tenure must be documented. Therefore, institutes need to appoint either an APT committee or an equivalent, and should also have mentoring systems in place.

Committee members at the rank of Professor may evaluate promotion of those at all lower ranks, while Associate Professors may evaluate Assistant Professors and Instructors. For departments with faculty being considered for tenure, or for promotion to Professor with tenure, only faculty who are tenured can vote on those decisions (as per the Faculty Handbook). This does not mean that faculty members who have clinical or research designations cannot serve on APT committees and discuss every appointment and promotion; it simply means that they cannot vote on decisions related to tenure. Senior members of the committee who are tenured or have a designation of clinical may vote on a Clinical Scholar designation.

Where departments do not have many faculty members at senior rank, it may be appropriate to have division chiefs at assistant professor rank serve on the committee in an advisory capacity, but they should not vote on individuals being promoted to a rank above theirs. If there are insufficient tenured faculty to consider a tenured or tenure-track candidate in a specific department, if there are insufficient senior faculty to evaluate junior faculty promotions, or if there are specific difficulties unique to a particular department, the department chair should work with the Keck Office of Faculty Affairs to develop a fair, alternative mechanism to evaluate their candidates.

School Committees: Faculty Appointments, Promotion and Tenure Committee (FAPTC)

The Faculty Appointments, Promotion and Tenure Committee (FAPTC) reviews all appointments and promotions at the rank of Associate Professor or above for tenured and tenure-track faculty, clinical faculty (including Clinical Scholar and Educational Scholar), and research-track faculty. The committee is divided into two panels, with each department having a representative on one of the panels. Each panel meets approximately once per month. Most of the committee members are Professors, approximately 2/3 of the members of each panel are tenured, and the basic science and clinical department representatives are divided so that each panel has a similar proportional makeup. In addition there are at-large members who represent the faculty as a whole, including a representative of the Keck Faculty Council on the committee, and the Chair of the FAPTC (who may cast a deciding vote when there is a tie). The Chair of the CAPC (see below) may also attend meetings in an ad hoc capacity, if not already a sitting member of the FAPTC. Other ad hoc members of the committee are the Vice Dean for Faculty Affairs, the Associate Dean for Appointments and Promotions, and the Assistant Dean for

Faculty Development. Staff members from the Keck Office of Faculty Affairs and the Office of Academic Affairs at CHLA also attend.

School Committees: Clinical Appointments and Promotions Committee (CAPC)

The Clinical Appointments and Promotions Committee (CAPC) is a smaller committee that is composed of 9-10 representatives of clinical departments with staggered three-year appointments to the committee (the membership rotates among departments). It meets approximately once per month. This committee considers appointments and promotions at the rank of Clinical Associate Professor or Clinical Professor on the Clinician-Educator and Practitioner series. Ad hoc members of the committee are the Chair of the FAPTC, the Vice Dean for Faculty Affairs, the Associate Dean for Appointments and Promotions, and the Assistant Dean for Faculty Development. Staff members from the Keck Office of Faculty Affairs and the Office of Academic Affairs at CHLA also attend.

School Committees: Ad hoc Committees

For appointment of Chairs and Institute Directors and occasionally other eminent faculty recruits, an ad hoc committee of eminent faculty members from a number of departments is convened to evaluate the appointment and provide their advice to the Dean. Members of this committee may also be members of one of the promotion committees.

University Committee: University Committee on Appointments, Promotion and Tenure (UCAPT)

Different panels of the University Committee on Appointments Promotions and Tenure (UCAPT) review dossiers for Tenure Track, Tenured or Clinical Scholar candidates for appointment or promotion (at the Associate Professor and Professor ranks), after they have been reviewed at the school level. For information about these panels, please consult the most recent UCAPT manual.

C. Appointments, Promotions, and Rank of Faculty

1. Appointments

The authority to appoint a faculty member at the rank of Assistant Professor on the Tenure Track has been delegated to the Dean by the Provost. The Dean makes such appointments after appropriate review by a search committee/department committee and the Faculty Research Council.

For senior hires to be appointed on the Tenure Track or with tenure, and clinical faculty with the designation of Clinical Scholar, Provost's approval is required, as described in the UCAPT Manual. In each case, a full dossier must be reviewed and evaluated by department, school, and university committees prior to Provost's review. Prior to providing an offer letter, the Vice Provost for Faculty Affairs should be consulted as to potential rank and tenure status.

Appointment of full-time and part-time faculty on all other series is made under the authority of the Dean, after appropriate faculty committee review. For junior faculty (Instructor, Assistant Professor) this is done after department search committee review, recommendation by the chair and approval by the Dean. For senior full time faculty (Associate Professor or Professor) the appointment is made after review by the FAPTC or CAPC and approval of the Dean. Appointments of part-time faculty at senior rank is approved by the Dean after ad hoc committee evaluation.

2. Promotions

Promotion is the process whereby a faculty member of a certain rank already appointed at the Keck School is considered for increase in rank. The faculty member, in conjunction with the departmental appointments and promotions staff and department chair, submit a

dossier and any additional supporting information to be evaluated for promotion (See Section VII below). The authority to promote faculty members on the tenure-track or with tenure, or clinical faculty with the designation of Clinical Scholar, resides with the Provost after department, school and university committee review. The authority to promote on all the remaining full and part-time clinical and research designations that are not associated with tenure resides with the Dean after FAPTC or CAPC review and recommendation.

3. Considerations for Rank

The Keck School faculty are appointed or promoted to a particular rank based on their prior career accomplishments. Each track or series has specific criteria for appointment or promotion.

Instructor

Appointees may be instructors on the Clinical, Clinician Educator, Practitioner, and Research promotional series. The Keck School does not appoint tenure-track individuals at the rank of Instructor.

In the Clinical Series, candidates who have not completed their doctoral degree, but who have a terminal master's degree in their field (e.g., Nurse Anesthetists – CRNA; Master's degree in Public Health – MPH; Physician Assistant -- PA) are eligible to hold faculty appointments. These individuals are most often appointed at the level of Instructor. Exceptions to this may occur in rare case when a candidate sufficiently meets multiple other criteria for promotion. Advancing in rank from Instructor to Assistant Professor generally follows successful completion of a doctoral degree, as well as progress towards the criteria characteristic of each promotional series listed. Clinical Instructors of [Dept.] (Fellow) are an exception, as they have doctoral degrees but are given fixed term appointments as faculty while they complete their subspecialty clinical training in a Non-ACGME training program.

In the Research Series, Instructor rank appointments may be given to those who have completed their doctoral degree but have completed less than 3 years of postdoctoral training.

Assistant Professor

A general consideration for appointment at the rank of Assistant Professor or higher is that individuals must have a doctoral degree, if that is the highest degree in their field. For example, faculty members at the medical school most commonly have a doctorate in medicine (e.g., MD or DO, or other equivalent foreign degrees) or a doctor of philosophy (e.g., PhD). In rare circumstances, other doctoral degrees that candidates have may meet this standard (EdD, DPH).

Associate Professor

Advancing in rank in all series from Assistant Professor to Associate Professor requires the candidate to meet all the criteria listed for each in Sections II, III, and IV, where the individual promotional series are described. Descriptions of the criteria used to assess qualifications for appointment or promotion on all series are described in Section VI.

Professor

For all promotion series, promotion to full Professor is characterized by demonstrated evidence of leadership in their field. In addition, the rank of Professor for some promotion series (Tenured, Clinical and Research series candidates, but not necessarily Clinician-Educator or Practitioner candidates) is most often characterized by a national or international recognition. The accomplishments of candidates considered for the rank of Professor would obviously reflect a longer period as a faculty member but still should

demonstrate a sustained upward trajectory in performance, productivity and external recognition over the longer time. In all cases, the most recent 6-8 years are most heavily emphasized in the evaluations, although the entire career is also considered.

Other considerations

In rare cases, circumstances may occur where the experience and body of knowledge possessed by a candidate may be of such high value and distinction that a faculty appointment may be awarded without the individual having an advanced degree. Review is required to ensure these individuals are qualified to act as faculty in training our students, residents, and other trainees in skills or guidance they cannot otherwise obtain from our existing faculty.

4. Accelerated Promotion

An individual may be proposed for accelerated promotion (less than the standard 6-8 years in rank), if he/she has been particularly productive. The criteria for promotion will be the same. However, the candidate should be aware that the evaluation is more difficult for the FAPTC/CAPC committee if there is insufficient time to demonstrate the career trajectory.

Rarely, it may be that an Assistant Professor being considered for promotion to Associate Professor on one of the clinical series or the research series has assembled such an outstanding dossier that the candidate may be worthy of consideration for promotion immediately to Professor. This may be due to the individual and/or department not seeking promotion at an earlier date. If this is the recommendation of the FAPTC or CAPC, it will be reviewed by the Dean and the promotion to the more senior rank may be authorized on the Dean's approval.

D. Secondary Appointments

Faculty may receive one or more joint appointments in other school(s) at USC or dual appointments within other departments at the Keck School (or Institutes, as described below). The appointments are usually at the same rank. When there is no allocation of resources or support by the secondary unit (school, department, or institute), it is considered a "courtesy" appointment. Courtesy appointments may allow faculty to host graduate students from the secondary unit according to their policies, but the secondary unit still has no financial responsibility for the faculty member.

There are, in addition, joint or dual appointments that are not "courtesy appointments" which may include dedicated salary or other support from the secondary unit. These are negotiated among the two department chairs, and the two Deans of the schools for joint appointments, and between the two department chairs with approval of the Dean for dual appointments. Even in the case that 50% of the support of a faculty member is provided by each of two schools or departments within the Keck School, one of the two schools or departments must be declared as the primary appointment and one must be declared as the secondary appointment, to ensure a single unit is ultimately responsible for administering to that faculty member's needs.

Secondary appointments are usually made for a specified term for faculty who are clinical, research, or tenure-track, and are usually "continuous" if a faculty member has tenure. Secondary appointments may be made according to department-specific criteria (e.g., the secondary appointee must participate in teaching, graduate training, mentoring or research activities, etc.) and can be withdrawn at the will of the secondary unit if those criteria are no longer being met.

Both the UCAPT manual and these Keck School AP Guidelines specify that when candidates on any track are considered for promotion and/or tenure, the secondary department (whether joint or dual) needs to be involved in the decision. When tenure is granted, it is granted only in the primary school.

Institutes which grant membership rights (such as the Zilkha Neurogenetics Institute, or Eli and Edythe Broad Center for Stem Cell Biology and Regenerative Medicine), are treated as secondary appointments, and the Institute Director acts as the secondary “Department Chair” in providing documentation in promotion or appointment dossiers.

For information about the process of establishing a secondary appointment, please contact the Keck Office for Faculty Affairs.

E. Dossier Submission Deadlines

DATE	DOSSIERS DUE IN KECK OFFICE FOR FACULTY AFFAIRS
April 1	Mid-Probationary Mini-Dossiers for Tenure Track Faculty
July 1	Promotion to Professor with Tenure
October 1	Promotion to Associate Professor with Tenure

The dates in the table above show deadlines for submission of Tenured or Tenure Track dossiers and Mid-Probationary mini-dossier review to the Office for Faculty Affairs. The dossiers must have been assembled and reviewed by the department APT committee and Chair before submission. Supplemental or additional materials may be submitted to Faculty Affairs at any time up to a decision, once a dossier has been submitted for review. However, there is no guarantee that new material will be reviewed by FAPTC or UCAPT prior to the decision.

Promotion for faculty who have a mandatory decision date are generally reviewed at UPC in the spring semester. These dossiers always have higher priority for UCAPT review than any other submission. Therefore, dossiers for promotion as Clinical Scholar or Professor with tenure may be submitted after July 1, but there is no guarantee their review will be completed during the Fall semester. Dossiers for promotion on any clinical or research series may be submitted at any time of the year.

F. Appointment and Promotion for Part Time Faculty

Faculty on any clinical or research series (except Clinical Scholar) who are employed between 75% and 99% of full (100%) time have titles that are identical to those of full time faculty. They are appointed to the appropriate track and rank according to their profile of activities and past accomplishments. Even though they have a full time title, these individuals will not be eligible for certain faculty benefits that require 100% time employment. Clinical or Research faculty who are employed less than 75% time may also be considered for appointment or promotion within a series that is most appropriate for them but have titles that indicate their part-time status as shown in Section I.A.

The criteria used for appointment and promotion for part-time faculty, no matter what percent effort, are the same as those for full time faculty. Consequently, faculty with limited percent time employed should expect that promotion may take proportionately longer to achieve.

G. Promotion for Voluntary Faculty

Appointment of Voluntary Faculty at a particular rank in a Department is proposed by the Department Chair to the Dean and reviewed by the Keck Office for Faculty Affairs. Requests for promotion are based on accomplishments and are reviewed on an ad hoc basis.

For information about the process of making a voluntary appointment, please contact the Keck Office for Faculty Affairs.

II. Tenure Track Appointments and Promotions

Guidelines outlining the processes for tenure track and tenured appointments and promotions are the responsibility of UCAPT. They are updated routinely, and the most recent version can be viewed on the University policy website: <https://policy.usc.edu/>. To avoid any confusion, we refer all Keck School tenured and tenure track faculty to these guidelines. *If the Keck School AP Guidelines differ, even subtly, with any statements in the UCAPT Manual or Faculty Handbook, the UCAPT Manual and Faculty Handbook take precedence.*

A. Prior to Appointment on the Tenure Track or with Tenure at the Keck School:

At the Keck School of Medicine, consideration for appointment of all junior and senior (lateral) hire faculty on the tenure track must be first reviewed by the Faculty Research Council (FRC). The following process is used:

1. The department requests permission to open a Tenure Track position from the Dean. A form (on the Keck Office for Faculty Affairs Website) requesting appointment on the Tenure Track is completed and submitted for review by the Dean's office. It includes the names of the individuals on the search committee, sources of funding for the recruit, a copy of the proposed advertisement, and the expected area of research.
2. After the Dean's approval, the position is posted according to USC policy, a national search is performed, candidates interviewed and a final candidate is chosen.
3. Documents (including chair's justification, CV, research statement (if any), and letters of reference) supporting the final candidate are presented to the FRC for review and comments.
4. The FRC makes a recommendation to the Dean.
5. For Assistant Professors on the Tenure Track, the Provost has delegated to the Dean the authority to approve. After the FRC has made recommendations to the Dean, and the Dean has approved, a letter of offer is generated by the Office for Faculty Affairs.
6. For senior hires (Associate Professor or Professor on the Tenure Track or with tenure), FRC review and recommendation, Dean's approval, and consultation with the Vice Provost for Faculty Affairs about the suitability of the hire is required. If approvals are obtained, an offer letter is generated by the Office for Faculty Affairs. If the candidate accepts, a formal dossier is assembled according to the UCAPT guidelines. The dossier must be evaluated by the departmental APT Committee, the FAPTC, the UCAPT and the Provost within a period of time specified in the offer letter.
7. If the faculty member starts work prior to review of the dossier, pending a final decision awarding rank and tenure to the faculty member, they may have a title of Visiting [Rank] of [Department].
8. If it is not possible to evaluate the dossier in the period of time specified, Provost's approval must be obtained for an extension.
9. On occasion, senior or lateral hires may be opportunistic. FRC review and recommendation Dean's approval, and consultation with the Vice Provost for Faculty Affairs are required. In this case, a posting waiver is requested and the Dean's ultimate approval must be obtained before a letter of offer may be generated.

B. Expectations for Keck Faculty on the Tenure Track

The UCAPT Manual outlines and defines the processes of appointment and promotion on the tenure track or with tenure for the university, and provides insight into what is usually expected from those who seek a tenured appointment. All Keck School faculty seeking appointment or promotion on the tenure track or with tenure should refer to that manual.

However, within the UCAPT Manual, there is some wording indicating that tenure within a school depends in part upon the expectations of faculty within a particular discipline. The Keck School of Medicine, because of its size and complexity, has faculty who are social scientists, bench-research biologists, physician-scientists, biomedical or computer engineers, statisticians, mathematicians, etc., and each of these fields is generally characterized by specific and general criteria for demonstrating excellence. As much as possible, every candidate will be evaluated according to the standards of excellence in their field, and they will be considered relative to their cohort in their field at other major research academic institutions.

Most commonly, Tenure Track faculty members at the Keck School are evaluated based on their strength in biomedical research. They are expected to demonstrate their excellence in research by publication of high impact papers in top ranked journals in their field and in more broadly-based journals (e.g. *Science*, *Nature*, *New England Journal of Medicine*, etc.) and by attracting significant peer-reviewed federal funding (such as being a PI on one or more NIH R01 grants) or their equivalent. It is also expected that the work of the faculty members has been noticed within and has made a difference within their field. This can be assessed by different measures as described in Section VI. A.

All faculty members on the Tenure Track must demonstrate significant original scholarship, with visibility and impact in their individual field. It is also expected that they will demonstrate independence from prior mentors and that their contributions will be original and distinct from their mentors and/or collaborators. However, faculty may work as part of a larger team research effort, or in areas that cross traditional disciplinary lines. USC recognizes that these new models should not preclude professional advancement for outstanding faculty. Faculty members who work in team science or in cross-disciplinary fields are encouraged to consult the UCAPT manual, where these issues are specifically addressed.

Tenure track and Tenured candidates must demonstrate excellence in teaching. They are expected to have a minimum of 20% of their effort devoted to teaching, education, and mentoring. At the Keck School, tenured and tenure-track faculty may contribute to medical or graduate student education, or training of residents and/or postdoctoral fellows. Because there are fewer didactic courses than at other schools within the university, a larger proportion of the teaching effort may be in one-on-one mentoring in the laboratories or clinics.

C. Probationary Period

At the Keck School of Medicine, the probationary period (that is, the maximum period of employment on the tenure track, if there are no extensions) is 8 years for basic scientists (with a mandatory tenure decision date at the end of 7 years), and 9 years for physician-scientists with clinical assignments (with a mandatory tenure decision date at the end of 8 years). The decision on the length of the probationary period for each faculty member is made at the time of hire based on the profile of activities and/or past experience in academic institutions.

As with all probationary appointments on the Tenure Track at USC, probationary appointments are annually renewable appointments for one year at a time. Continuation as a Tenure Track faculty member is contingent upon achievement of sufficient progress towards the receipt of tenure as recommended by department and/or school committees, chairs, and institute directors

and decided by the Dean. Processes and procedures governing discontinuation of a Tenure Track appointment are as described in the UCAPT Manual and the Faculty Handbook. At the Keck School of Medicine, review and recommendations by appropriate faculty committees, consultation with the Office of the Vice Provost for Faculty Affairs, and decision of the Dean are required in addition to what is described in the UCAPT Manual and the Faculty Handbook. In addition to what is described in these documents, review and recommendations by appropriate faculty committees, consultation with the Office of the Vice Provost for Faculty Affairs, and decision of the Dean are also required at the Keck School. If a probationary faculty member's appointment is not renewed, and that faculty member has been at USC for over one year, they are allowed one additional fiscal year after the date of notification of non-renewal before they must leave, as per the Faculty Handbook.

D. Extension of the Probationary Period

At times, there are circumstances beyond the control of faculty members that affect their ability to make sufficient progress towards the award of tenure during their probationary period. Under such circumstances, faculty do have the opportunity to request consideration for extension of their probationary period, and this process, including when it should be initiated and what is required, is described in detail in the UCAPT Manual and Faculty Handbook. Certain situations, e.g., being primary caregiver for a new or adopted child, may also automatically entitle the faculty member to a probationary period extension, as per the Faculty Handbook.

E. Mid-Probationary Reviews

Each Assistant Professor on the Tenure Track must be reviewed during their mid-probationary period. This is in addition to their annual performance reviews. Mid-probationary reviews occur in April of the 3rd year of the 8 year probationary period for basic scientists and in April of the 4th year of the 9 year probationary period for physician-scientists. If a Department Chair, Institute Director, and/or assigned mentors request a one year deferral of the mid-probationary review for basic scientists, this is allowed with approval from the Dean.

Prior to the review, a mini-dossier is created. This includes, but is not limited to, an updated CV with information about current publications, research funding, students, and teaching activities; a narrative from the faculty member summarizing progress, status of on-going work, and outlining any major impediments to progress; and letters of evaluation from department chairs/institute directors and assigned mentors, along with any written annual reviews for those faculty members. Letters from external referees are not required at this time, but may be useful.

Mini-dossiers are reviewed as a group by the FAPTC in April. A report summarizing the evaluation for each faculty member is generated by the Vice Dean for Faculty Affairs or the Associate Dean for Appointments and Promotions. One or both of these individuals meets with each probationary faculty member to go over the evaluation and recommendations by FAPTC members. No prediction as to the likelihood of obtaining tenure is made as that outcome is solely the purview of the Provost. However, whether the FAPTC regards the faculty member as making good progress towards tenure is discussed.

Despite the in-depth and critical nature of this review, junior faculty should recognize that the members of the FAPTC are sympathetic towards difficulties encountered by the junior faculty member in their careers. Part of the goal of the mid-probationary review is to identify problems that can be ameliorated through action at the school level. If there are situations beyond a person's control that may be slowing progress, the faculty member may be advised to seek an extension of the probationary period as outlined in the UCAPT Manual and Faculty Handbook. As stated above, certain situations may automatically entitle the faculty member to a probationary period extension, as per the Faculty Handbook.

The mid-probationary review is provided to the faculty member's Department Chair, Institute Director (if appropriate) and mentors, and becomes part of the faculty personnel file in the Keck Office for Faculty Affairs.

III. Clinical Group Appointments and Promotions

The majority of the faculty members in the Keck School have appointments that are classified under the term “Clinical Group”. Within the Clinical Group, including the Clinical Scholar, Educational Scholar, Clinical, Clinician Educator and Practitioner series, each promotional series is designed to reflect the activity profiles of individual faculty members, which can vary significantly. Each of these promotional series has a title that is characteristic for that series (See Section I.A.). The general expectations for each series are described below, including criteria, the timeline for promotion, how expectations for rank differ, and the features of the dossier preparation unique to that series.

A table summarizing the characteristics of the different Clinical Group series is provided in Section IX at the end of the Keck School AP Guidelines.

A. Descriptions of Each Series within the Clinical Group

1. Clinical Scholar

The designation of Clinical Scholar is a high honor, requiring a review process as rigorous as that used for tenure decisions and promotions, and that is only bestowed by the President of the University. The process for evaluation of candidates for this designation closely parallels that of appointment or promotion on the tenure track, and is described in detail in the UCAPT Manual. This designation is appropriate for some of the top physician-scientists at the Keck School—particularly those who have performed work of considerable impact in clinical and translational research.

General Expectations:

- The Clinical Scholar title is only applied at the ranks of Associate Professor or Professor. The title used by Clinical Scholars is similar to that of tenured faculty: Associate Professor or Professor of [Dept.] (Clinical Scholar).
- Candidates are expected to demonstrate **excellence** in research/scholarship, AND **excellence** in either teaching OR service, and **strength** in the remaining category.
- Because excellence in research/scholarship is required, it is expected that within the profile of activities the faculty member has a minimum of 30-40% of their time dedicated to research/scholarship activities.
- Candidates for Clinical Scholar are expected to attract extramural research funding. Overall funding to support research effort (including federal, foundation, pharmaceutical or medical device company funding, for example) will be evaluated. Peer-reviewed federal funding is always valued but not required.
- The candidate must demonstrate recognition at the national level (or international level, as appropriate based on the rank) by experts in his/her field for being an innovator of clinically important research.
- Candidates must demonstrate that their work has a “theme of expertise” (e.g. a long track record of developing treatments for a particular disease or developing new and novel procedures for specific surgical problems).
- Clinical responsibilities may be included as part of Clinical Scholars’ profiles, but are not required. Because of the time commitments for any clinical responsibilities, candidates for the Clinical Scholar designation may not be able to produce the depth and focus of scholarship necessary for tenure with attainment, as principal investigator, of peer reviewed funding support.

- Clinical Scholars are not required to be physicians or practitioners, and may be PhD scientists who devote their efforts to clinical and translational research.
- In recent years, Clinical Scholars at the Keck School have enjoyed some academic benefits that had been previously reserved for tenured faculty. For a better understanding of what benefits Clinical Scholars may be awarded at the Keck School, a candidate or Department Chair should contact the Associate Dean for Appointments and Promotions, or the Vice Dean for Faculty Affairs.

Timeline:

There is no specific timeline for promotion to Clinical Scholar, and lateral promotions (from Associate Professor of Clinical to Associate Professor (Clinical Scholar), or Professor of Clinical to Professor (Clinical Scholar) may also occur at any time that the candidate is qualified. In these cases, the FAPTC will consider the entire history of the individual but place most emphasis on what the candidate has done over the last 6-8 years.

Promotion in Rank:

Evidence of a longer and more substantial sustained contribution in clinical and translational research, with increasing national and international recognition, would be expected for successful promotion to Professor (Clinical Scholar). Sufficient time in rank at the Associate Professor level to demonstrate that the contributions are sustained and that the trajectory of impact is increasing is advised. As always, for promotions to Professor, evidence of leadership in the field is also expected.

Dossier Preparation:

Dossier preparation for this series is identical to that of Tenured/Tenure Track appointments and promotions and is described in the UCAPT Manual. In the case of Clinical Scholars, however, it may not be possible to generate a cohort analysis table as most institutions do not have a similar track. The Keck Office for Faculty Affairs shares with the Provost's Office and UCAPT statistics about Clinical Scholars within the school.

2. Clinical Series

Faculty members on the clinical series are expected to have a mixed activity profile that includes a varied amount of research time, clinical practice, teaching/mentoring/educational activity, and university service.

General Expectations:

- The titles are Instructor of Clinical [Dept.], or Assistant Professor, Associate Professor or Professor of Clinical [Dept.].
- There are generally three areas of academic evaluation for appointment or promotion at advanced rank on the Clinical series: research/scholarship, teaching/education/mentorship, and academic service. (In this context, academic service is service to the department, university, school, to the field regionally or nationally, or to another institution, e.g., hospital or foundation. General clinical practice is not included.) Each candidate is expected to demonstrate **excellence** in either research or teaching, and **strength** in the remaining area as well as **strength** in academic service. Within the dossier, and at the time of dossier presentation, the area in which the faculty member is expected to demonstrate excellence versus strength is provided to the FAPTC, which will evaluate the candidate on that basis
- In the past, the FAPTC committee has been asked to evaluate individuals who have excellence in academic service with strength in the two remaining areas. However, the committee has found that this profile can only be rarely accommodated as the distinction between excellence and strength in academic service is not as clearly defined as in the other promotional criteria. To be successful in promotion using service as the area of

excellence would require unusual and extraordinary service contributions that would be at a level of excellence that would be easily discernable.

- Though clinical practice activities may be part of the candidate's profile, at this time, the "clinical criteria for promotion" listed below for the Clinician-Educator and Practitioner series are not used for the Clinical Series. However, the amount of time any candidate spends on clinical practice activities will be considered as part of the evaluation process.
- If the area of excellence is research, the quantity and quality of research publications and funding will be related to the percentage of time devoted to research in the profile of activities.

Timeline:

There is no specific timeline for promotion; however, it is expected that faculty spend a sufficient amount of time in rank to demonstrate excellence in either research or teaching, and strength in service and the remaining area (teaching or research). For the majority of faculty this will probably average out to 6-7 years in rank. When the FAPTC evaluates the dossier, they will focus more on the most recent 6-8 years of academic activity.

Associate Professor vs. Professor

Evidence of a sustained contribution, particularly in the candidate's area of excellence, would be expected for successful promotion to Professor of Clinical [Dept.]. Sufficient time in rank at the Associate Professor level to demonstrate that the contributions are sustained and that the productivity is increasing is advised. It is expected that there be evidence of national and possibly international reputation for the candidate. As always, in promotions to Professor, evidence of leadership in research, education or service is also expected.

Dossier Preparation:

Dossier preparation for promotion or appointment in the Clinical Series is streamlined compared to tenure or Clinical Scholar dossiers. The section on quantitative analysis, including the cohort analysis, is not required. Fewer referee letters are required (a total of 5), the type of letters solicited may be different depending upon the areas of excellence and strength, and a cohort analysis is not required.

3. Educational Scholar

The Keck School of Medicine recognizes the importance of faculty who are appointed in the Clinical series who have demonstrated truly exceptional and sustained commitment to education by appointing and promoting them as Educational Scholar. Candidates for the Educational Scholar designation must fulfill all criteria for appointment or promotion on the Clinical Series.

General Expectations:

- This designation is only awarded at the Associate Professor and Professor ranks for excellence as an educator. The title would be Associate Professor or Professor of Clinical [Dept.] (Educational Scholar).
- The one criterion used by the FAPTC in considering candidates for this designation is evidence of outstanding and exceptional contribution to education, in terms of quality, volume, and impact. This level of contribution should be above and beyond expectations for a clinician educator, or someone on the clinical track with their area of excellence in teaching. Factors evaluated may include several or all of the following as evidence of the exceptional nature of the contributions:
 - Scholarship in educational journals
 - Leadership in education, such as by development of academic or educational programs, or directing those programs with distinction

- Development of widely recognized educational materials or teaching modules
- Successful competition for educational grants
- Didactic and clinical teaching evaluations
- Receipt of local or national awards for teaching
- Other forms of national recognition, such as may be seen in letters from extramural referees or invitations to present at major meetings

Appointment or promotion to Educational Scholar requires that the FAPTC determine that the contributions made by the faculty member are truly at an exceptional level in terms of quality and volume. Because these candidates must fulfill all the other criteria for appointment or promotion on the Clinical series, they are easily distinguishable from Clinician Educators. The difficulty for the FAPTC is in distinguishing between a faculty member on the Clinical series with teaching and mentoring as their area of strength, and an Educational Scholar. Again, the designation would be considered and voted on by the FAPTC, and a majority of the FAPTC membership must be convinced that the level of the contributions are in the superb, outstanding, or highly exceptional range when compared with the majority of faculty on the Clinical series with strength in education.

Timeline:

There is no specific timeline for promotion; however, it is expected that candidates spend a sufficient amount of time in rank to demonstrate excellence in educational research and teaching, and strength in service. For the majority of candidates this will probably average out to 6-7 years in rank. When the FAPTC evaluates the dossier, they will focus more on the most recent 6-8 years of academic activity.

Associate Professor vs. Professor:

Sufficient time in rank at the Associate Professor level to demonstrate that the contributions are sustained and that the productivity is increasing is advised. Promotion to the rank of Professor of Clinical [Dept.] (Educational Scholar) will require evidence of sustained exceptional contributions to education during service at the rank of Associate Professor and strong evidence of a leadership role in educational activities over time.

Dossier Preparation:

The dossier would be the same as that for the clinical series, but with extended documentation of the additional evidence of educational scholarship, and teaching excellence in the Teaching/Education section. Letters of support are expected from individuals with expertise in education and medical education in addition to the standard letters of support.

4. Clinician Educator Series

The Clinician Educator series was created for faculty who spend 85% or more of their time performing educational activities and clinical practice. This is the primary criterion for eligibility to be considered within this track, but it is not required that individuals with 85% or more of their time be appointed to this series. The faculty member must request transfer to this series with approval by the department chair, or it must be the series into which they have been hired.

Educational and clinical service activities may count towards the 85% criterion if these service activities are specifically related to their area of strength in teaching/educational activities or clinical service. The examples below demonstrate the types of service that may count towards the 85%. If there is a question, the candidate and chair should contact the Keck Office for Faculty Affairs. Performance of these types of activity will be evaluated when reviewing the dossier.

Educational Service that could be counted towards the 85%:

- Service on committees dealing with specialty training in which the candidate is normally engaged
- Administrative activities in teaching programs (e.g., fellowship or residency directors, etc.)
- Coordination and management of training at local, regional, or national levels

Examples of Educational Service that might not be counted towards the 85%:

- Service on graduate committees for trainees in other departments
- Service on admissions committee
- Service for the Center for Excellence in Teaching

Clinical Service that could be counted towards the 85%:

- Management and administrative aspects of practice
- Division head or chief roles
- Development and leadership of clinical programs

Clinical Service that might not be counted towards the 85%:

- Service on the Peer Review Committee at the hospital, or similar hospital-wide committees
- Service for external clinical societies and associations

General Expectations

- The title for this series would be Clinical Instructor of [Dept.] (Clinician Educator) or Clinical Assistant Professor, Associate Professor or Professor of [Dept.] (Clinician Educator).
- Faculty who are seeking promotion on this series are expected to demonstrate **excellence** in both teaching/educational activities/mentoring AND clinical care.
- It is not expected that these individuals have significant service outside their own specialized area, although they may have service within their area. With that said, when a candidate is being considered for Professor rank, it is expected that there be evidence of university service and leadership that could be up to 15% of their time.
- It is not expected that these candidates demonstrate significant activity in scholarship/research, such as demonstrated by published papers, funding for research, etc., with the following exception:
- Because the Keck School of Medicine is a research medical school, it is expected that all faculty on any clinical series play a role in *supporting* research¹. This can be done by:
 - Sponsoring a research project for a trainee, such as serving as a Required Scholarly Project (RSP) mentor for a medical student, or an advisor for a resident or fellow performing a research project.
 - Enrolling patients in appropriate research studies, including clinical trials

¹ This is not an absolute requirement, as there may be circumstances why one or both of these two activities may not be performed. Any circumstances that prevent these activities should be provided in the dossier. If there is an alternative activity that supports research, that might also be acceptable.

Timeline

There is no specific timeline for promotion; however, it is expected that faculty spend a sufficient amount of time in rank to demonstrate excellence in teaching and clinical care. For the majority of faculty this will probably average out to 6-7 years in rank. When the CAPC evaluates the dossier, they will focus more on the most recent 6-8 years of academic activity.

Associate Professor vs. Professor:

Sufficient time in rank at the Associate Professor level to demonstrate that the contributions are sustained and that the candidate's efforts in teaching/education and clinical services are gaining in strength is advised. Promotion to the rank of Clinical Professor of [Dept.] will require strong evidence and documentation of one or more leadership roles in both teaching and clinical service as a Clinical Associate Professor over time.

Dossier Preparation

Dossiers for individuals appointed and promoted within this series will be composed of essentially the same sections as shown for the Clinical series. A complete Research Section with quantitative analysis is not required, but may be presented if the individual has some research activity. The candidate's contributions towards supporting research efforts of residents/medical students, in enrolling individuals in clinical trials or documentation of why there has been no effort in this area should be documented in this section.

For promotions, clinical contributions will be evaluated based on composite survey results provided to the department by supervisors, peers and supervisees. For appointments, if surveys are possible, they may be used. Alternatively, letters of support that have been modified to request information about clinical activities may be requested for these individuals.

5. Practitioner Series

The Practitioner series was created for faculty who spend 85% or more of their time performing clinical practice. This is the primary criterion for eligibility to be considered within this track, but it does not mean that someone is required to be in this track if their profile includes 85% time in clinical practice. The faculty member must request a transfer to this series with approval by the department chair, or it must be the series into which they have been hired.

Clinical service activities may count towards the 85% criterion if these service activities are specifically related to their area of specialty or clinical service. The examples below demonstrate the types of service that may count towards the 85%. If there is a question, the candidate and chair should contact Faculty Affairs.

Clinical Service that could be counted towards the 85%:

- Management and administrative aspects of practice
- Division head or chief roles
- Development and leadership of clinical programs

Clinical Service that might not be counted towards the 85%:

- Service on the Peer Review Committee, or other hospital wide committee
- Service for external clinical societies and associations

General Expectations:

- Titles for faculty on the Practitioner Series will be Clinical Instructor of [Dept.] (Practitioner) or Clinical Assistant Professor, Associate Professor or Professor of [Dept.] (Practitioner).

- Candidates who are seeking promotion on this series are expected to demonstrate **excellence** in clinical care.
- Educational activities will constitute no more than 10-15% of the time for these faculty, but because this is an educational institution, it is expected that there be some minimal evidence of teaching or mentoring of trainees, other faculty members, staff, or community members. If there is no evidence, this should be explained in the dossier.
- Similarly, it is not expected that these candidates demonstrate significant activity in scholarship/research (no more than 5-10%), such as demonstrated by published papers, funding for research, etc., with the following exception:
- Because the Keck School of Medicine is a research medical school, it is expected that all faculty on any clinical series play a role in *supporting* research². This can be done by:
 - Sponsoring a research project for a trainee, such as serving as a Required Scholarly Project (RSP) mentor for a medical student, or an advisor for a resident or fellow performing a research project.
 - Enrolling patients in appropriate research studies, including clinical trials

Timeline

There is no specific timeline for promotion; however, it is expected that faculty spend a sufficient amount of time in rank to demonstrate excellence in clinical practice. For the majority of faculty this will probably average out to 6-7 years in rank. When the CAPC evaluates the dossier, they will focus more on the most recent 6-8 years of activity.

Associate Professor vs. Professor:

Sufficient time in rank at the Associate Professor level to demonstrate that the contributions are sustained and that the candidate's efforts in clinical services are gaining in importance is advised. Promotion to the rank of Clinical Professor of [Dept.] will require strong and sustained evidence of one or more leadership roles in clinical service as a Clinical Associate Professor for a number of years. A regional, national, or international reputation for clinical excellence for these candidates will be regarded favorably.

Dossier Preparation

Dossiers for individuals appointed and promoted within this series will be composed of essentially the same sections as shown for the Clinical series. Complete sections demonstrating Research or Teaching/Education/Mentoring efforts are not required but may be presented if there has been activity. The candidate's contributions towards supporting research or teaching efforts of residents/medical students, in enrolling individuals in clinical trials or documentation of why there has been no effort in this area will be presented in the remaining Research or Teaching sections of the dossier.

For promotions, clinical contributions will be evaluated based on composite survey results provided to the department by supervisors, peers and supervisees. For appointments, if surveys are possible, they may be used. Alternatively, letters of support that have been modified to request information about clinical activities may be requested for these individuals.

² This is not an absolute requirement, as there may be circumstances why one or both of these two activities may not be performed. Any circumstances that prevent these activities should be provided in the dossier. If there is an alternative activity that supports research, that may also be an acceptable alternative.

IV. Research Series

Keck School of Medicine faculty members with a research designation have a diverse range of approaches in how they fulfill their research roles. For example, some research faculty members manage independent laboratories and have external funding to support their research effort. Others serve as integral contributors to research teams, basically part of “team science,” or play a key role in supporting the activities of multiple investigators of a shared resource facility. In recognition of that variety, the guidelines for appointment and promotion of research faculty are designed to be sufficiently flexible to reflect each faculty member’s career path.

General Expectations

- Titles of faculty with the research designation are Instructor of Research [Dept.], or Assistant Professor, Associate Professor or Professor of Research [Dept.].
- Faculty members with the research designation generally devote greater than 80% of their effort to research. Thus, research scholarship is the key factor in appointment and/or promotion in this series.
- As described above, we expect faculty on the research series to be considered for promotion based on the type of research activity they perform, such as either one or both of the following examples:
 - Independent researchers: Individuals who are expected to have independently funded research and to publish routinely as first or senior author responsible for the research project. Key factors for promotion are ability to obtain external funding and evaluation of the publication record.
 - Critical member of a research team: These candidates are not required to have independent extramural funding as a principal investigator, but they must play an indispensable role in obtaining extramural funding for multiple projects and/or groups, and must have demonstrated creative scholarship through peer-reviewed publications to which they made specialized contributions.
- Contributions of research faculty as instructors in courses should not extend beyond one 4-unit class per year. Permission from the Provost’s office is required for temporary and time-limited increase beyond one 4-unit class.
- Training activities such as mentoring students or trainees (e.g., students or postdoctoral fellows, etc.) in research that is directly related to the candidate’s scientific field are legitimate activities for a research faculty member. These are considered research activities because they promote the progress of a research program, enhance the faculty member’s standing within their research field, and are not counted as educational or service activities.
- Service of research faculty should be primarily limited to the types of national service on grant review panels, manuscript and editorship for journals, and activities associated with a research society.

Timeline:

There is no mandatory duration at rank on the research track. Upon recommendation of the department chair or institute director, candidates may be considered for promotion at any time, as long as they have achieved criteria outlined in Section VI.A. for Associate Professor or Professor of Research. However, in general, it is expected that an individual would take approximately 6-7 years between each rank to accumulate sufficient information to evaluate for promotion.

Appointment to the rank of Instructor of Research is usually reserved for individuals who have a doctoral degree but have less than three years postdoctoral training. After two to three years at Instructor rank, and continuing evidence of scholarly productivity, a candidate may be

considered for promotion to Assistant Professor of Research [Dept.], based on a truncated dossier that provides documentation of their productivity (updated CV showing publications, grant funding and presentations), a personal statement, and written evaluations by the chair and mentors. External letters may be solicited, but are not required.

Appointment to the rank of Assistant Professor of Research is for individuals at the initial stages of establishing an independent research program, or who are key members of a research team or serve an important function in a departmental shared research facility. Candidates for appointment or promotion to the rank of Associate Professor of Research [Dept.] are expected to have demonstrated either 1) substantial independent scholarship and peer reviewed funding, 2) have played a critical or key role in multidisciplinary research projects or team science, or 3) both. Their role in contributing to the success of a large research program or running core facilities should be recognized beyond the institution, as demonstrated in referee letters supporting the promotion.

Appointment or promotion to the rank of Professor of Research [Dept.] is considered for those renowned for their expertise and who have demonstrated significant leadership in their research field. As the faculty member progresses in rank, it is expected that service would increasingly include activities at the university that will support, develop and improve conditions within the university research community, and/or lead or develop cross university research collaborations.

Dossier Preparation:

For candidates on the research series, the dossier should include a full quantitative analysis section, with publications, author order, journal impact factor, citations and H-index. A cohort analysis is not required, and any information about teaching/education/mentoring is expected to be less comprehensive than in the series that emphasize teaching. Five letters are required as described under Section VI.E.

V. Changing Promotional Track

A. Changes between Tenure Track and Non-Tenured Series

Any change in status of tenured or tenure track faculty is governed by the UCAPT Manual and the Faculty Handbook, and generally requires approval of the Provost.

A faculty member who is not appointed on the tenure track may not transfer to the tenure track, and the reverse may only occur with Provost's approval. Should a tenure track position be opened at the university, a non-tenure track faculty member may apply for the open tenure track position.

B. Changing from Clinical Series to Clinician Educator or Practitioner

Faculty who are on the Clinical series and wish to change to the Clinician Educator or Practitioner series, and who are not seeking promotion, may have this approved by administrative action if they meet the 85% profile of activities requirement, and their department chair is supportive. A CV, a profile of activities, a letter from the candidate requesting the change, and a letter from the Department Chair recommending approval should be provided to the Keck Office for Faculty Affairs. If the faculty member seeks a promotion, a dossier must be prepared and evaluated by the CAPC committee.

C. Changing from Clinician Educator or Practitioner to Clinical Series

Faculty at junior rank (Instructor or Assistant Professor) who have appointments on the Clinician Educator or Practitioner series and wish to change to the Clinical series may have this approved by administrative action by providing their CV, a profile of activities, a letter from the candidate requesting the change, and a letter from the Department Chair recommending approval.

Faculty at senior ranks (Associate Professor or Professor) who have appointments as Clinician Educator or Practitioner may be allowed to change to a junior rank Clinical appointment by administrative action as described above (this would be a reduction in rank). However, to change to the Clinical series at the same rank they currently have or a higher rank would require preparation of a clinical dossier, and full review and recommendation for approval by the FAPTC.

D. Changing between Clinician Educator and Practitioner

Faculty on either the Clinician Educator or Practitioner series may change to the other series without submission of a dossier, as long as their profile of activities (or proposed profile of activities) meets the 85% profile of activities requirements for the series to which they would be changing. This would be approved as an administrative action after providing a CV, a profile of activities, a letter from the candidate requesting the change, and a letter from the Department Chair recommending approval.

VI. Evidence in support of promotion or appointment

In this section, evidence used to demonstrate accomplishments in each of the four primary areas evaluated during the appointment and promotion process is described. For each section, guidance is provided on what aspects of the evidence are relevant for the different promotion series. Each promotion series requires only those areas necessary for evaluation on that series, as described above in sections II, III, and IV.

It is anticipated that individuals may demonstrate greater strength in one category than another. Depending on individual circumstances, considerable strength in one area can compensate to some extent for some weakness in another category. Every candidate is regarded in terms of the aggregate of their contributions, and it is the overall contribution that will determine a favorable outcome in terms of promotion or appointment.

Last, work performed over the most recent 6-8 years will be most heavily weighted during the evaluation, so that the reviewers can have a sense of the recent trajectory of the research career. Even so, information from the entire career history will also be included.

A. Research and scholarship

There is a research and scholarship component for all dossiers for Tenure Track, Tenured, Clinical Scholar, Research, Clinical, and Educational Scholar appointments and promotions. All evidence that provides documentation of the impact a candidate has had in their field is reviewed. This evidence can take a number of different forms that are described below. Research can be basic or fundamental, clinical or translational, pharmaceutical firm or foundation supported, or may even be unfunded. All research activity should be reported in the dossier.

1. Publications:

Scholarly work is by far most often in publication form. Types of publications reviewed in this category include peer-reviewed original research publications (including, increasingly, certain highly regarded on-line publications), peer-reviewed reviews or invited reviews, chapters, books, edited books, manuals, national treatment guidelines, clinical trials summary data reports, on-line publications that are not peer-reviewed, case reports, letters to the editor, abstracts, theses and dissertations, as well as any other published format.

The type of publication produced, the quality of the venue where the work is published, the number of citations the work has received, and the candidate's placement in the list of authors are all factors weighed by the review committee. Generally, the publications most valued are those that describe peer-reviewed original research. Author placement is most highly valued when it suggests significant contribution (first, senior, or "contributing" authorship counts more heavily).

The issue of independence in scholarly work is one that is carefully evaluated by the appointments and promotions committees, particularly for those on the Tenure Track and for Clinical Scholars. To achieve tenure or the Clinical Scholar designation, a candidate is expected to have demonstrated independent original scholarship that is recognized in their field. Although expectations for independence vary by field, it is generally expected that candidates will develop a record of significant scholarship that does not include previous mentors as co-authors. Where the specific contributions of the candidate may not be clear, these issues should be specifically addressed in the personal statement, and in narrative descriptions of the candidate's contribution for each publication.

As noted before, candidates who work in team science or in cross-disciplinary fields are encouraged to consult the UCAPT manual, where these issues are specifically addressed. Demonstration of independence in scholarship is less important for the Clinical series.

Objective measures obtained from external sources, such as journal impact factor, citations, and H-factor are provided within the dossier as independent variables that may be informative to the reviewers, but only in the broader context of the body of work of the candidate, and the entire dossier. Journal impact factors may be helpful in some fields, but may not be as appropriate in others (e.g., when there is a small field), in which case additional information about the top journals in the field should be provided by the department or referees. Citation number, while indicating attention paid to an article in the literature, is not necessarily an indicator of the value of that published contribution to the field. For some types of publications, (e.g., national treatment guidelines), citations may be less relevant. If there is some other measure that may indicate the impact of the work (for example, number of adopters of the guidelines), then that measure should be provided. H-factor is a measure that can be variably interpreted based on how it is calculated. The UCAPT manual should be consulted for a more detailed discussion of the value and interpretation of these measures (used primarily for Tenure Track, Tenured, and Clinical Scholar appointments and promotions).

2. Funding:

Indirect but important evidence of the impact of the faculty member's work can be demonstrated by funding of the candidate's research ideas. All current and past or completed funding received by the candidate should be included in the dossier, and for each funded project the following information is essential: the title, the source, years of the award, the total funding amount, and the candidate's role in the project (PI, Multiple PI, Co-Investigator or Key Personnel). If the candidate is not the PI, then the identity of the PI should be indicated.

Independently obtained funding as principal investigator is valued most highly. Generally the value placed on the funding source is also based on 1) whether the funding is acquired on a competitive basis, 2) how difficult it is to be funded by that source, and 3) who performs the review of the proposal, and how rigorous the proposal's review is. It is not the total dollar amount of funding that is considered *per se*, although larger grants tend to be more competitive.

For those engaged in biomedical research, as many at the Keck School are, obtaining independent funding for one's research is regarded with such high importance that it would be rare for a faculty member to achieve tenure without that funding. Conversely, even if one has obtained this type of funding, it is no guarantee that tenure would be awarded.

If one were to "rank" funding sources in terms of relative importance, it would be as follows: federal funding for original research > foundation or other non-federal funding > funding from corporations > local "in-house" funding (e.g., Wright or Zumberge awards) > gifts from donors (unless competitively awarded). Funding for clinical trials is more important for Clinical Scholar and Clinical designations than for Tenure.

Awards made by NIH study sections are particularly valued because they are generally rigorous in their evaluation of proposals. Successfully obtaining an NIH individual investigator award is of particular value (R01), especially for Tenure Track and Tenured faculty. Important but probably less valuable are R21 or R03 awards (although this can vary by Institute). Similarly, K awards are excellent first steps, but are generally expected to be converted to R awards as the candidate's career proceeds. Other federal funding that might be regarded as equivalent to an NIH R01 in prestige would be DOD funding of certain areas of biomedical research, NSF funding, or individual projects within a program project award, etc. More senior faculty (usually) may be PIs on P or U awards or other major consortium initiatives, which are also highly valued.

3. Awards and Honors

Awards received by the candidate indicate their value in their field. The type of award (school or university, local, regional, national or international) and the basis for which the award is made is important. Where the basis for the award is not clear, the reason the award was received should be presented in the dossier (e.g., teaching excellence, outstanding or innovative research).

4. Invitations

When the candidate is invited to give seminars or presentations at national meetings, this is an indication of both the value with which the work is held, as well as a demonstration that the candidate is disseminating knowledge of their work. The candidate should indicate if the presentation is an invited presentation. Keynote speeches, as well as major addresses with a national audience are of particular importance and should be designated as such. It is important for candidates to have their work subjected to the critique of experts, as the intellectual discourse may strengthen the work, and increase the chance for productive collaborations.

Further discussion of research and scholarship by series:

Tenure Track, Tenured, and Clinical Scholar

Faculty members are directed to the UCAPT manual for what is specifically recommended for research and scholarship. Tenure track and Tenured appointments and promotions also require a cohort analysis, and the process for creating one is again described in the UCAPT manual.

Clinical Series

On the clinical series, faculty seeking promotion may present research or scholarship either as their area of excellence or their area of strength. Even when research is the candidate's area of excellence, the committees understand that the impact is not expected to be on the same scale as that demonstrated by those seeking Clinical Scholar, Tenure Track, or Tenured promotion. This is because candidates for promotion in the Clinical Series generally do not have as much time devoted to research as those with the Clinical Scholar designation (with the exception of those who are Assistant Professors of Clinical [Dept.] who may be preparing for promotion with the Clinical Scholar designation). A comparison of what may be expected if one declared research the area of "excellence" versus "strength" is shown below.

Excellence vs. Strength in Research on the Clinical Series

"Excellence" in Scholarship:

- Substantial number of peer-reviewed papers in clinical specialty journals, with first or senior authorship, chapters and invited reviews.
- Grant funding at some level (federal, state, pharmaceutical, foundation)
- Invited to give local and national (international) talks in area of expertise
- Sets national practice standards in their field
- Runs symposia at national meetings, invited to national panels
- May review grants/manuscripts
- Awards

"Strength" in Scholarship:

- Fewer papers: but must at least demonstrate having some impact in the area of expertise, or of "moving the field forward". Papers should include papers published since starting at USC. Chapters, author initiated reviews, and case reports are less highly valued but are still considered.
- Smaller amounts of funding supporting research effort, there is expectation of enrolling in clinical trials or, even stronger, initiating clinical trials.
- At the minimum, invitations to speak on area of expertise locally and voluntary presentation nationally.
- Participation (presenting) at national meetings.

Clinician Educator and Practitioner Series

This section may be truncated in the dossiers for promotion on the Clinician Educator and Practitioner series as described in Sections III. A. 4 and 5.

Research Series

Promotion within the research series requires evidence of a positive trajectory in scholarship, a defined, key role in the acquisition of grant funding, and external recognition of expertise and accomplishments. Evaluation of a candidate's publication record will not only evaluate first and last authorship positions, but will also include the candidate's significant contributions as a middle author. Likewise, an individual's contributions towards securing external grant support may include roles as investigator or collaborator, or as other "key personnel" on an application.

Candidates for appointment or promotion to the rank of Associate Professor of Research are expected to have either obtained substantial independent peer-reviewed funding, or to play an important role in obtaining funding for the research projects of multiple investigators, or a mixture of both. They are expected to have publications that demonstrate a significant contribution to the body of scientific knowledge by either their research teams or their cores. They may be critical players in developing and adopting innovative approaches in their areas of expertise. This may be demonstrated by invitations for presentations at other universities or national scientific conferences, participation and leadership in professional organizations, and by recognition in letters from arms-length reviewers who identify specific contributions he/she has made to the field. Professors of Research may play an indispensable and distinct senior role as either an independent investigator or as a member of a research team pursuing cutting edge science, or director of a shared research facility.

B. Teaching, Education, and Mentorship

All candidates for appointment at or promotion to senior rank on the Tenure Track or with tenure, and the clinical series, are expected to demonstrate accomplishments in Teaching, Education, and Mentorship. Candidates for appointment or promotion in the Practitioner and Research series may have more limited and defined activity in this category, as described below. Evidence of excellence or strength in support of promotion can be provided by a number of different measures described below.

The School solicits letters from peers or supervisors of the candidate's teaching efforts to evaluate their teaching effectiveness. These letters may be from the Residency or Fellowship Director, Director, Division Head, or Course Educational Coordinator for a particular course or program, and should specifically address competence, effectiveness and skill in educational activities. In addition, student/trainee/mentee letters are solicited from past or current trainees of any type (undergraduate, graduate, medical, resident, fellow, etc.) using the template provided by the Keck Office for Faculty Affairs. Each dossier should include a list of current and former trainees mentored by the candidate along with current contact emails (if available). For Tenure Track and Clinical Scholar dossiers, a description of where the trainees are currently employed is often valuable.

Contributions to didactic teaching (amount, time), courses developed at USC and elsewhere, educational programs created and administered should be highlighted, as should teaching evaluations. The committees are particularly interested in teaching/training evaluations over the past few years. (The candidate should accumulate these on his or her own, as systems providing these teaching evaluations are not always as reliable as would be hoped.) Participation in curriculum committees, curriculum revision, accreditation activities, residency site visits or ACGME accreditation, and honor code, disciplinary or performance committees are

all included as teaching administrative activities. Supervision of RSP projects and residency research activities can be included under education

Leadership roles played in medical student or resident/fellow education (system chair, clerkship advisor, residency or fellowship director, etc.) are important, particularly in promotions to Professor. Any publications based on educational activities may be important for the Educational Scholar designation.

Teaching awards and recognition received for excellence in teaching either in the classroom setting, in one-on-one training, or in mentoring activities are evidence of excellence in teaching.

Tenure Track, Tenured, and Clinical Scholar:

Faculty members are directed to the UCAPT manual for what is specifically recommended for teaching, education, and mentoring. At the Keck School, it is expected that Tenured/Tenure Track faculty devote a minimum of 20% of their time to teaching, education and mentorship.

Clinical Series:

Candidates seeking promotion or appointment at advanced rank in the clinical series are expected to demonstrate either excellence or strength in teaching, mentoring and educational activities. This is assessed by a number of mechanisms described above. In the case of teaching/training/mentorship, the difference between “excellence” vs “strength”, will be primarily in quantity and quality of educational activities.

Educational Scholar:

Those candidates seeking the Educational Scholar designation must provide evidence that supports their exceptional contributions to the practice of education or in the leadership of major educational programs, such as large ACGME training programs, basic scientific curricula, pre-clinical curricula, or undergraduate clinical curricula at the Keck School of Medicine. The FAPTC will evaluate candidates' records with an emphasis on the following: scholarship in education (such as that demonstrated by publications on educational methods or content), successful competition for educational grants, didactic and clinical teaching evaluations; receipt of local or national awards for teaching; forms of national recognition (such as letters from extramural referees or invitations to present at major meetings on educational accomplishments). Volume of activity will also be considered. There is also a section in the dossier for original or innovative teaching materials produced, or widely recognized educational materials or teaching modules developed, or major enhancements of teaching skills or leadership in education (including receipt of advanced academic degrees or completion of accredited training programs).

Clinician Educator Series:

Candidates seeking promotion on the clinician educator series are expected to demonstrate excellence in teaching/education and mentoring, and thus this should comprise a major section of the dossier. All available documentation from any of the examples above should be included in the dossier.

Practitioner Series:

This section may be truncated in the dossiers for promotion on the Practitioner series as described in Section III. A. 5.

Research Series:

Research faculty are not required to be involved in teaching/education, but may be involved in mentoring trainees in the laboratory. See Section IV, for a detailed discussion.

C. Department, School, University Service, Other Service

In this context, service refers to academic service to the department, university, school, to the field regionally or nationally, or to another institution, e.g., hospital or foundation. General clinical service is not part of this criterion. Service to the department, school, or university is demonstrated by service and/or leadership on departmental, school or university committees or task forces, serving as representatives in governing bodies (e.g., Faculty Council or Academic Senate) or by performing specific administrative roles within the department, school, hospital or university.

Regional, national or international service to the field includes service as a member or leader in biomedical or medical societies and organizations, service on committees for those organizations, service on international, national or local grant review panels, editorial services for journals, and manuscript review. Participation on national panels for NIH, NSF, the National Academy of Medicine or other prestigious institutions is highly valued.

At the beginning junior faculty level, academic service is not expected to comprise a significant percentage effort in their profile of activities. In fact, too much effort in service is actually discouraged until the junior faculty member can make progress in establishing their career in terms of scholarship and/or education. For example, permanent membership on major grant review panels (rather than occasional participation) can have a negative effect on a junior faculty member trying to establish their research program, and should not be encouraged. As the faculty members become more advanced in rank and particularly as they are promoted, it is expected that faculty will assume greater responsibility in these areas. They are particularly important in demonstrating leadership activities for promotion to the rank of professor.

Service within the different promotion series

Tenure Track, Tenured and Clinical Scholar faculty members are directed to the UCAPT manual's recommendations for service. For the other series, Sections III and IV should be consulted for specific recommendations.

D. Referee letters

Referee letters that evaluate the candidate are an extremely important component of the dossier and may address accomplishments in any of the areas evaluated. *The identity of the referees is always kept confidential.* Different types of letters (described below) may be solicited depending on the promotion series as described below. In order to increase the likelihood of a thoughtful and relevant review by an external referee, a candidate can ensure they are “known” in the field in years prior to the promotion, by seeking out eminent individuals in the field to discuss their work, by giving invited lectures at other universities or national meetings, and by ensuring their work is of such high value that the field takes notice.

Referee letters should be solicited only from faculty who are at the rank being considered for promotion or higher (unless prior approval is obtained for individuals who might have specific expertise or knowledge that is relevant in the evaluation). Letters should *only* be requested by the department chair (or division head) or institute director (or one of the Keck Faculty Affairs Deans) unless prior approval is given by the Keck Office for Faculty Affairs for another individual to solicit those letters. The candidate should *never* be asked to solicit letters or to communicate directly with the referee. If the referee contacts the candidate with a query, the candidate should defer the communication to the Department Chair.

Types of Letters

Two types of letters are solicited, “arm’s length” and “working”. In the dossier, “arm’s length” and “working” letters are presented separately.

- “Arm’s length” indicates the individual may personally know the candidate and serve with them on national committees or study sections, but has not published³ with them, trained them, trained with them, and was not located within the same department at the same institution at the same time as the candidate was either in training or employed by that department. “Arm’s length” referees also have not collaborated in receipt of a grant or award with the candidate. (Certain exceptions to the latter could apply in the case of large consortia grants, but please consult with Keck Faculty Affairs). Any significant personal connection also rules out individuals from the “arm’s length” category.
- “Working” letters are obtained from collaborators, or individuals who trained or trained with the candidate. “Working” letters can be of considerable value under certain circumstances where an individual’s contribution to a particular project is not entirely clear. These letters are included in the dossier as well.

Tenure Track and Tenured Candidate:

For Tenure Track, and Tenured promotions, the UCAPT manual and the Office for the Vice Provost of Academic and Faculty Affairs provide required template solicitation letters, and provide guidance for the individuals who should be contacted for letters.

Clinical Scholar:

Information about soliciting referee letters is provided by the UCAPT Manual. However, please use the template provided on the Keck Office of Faculty Affairs website for referee letter solicitations for candidates for Clinical Scholar.

Clinical Series:

The types of letters solicited for a candidate in the clinical promotional series depends on the declared area of excellence. If the area of excellence is research and scholarship, we would expect the candidate's research to have established their importance in the field. In this case, 3 (and better, 4) of the letters would be from “arm’s length” referees, evaluating the research contributions of the candidate. On the other hand, for those whose area of excellence is teaching/education/mentoring, internal letters from individuals who can evaluate the specific contributions to teaching and mentoring would be more valuable in assessing the candidate. Any “arm’s length” letters submitted for these candidates thus would likely reflect their “strength” rather than “excellence” in research. Therefore, for candidates with excellence in teaching/education/mentoring, a proportion of 1 (or 2) “arm’s length” referees and 4 (or 3) internal “working” letters would be expected. If there is a question about proportion for any individual candidate, the Keck Office for Faculty Affairs should be consulted. A total of five referee letters are required as described above, but additional letters could be requested if they provide insight into certain aspects of a candidate’s career accomplishments.

Educational Scholar:

For the Educational Scholar series, it is important that more than one letter be solicited from experts in the field who are themselves proficient in medical education activities.

Research Series:

If a candidate is being considered on the basis of their independent research program, then the great majority of their letters would be “arm’s length”. If they are being evaluated on the basis of their contributions to a scientific team, the “arm’s length” letters should recognize their contribution to their team, and should be accompanied by internal letters that describe in detail their individual contribution to the team effort.

³ In the case of individuals who have published as part of a very large consortium of investigators with the candidate, they may still be “quasi-arm’s length” as long as they do not personally know the candidate and are not at the same site. Ask the Keck Office for Faculty Affairs if there is a question.

Clinician Educator and Practitioner Series:

For the Clinician Educator and Practitioner Series, particularly in the case of appointment at advanced rank, letters may be solicited rather than survey results for evaluation of a particular candidate. In this case, detailed information about the candidate's clinical expertise (and teaching strength for Clinician Educator) will be requested. The Keck Office for Faculty Affairs will provide a template solicitation letter in this case.

Template Letters:

For appointment and promotion as a Clinical Scholar, or on the Clinical and Research Series, template letters will be provided by the Keck Office for Faculty Affairs. Any deviation from use of the template solicitation letters must be approved by the Office for Faculty Affairs.

E. Clinical Service (Clinician Educator and Practitioner Series Only)

Excellence in clinical practice is currently a requirement for only those with Clinician-Educator or Practitioner designations. Information provided to document the excellence will be of two types 1) results of an anonymous survey administered to supervisors, peers, and supervisees addressing specific areas of performance in clinical activity, and 2) objective information about volume and quality of clinical performance and contributions. A third area, leadership demonstrated in either teaching/education/mentoring and clinical performance (Clinician Educators) or clinical performance alone (Practitioners) will be evaluated for promotion to Professor rank.

1. Survey

Each referee will evaluate the candidate in four clinical areas using a Likert scale form, in addition to providing a narrative option summarizing their overall evaluation. Referees may be internal and/or external (for promotion) or external (for appointment).

General Clinical Proficiency:

- Maintains up-to-date knowledge base appropriate to scope of practice
- Maintains current technical/procedural proficiency
- Applies sound diagnostic reasoning and judgment
- Applies sound therapeutic reasoning and judgment
- Applies evidence from relevant scientific studies
- Seeks consultation from other care providers when appropriate
- Maintains appropriate clinical productivity
- Demonstrates reliability in meeting clinical commitments

Communication:

- Communicates effectively with patients and their families
- Communicates effectively with physician peers, trainees and other members of the health care team (e.g., nurses, nurse practitioners, respiratory therapists, physician assistants and pharmacists)
- Maintains appropriate medical documentation

Professionalism:

- Treats patients with compassion and respect
- Serves as patient advocate (puts the patient first)
- Respects patient confidentiality
- Shows sensitivity to cultural issues
- Treats physician peers, trainees and other members of the health care team (e.g., nurses, nurse practitioners, respiratory therapists, physician assistants and pharmacists) with respect
- Is available to colleagues

- Responds in a timely manner

Health Care System:

- Effectively coordinates patient care within the health care system
- Appropriately considers cost of care in medical decision-making
- Participates in quality improvement activities
- Demonstrates leadership in clinical program development and administration

2. Additional Clinical Information

Additional clinical information that can be provided as part of a dossier includes, but is not limited to:

- Clinical load (# clinic days, volumes of patient activity; wRVU-based clinical activity)
- Development and management of specific clinical programs
- Development of clinical CME programs and courses
- Participation on hospital committees related to their specialty
- Board certifications, completion of CME courses
- Community clinical outreach
- Presentations at local and regional grand rounds or conferences
- Visiting professor activities at other medical centers
- Grand Rounds given, Attendance at grand rounds
- Patient satisfaction (e.g., surveys, etc.)
- Narrative (letter) Peer evaluations, supervisor evaluations
- Local and regional lectures on specialty
- “Best Doctor” or “Top Doctor” status

F. Guidelines for Personal Statement:

1. Tenure Track, Clinical Scholar, and Clinical Series

- Length of the Document: Overall, length will depend on the candidate’s experience and the position for which he or she is being considered. Generally these statements should be two-to-five single-spaced pages in length. Those that are less than two pages are often deemed as lacking substance or not demonstrating that the candidate comprehends the value or importance of an academic appointment at the KSOM. A succinct document rather than a more conversational one, however, will be appreciated by the readers.
- Content: The writer should describe goals and plans for demonstrating excellence in scholarship, teaching (didactic, laboratory, and bedside), school and university service, and, if relevant, patient care or service. The document should also highlight features of a candidate’s professional training and experience that will facilitate his or her achieving the stated goals and plans. **This should not simply repeat information available in the candidate’s curriculum vitae.**
- Scholarship: To insure that the FAPTC (and/or UCAPT and Provost, for Tenure Track and Clinical Scholar) are able to interpret outside letters of recommendation and scientific achievements appropriately, the candidate should succinctly summarize a) an overview of their field for a general biology audience, b) the ongoing questions, challenges and/or controversies in the field, c) the overarching goal or theme of his or her scholarly work, including how different directions of the work may be related, d) the novel approaches that the candidate has developed or applied to the field, and c) how their research findings have impacted the field.

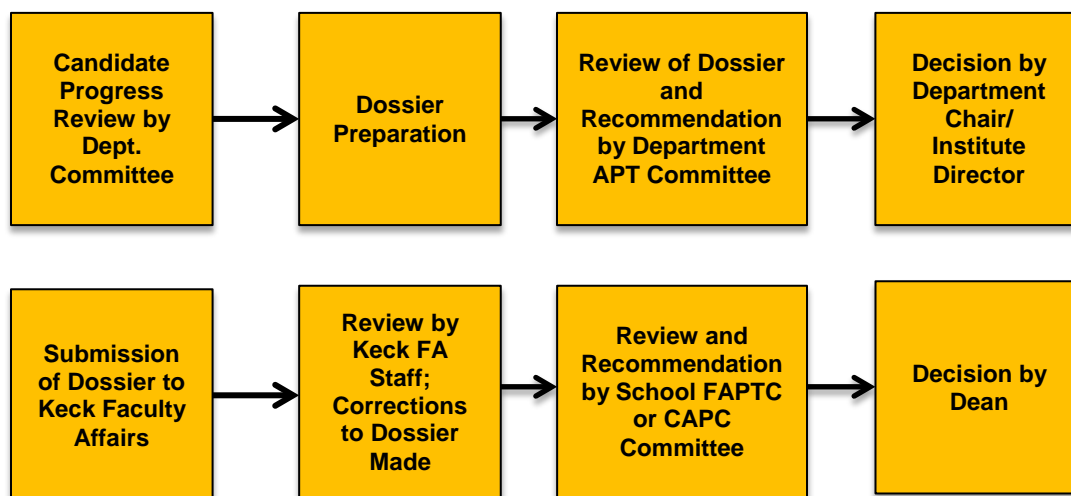
- d. Teaching and mentoring: It is expected that the goal for all faculty members is to provide excellence in teaching and mentoring for students, residents, and/or fellows, and, for more senior faculty, junior faculty colleagues. The candidate should summarize their accomplishments in these areas, and discuss their particular area of teaching/mentoring emphasis. They should present specific examples of how they have advanced the trainee/mentee experience in their area of emphasis, and how they have developed as a teacher and mentor. If the candidate is developing or improving educational programs (e.g., for medical students or residents, graduate students, special focus journal clubs, initiating new courses, implementing new teaching methods), these should be described.
- e. Service: The candidate should provide an explanation of how he or she will contribute to the service and direction of programs important to the Keck School of Medicine. This can include outside professional activities such as service to scientific and professional organizations, federal programs (NIH, NSF, CDC, DOD, DOE, etc.), and editorial responsibilities.
- f. Patient Care: A candidate with clinical responsibilities should provide an explanation of how he or she plans to provide the highest level of patient care and plans to develop or improve existing clinical programs at the KSOM.

2. *Clinician Educator, Practitioner and Research Series*

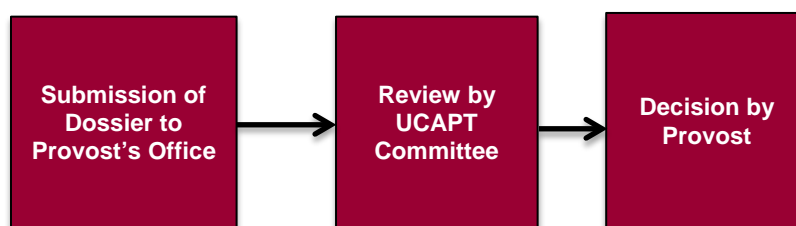
- a. Clinician-Educator Series: Candidates for appointment or promotion to advanced rank on the Clinician-Educator Series should provide a personal statement that focuses on teaching/education/mentoring (Section VII. B. 4, above) and clinical care (Section VII.B. 6, above). Minor sections of the personal statement can provide brief information about university service activities, and any research the candidate wishes to provide, but it is not required that these be elaborate or lengthy. Any activities supporting research, however, such as mentoring a medical student in an RSP project, or enrolling patients in research studies such as clinical trials should be succinctly presented. Leadership activities should be discussed more thoroughly for promotion to the rank of Professor. The length of the document should be no longer than 2-3 single-spaced pages, and the document should not simply reiterate information that can be ascertained from the CV.
- b. Practitioner Series: Candidates for appointment or promotion to advanced rank on the Practitioner Series should provide a personal statement that focuses on their role in clinical care (Section VII.B. 6, above). Any activities supporting research, however, such as mentoring a medical student in an RSP project, or enrolling patients in clinical trials should be presented. Information about mentoring activities for trainees, colleagues, students, or the community should be presented in this statement as well. Sections of the personal statement can provide succinct information about university service activities, any research the candidate wishes to provide, but it is not required that these be elaborate or lengthy. Any activities supporting research, however, such as mentoring a medical student in an RSP project, or enrolling patients in research studies such as clinical trials should be succinctly presented. Leadership activities should be discussed more thoroughly for promotion to the rank of Professor. The length of the document should be no longer than 2-3 single-spaced pages, and the document should not simply reiterate information that can be ascertained from the CV.
- c. Research Series: Candidates for appointment or promotion at advanced rank on the research series should provide a personal statement that focuses on their research

and scholarship as described in Section VII. B. 3 above. In addition, a candidate on this series should clearly state whether they would wish to be considered as an “Independent researcher” or a “Critical member of a research team” as described in detail in Section IV. A. Additional information about mentoring activities for research team members, and service should also be succinctly discussed. Leadership activities should be discussed more thoroughly for promotion to the rank of Professor. The length of the document should be no longer than 2-3 single-spaced pages, and the document should not simply reiterate information that can be ascertained from the CV.

VII. Process for Appointments and Promotions



If Tenure Track, Tenured or Clinical Scholar, additionally



A. Responsibilities in the Appointments and Promotions Process

It is important to emphasize that the entire process of consideration for appointment or promotion is to be kept confidential except for those who need to be involved in the decision. No one involved in any committee review or any evaluative process should communicate information about that process to the candidate or anyone else not directly involved in the decision.

During the appointment or promotion process, once a dossier has been submitted, there are no updates about where a dossier is in the process. This is because all steps in the process between submission and decision are advisory and result in recommendations to the final decision maker, the Dean or Provost, as appropriate.

1. Candidate for Appointment or Promotion Responsibilities

- First and foremost, the candidate must ensure that they meet the criteria for promotion through their academic activities.
- The candidate should work with the Department Chair/Division Chief or Institute Director on an annual basis to maintain an appropriate and representative Profile of Activities that accurately reflects overall effort. The Office for Faculty Affairs Website has templates for the Profile of Activities.
- The candidate must maintain their CV using the Keck School of Medicine format and ensure it represents the most up-to-date information about the candidate's accomplishments. Accuracy of the CV is of paramount importance and any errors in attribution of accomplishments are the responsibility of the candidate, even if administrative staff assist in formatting or maintaining the CV. Intentional misstating of

activities, or substantial negligence in attending to the accuracy of this document may be a matter to be considered for disciplinary action.

- The candidate is asked for names and contact information for 6-7 trainees from whom letters can be solicited.
- The candidate writes a personal statement (see the Guidelines for Personal Statement below).
- The candidate provides a list of 4-5 of their most important publications, with a brief statement of why the candidate considers them the most important. The list should contain hyperlinks to the journal article if possible.

2. Department Chair/Institute Director (and/or Division Chief)

- The Department Chair and/or Institute Director (Chair/Director), or Division Chief as appropriate, should, as part of their regular duties, provide ongoing advising for junior faculty in terms of their career advancement. This role is encouraged to be distinct from that of a faculty member's "Mentor" or "Mentoring Committee", who more formally interact with the faculty member in a mentorship capacity, and can serve as the faculty member's advocate. Every department should have a mentoring plan, and it is the Department Chair's responsibility to ensure the mentoring plan is administered for the benefit of all.
- The Department Chair/Institute Director (and/or Division Chief) should work with each faculty member on an annual basis to maintain an appropriate and representative Profile of Activities that accurately reflects overall effort. The Office for Faculty Affairs Website has templates for the Profile of Activities.
- For Tenure Track candidates, the Chair/Director should write letters of evaluation for the mid-probationary review. If remedial actions are recommended, the Department Chair/Institute Director should ensure that the candidate understands what the issues are, and that any appropriate or necessary actions are taken by the Department/Institute.
- For candidates who have a primary appointment in an academic department that is distinct from their membership in a research institute, the Institute is regarded as a secondary appointment and must complete all the steps necessary for a secondary appointment as described in these guidelines and the UCAPT Manual (including consideration of the dossier at the Institute level in addition to the department level).
- A major responsibility of the Chair/Director and/or Division Chief is to select the individuals who will provide the reference letters. The department chair may consult with others who are expert in the field to provide names, with the proviso that confidentiality of the identities of the referees is maintained. In some cases, the true local experts in the candidate's field are in the research institute and not the primary department. In these cases the Institute Director may assume the primary responsibility of soliciting the reference letters. The Chair and Institute Director should communicate about this, so that there is no duplication of effort.
- The Chair/Director must work with staff to obtain the information to be provided within the cohort analysis (for Tenure Track and Tenured dossiers only) about recently promoted peers in the field in the Quantitative Data section of the Dossier.
- The Chair/Director will review the dossier after it is completed and before any committee evaluation to be sure that it is an accurate record of the candidate's accomplishments and career progress.
- The Department Chair and the Institute Director must write letters indicating their degree of support (or lack thereof) for the promotion or appointment. They may collaborate on this letter and both co-sign, or if there is substantial difference of opinion, they may write separate letters. These letters should justify the expressed opinions by specifically

presenting positive and/or negative aspects of the career of the candidate. The Chair/Director should emphasize and explain the candidate's impact in the field. The Chair/Director should also describe the importance of that candidate in the context of the Department/Institute and School research or teaching programs. Any negative comments made by the referees should be specifically addressed as well in the Chair/Institute Director's letter.

- The Chair/ Director or the representative of the department who serves on the FAPTC panel will present the candidate to the panel and answer questions to clarify information presented within the dossier. Candidates reviewed by the CAPC panel will not be presented by chairs or representatives, but instead will be reviewed only on the basis of their dossier. In this latter case, if questions arise, the Vice Dean for Faculty Affairs will communicate with the Department Chair.
- In the case of a negative decision, the Chair/ Director will meet with the candidate and the Vice Dean for Faculty Affairs to discuss the decision and options.

3. Department or Institute APT Staff

- The staff of the candidate's Department or Institute (depending upon where there are sufficient resources) will be responsible for assembly of the dossier. This is usually done by the Appointments, Promotions, and Tenure (APT) Coordinator.
- The staff will assemble all the required forms and documents in support of the candidate's promotion according to the Dossier Checklist for each promotion series. The most current forms and an updated Dossier Checklist for each promotion series should be used, and may be obtained by downloading from the Keck Faculty Affairs Website (URL).
- The staff will ensure that all required forms have been appropriately signed.
- The staff will ensure the CV is in Keck School of Medicine format. The current template for the Keck CV may be obtained by download from the Keck Faculty Affairs Website.
- For Tenure Track, Tenured, Clinical Scholar and Research appointments and promotions, the staff will perform the quantitative analyses (number of publications, citations, journal impact factor, author order).
- The staff will prepare the summaries of teaching evaluations.
- Solicited Referee Letters: The staff will prepare the biographical sketches for referees to be submitted within the body of the dossier. The staff will prepare a chart of referees, showing for each referee: 1) who suggested the referee; 2) whether the referee is "arm's length" or "working" according to the descriptions in *Section VI.E.* in these Guidelines, and 3) whether the referee answers all the required questions in the submitted solicitation letter in a substantive manner. The chart should include all referees from whom letters have been solicited, including those who decline for lack of time or any reason. If letters have been submitted that do not answer certain important questions (depending upon the promotion series), a supplemental request should be made by mail or email, explaining the committees find answers to all questions extremely useful. All such communication with the referee should be fully documented in the dossier. If there are questions about which questions need to be answered for each promotion series, or whether a referee is "arm's length" or "working", please consult with the Keck Office for Faculty Affairs
- The staff will ensure that all referee letters are current (not older than one year). If there are questions about this requirement, the staff member should consult with the Keck Office for Faculty Affairs.
- The staff will make corrections in the dossier as indicated by the Keck Office for Faculty Affairs.

4. Keck Office of Faculty Affairs Staff and Deans, Keck School Dean

- The staff in the Keck Office for Faculty Affairs (KOFA) and the KOFA deans (Vice Dean for Faculty Affairs, Associate Dean for Appointments and Promotions, and/or Assistant Dean for Faculty Development) will provide workshops on career development and mentoring for all the promotion series. In addition, the FA staff and deans will provide workshops for APT coordinators to keep them up to date about changes in processes and guidance in producing acceptable dossiers.
- The KOFA staff will provide notifications of mid-probationary reviews and mandatory submission dates for Tenure Track faculty.
- The KOFA staff will accept completed dossiers, review dossiers for corrections and work with the department APT coordinators to ensure the dossier meets standards.
- For dossiers destined for CAPC, the KOFA staff will create and administer the surveys for evaluation of clinical performance, and provide that information back to the APT coordinator for inclusion in the dossier prior to Department APT committee review.
- Once any dossier has been administratively reviewed and accepted, the KOFA staff will schedule the review of the dossier at the FAPTC or CAPC meetings.
- The KOFA staff will ensure the on-time submission of dossiers to the Provost's Office when necessary (appointments and promotions on the Tenure Track, with tenure, or with the Clinical Scholar designation).
- The KOFA staff will add new information to dossiers as that information is received from the candidate or department, up until the point when a decision is made. Despite this, there is no guarantee that new information will be reviewed by the relevant panel once the dossier has been submitted and accepted by the Keck Office for Faculty Affairs.
- The KOFA staff will staff FAPTC and CAPC meetings, and keep a record of all votes and decisions.
- The KOFA deans will attend all FAPTC and CAPC meetings and provide counsel and resources for those bodies.
- The Dean of the Keck School of Medicine will review recommendations of the FAPTC and CAPC committee and make decisions to 1) support or not support Tenure Track, Tenured, and Clinical Scholar appointments and promotions, or 2) grant appointment or promotion to candidates in all other series.
- The Vice Dean for Faculty Affairs will notify candidates of their successful appointment or promotion, as well as the Department Chair/Institute Director and APT coordinator.

B. Templates

Keck Office for Faculty Affairs Website has the most recent versions available for download for the: 1) Dossier checklist for different promotion series, 2) promotion forms, 3) CV template, and 4) appropriate solicitation template letters for dossier preparation.

VIII. Abbreviations:

APT – Appointments Promotion and Tenure, either APT Committee (Departmental) or APT Coordinator

CAPC – Clinical Appointments and Promotion Committee (Clinician Educator and Practitioner series only)

CHLA – Children’s Hospital Los Angeles.:

DOD – Department of Defense

DOE – Department of Energy

FAPTC – Faculty Appointments, Promotion, and Tenure Committee (School)

KOFA – Keck Office for Faculty Affairs

NIH – National Institutes of Health

NSF – National Science Foundation

RSP – Required Scholarly Project (Medical Students)

UCAPT – University Committee on Appointments, Promotion, and Tenure

IX. Table Summarizing Clinical Promotion Series

Summary of Clinical Promotional Series							
Series	Title	Areas	Evaluated on Research	Evaluated on Teaching	Evaluated on Service	Evaluated on Clinical	OTHER REQUIREMENTS
Clinical Scholar	(Associate) Professor of [Dept] (Clinical Scholar)	1) Excellence in Research, 3) Excellence in Teaching/Educ/Mentoring 3) Strength in Service	Yes	Yes	Yes	No	Evaluated by UCAPT and Provost, Ten reference letters, 5-6 from arm's length referees
Clinical	(Assistant) (Associate) Professor of Clinical [Dept]	Excellence usually in one area (usually research or teaching), strength in remaining two areas	Yes	Yes	Yes	No	5 reference letters (proportions of different types depend on area of excellence)
Educational Scholar	(Associate) Professor of Clinical [Dept] (Educational Scholar)	Excellence usually in Educational Scholarship, strength in remaining two areas	Yes Research in area of Educational Scholarship	Yes	Yes	No	5 reference letters (see checklist for proportions of different types). Includes evaluations by referees with expertise in education
Clinician-Educator	Clinical (Assistant) (Associate) Professor of [Dept] (Clinician-Educator)	Teaching, Education and Mentoring, Clinical Practice	Only as appropriate for minimal part of profile, clinical trial enrollment or trainee supervision in research	Yes	Yes, if service is part of profile	Yes	Includes evaluations by trainees and mentees, by residency or fellowship director as appropriate. Supervisors, peers and supervisees asked to submit surveys on evaluation of clinical skill
Practitioner	Clinical (Assistant) (Associate) Professor of [Dept] (Practitioner)	Primarily Clinical Practice	Only as appropriate for minimal part of profile, clinical trial enrollment or trainee supervision in research	Only as appropriate if minimal part of profile, mentoring/training of colleagues or community physicians documented	Yes, if service is part of profile	Yes	Supervisors, peers and supervisees asked to submit surveys on evaluation of clinical skill