1. **PROCEDURES FOR ACADEMIC REVIEW**

A. Detailed information about the review process can be obtained on the Academic Personnel Office website [http://www.apo.ucla.edu/](http://www.apo.ucla.edu/). General rules governing the promotions process can be found in sections 100, 200 and 220 of the Academic Personnel Manual and in The UCLA CALL.

B. **Faculty eligible to vote.** By an open vote of the Neurobiology faculty at the faculty meeting on January 14, 2000, the right to vote on all professorial promotions and major advancement (to Professor Step VI and Professor Above Scale) was extended to all ladder, in-residence and recalled emeritus faculty. All faculty in attendance who were eligible to vote, voted in favor of this policy.

C. **Academic Review Committee in the Department of Neurobiology (NB-ARC).**

1. One standing committee (five members) will be elected by all ladder, in residence and recalled emeritus faculty of the Department of Neurobiology. The NB-ARC will evaluate faculty under consideration for advancement in all ranks of ladder, adjunct and in-residence faculty as well as their promotions. The NB-ARC also will consider promotions in the Research series. (Appointments and advancements in the Research series are approved by the departmental Chair.) A quorum of four committee members will be required to discuss each action. If not present at the committee meeting, the fifth member of NB-ARC must express in writing his/her evaluation of the candidate, approve and sign the Committee letter. The Committee chair will be chosen annually by the elected members of the NB-ARC.

2. **The election process:** All ladder, in-residence and recalled emeritus faculty (except those who have waived review in the department) will elect the necessary number of members of the NB-ARC in the month of May. With the exception of the departmental Chair, all voting members are eligible to serve on the NB-ARC. The make-up of the Committee will be proportional to the number of faculty in the department in two categories: 1) Professors and 2) Associate and Assistant Professors. At the time of each annual election, the faculty will be given ballots listing the faculty eligible for that election based on their rank, the number of positions to be filled and the need to have the Committee membership proportional to the distribution of the department’s faculty in the two categories listed above.

3. **Duration of service on the NB-ARC:** Committee membership will be for three years. The transition phase to accomplish three-year terms for each member will be completed by the 2005 election. (For details about the initial election of the NB-ARC and the transition process, see Addendum 1.) In subsequent years, to keep the committee membership at five, one or two members will rotate off the committee and be replaced by an equal number of newly elected members. Committee members are not eligible for consecutive terms. The new Committee will be activated June 1 annually.
4. The NB-ARC will handle all ordinary merit reviews. The Committee chair will assign primary responsibility for each dossier to one member of the Committee who will present the dossier and write the draft of the Committee letter. The NB-ARC Chair will have final responsibility for insuring that the letter reflects the Committee’s opinion. Ordinary merit reviews do not require a departmental vote. However, should a faculty object to the Committee’s recommendation, he/she has the option to bring the case to the full faculty for a vote. (Per Senate ByLaw 55, a request for a meeting has to come from three Senate members other than the candidate, and the meeting has to be held within 10 days.)

5. For actions that involve fourth-year appraisals, promotion to Associate Professor or Professor and merit advancements to Professor VI and Professor Above Scale, an ad hoc committee will be formed by the NB-ARC. As indicated above, all other merit advancements will be considered by the NB-ARC. For all actions, members of the committee will review the dossier and be required to read the relevant papers or manuscripts (maximum of five) that the candidate selects as her/his most important work under School of Medicine guidelines (see Addendum 2). If the primary appointment of the person under consideration is in another department, the NB-ARC will not consider a dossier unless a letter of evaluation is received from the primary department. (If such an individual is being reviewed by the Committee on Joint Appointments (CJA) for continuation of the joint appointment in the same academic year that he/she is being considered for promotion/advancement, it would be helpful if the recommendation of the CJA is received by the NB-ARC before it considers the action.) In conjunction with these actions, the candidate will be offered the opportunity to present a seminar. It is up to the candidate to decide whether or not this seminar will be open to graduate students, postdoctoral fellows and individuals from outside the Department.

6. At the candidate’s or departmental Chair’s request, or if the NB-ARC deems it necessary, the committee will consult with experts from the Department who can aid in the evaluation. Experts in the candidate’s area of research can be sought elsewhere in the University if they are not available within the Department. These experts will be designated by the NB-ARC and invited by the departmental Chair. They will be ad hoc committee members for the specific action under consideration. They will review the dossier and participate in the committee discussion. By University rule, members of the ad hoc committee who are not members of the Department cannot vote on the recommendation of the ad hoc committee. A minimum of two members from the NB-ARC will serve on each ad hoc committee.

7. An ad hoc committee will also be formed by the NB-ARC for all actions concerning the Chair of the Department. As for the other ad hoc committees, a minimum of two members of the NB-ARC will serve on this committee, while the other members can be selected either from within or outside of the Department. The members of this ad hoc committee will be designated by the NB-ARC by a majority vote and invited to serve on the Committee by the Chair of the NB-ARC.

8. Following the Committee meeting, the Committee letter is drafted. This letter should accurately reflect the recommendations made by each member of the
committee on the action under consideration. The committee letter will be made available to the candidate only for correction of errors of fact and omissions. For actions requiring a full faculty vote, the Committee letter and the dossier will be available for review and discussion by all departmental faculty eligible to vote. The discussion at the faculty meeting will be summarized by the NB-ARC member presenting the action and transmitted to the Chair of the Department which can then be submitted as an addendum to the Committee letter if necessary.

9. The faculty is expected to read the dossier in advance of the faculty meeting held to discuss the action. All discussion at these meetings is strictly confidential. Following discussion, the faculty will vote on the action by secret ballot within two working days of the faculty meeting. Dissenting faculty at any step in the process may write minority reports. After the Committee has released the final letter, with deadlines permitting, there will be a time limit of three working days for filing additional written reports. The committee letter and any minority reports will be submitted, in redacted form, to the candidate who will have an opportunity to write a response to the Chair of the Department. The final letter (and minority report, if applicable), will be forwarded with the dossier to the office of the Senior Associate Dean for Academic Affairs and from there to the Council on Academic Personnel (if required for the specific action).

10. Voting privilege of absent faculty: A faculty member who plans to be away from campus at the time of the faculty discussion regarding a personnel action, may vote in advance of the faculty meeting if the faculty member will not be returning to campus within 48 hours of the faculty meeting. It is the responsibility of the absent faculty member to review the dossier so that he/she can submit an informed vote.

11. Termination of In-Residence and Adjunct Faculty: All ladder, in-residence and recalled emeritus faculty vote on the termination of in-residence and adjunct faculty due to the lack of funding.

II. POLICY ON JOINT APPOINTMENTS IN THE DEPARTMENT OF NEUROBIOLOGY

A. Preamble: The Department of Neurobiology recognizes the desirability of offering joint appointments to faculty with exceptional research and teaching potential who share the goals of our faculty and are willing to participate actively in departmental activities.

B. Criteria for new joint appointments and continuation of joint appointments.

1. Faculty with joint appointments are expected to:
   a. Share the goal of the faculty of the Department of Neurobiology to be an outstanding research and teaching unit.
   b. Be committed to actively participate in departmental affairs, including:
      • Teaching in professional, graduate, and undergraduate courses in their general area of expertise
      • Research-related programs, e.g., seminars and training grants
• Service, e.g., committees

2. In recognition that these are joint appointments, the expected level of participation within the Department may be less than that from faculty whose primary appointments are in the Department of Neurobiology but, nonetheless, should be significant.

C. Procedure for initiating and renewing joint appointments.

1. Joint appointments will be proposed by at least two departmental faculty who are members of the Academic Senate or by the Chair. The proposal will be accompanied by a letter outlining and documenting the rationale for the proposed appointment. The documentation will be submitted to the Chair for initial consideration. The documentation and the Chair's response will be forwarded in writing to the Committee on Joint Appointments. This committee will consist of 5 members elected by secret ballot by the Department for a period of 3 years. (See Addendum 3, Election Details). At least 2 of the Committee members should have joint appointments (without a waiver). The Committee will then review the documentation and make a formal recommendation to voting Academic Senate faculty members.

2. Joint appointments must be reviewed every 3 years. For this purpose, holders of such appointments should submit to the Committee on Joint Appointments a report on their contributions to the Department during the past 3 years and a list of proposed contributions for the next 3 years. The Committee will review this documentation and make a formal recommendation to renew or not renew the joint appointment. This recommendation will be forwarded to the Chair for comment. After discussion by the faculty, any recommendation by the Committee for change in joint appointment status will be subjected to approval by secret ballot of appropriate Academic Senate faculty.

D. Review of joint appointees and waiver: joint appointees are reviewed by the Department of Neurobiology at the time of proposed advancements in step or level by the same procedure as specified in the departmental Bylaws for faculty with primary appointments in the Department. A waiver to this rule can be requested. Extension of a waiver can be requested every three years. With a waiver in place, our faculty do not vote on proposed advancements or promotions of the joint appointee. In addition, the joint appointee does not participate in the discussion and vote on proposed advancements or promotions of other faculty within the Department. After discussion of the waiver request, the faculty will vote by secret ballot to accept or reject the waiver. No request for a waiver can be submitted and considered when the process of reviewing the joint appointee has started (i.e., from the submission of the dossier to the final vote of the faculty on the proposed advancement).
III. PROCEDURES AND POLICIES FOR RECRUITMENT OF NEW FACULTY

A. In the case of new appointments to the ladder, in-residence and adjunct professorial series, the departmental Chair shall appoint an appropriately chosen ad hoc committee to screen the candidates and advise the Chair. In the case of ladder appointments, this committee shall also conduct the search. Its choice shall then be presented to the entire faculty in an open meeting, and all Senate members shall vote on the candidate by secret ballot. The Department’s Chair should seek the input of the faculty in terms of the research area of expertise of potential candidates, the advertisement of the position and the members of the Search Committee.

B. The appointments of visiting professors, adjunct lecturers and recalled emeritus faculty are presented and discussed in regularly scheduled faculty meetings for a voice or show-of-hands vote by all ladder, in-residence and recalled emeritus faculty.

IV. DOSSIER PREPARATION

A. When preparing the dossier for merit advancements and promotions, the candidate must submit the following for evaluation by the NB-ARC.

1. Research Contracts and Grants: When the candidate serves as a Co-Investigator or Investigator or in some capacity other than Principal Investigator, an accurate estimate of funds allocated to the candidate and the candidate’s research contributions for that component must be provided.

2. Publications: In cases where the candidate has published research papers, reviews or book chapters with one or more senior colleagues, a brief description must be given of the candidate’s role in each of the publications. For papers on which the candidate is neither first nor senior (last) author, the candidate must indicate the nature of his/her contribution to the work. If the work is performed solely with members of the candidate’s own laboratory, this fact can be indicated without further elaboration.

B. The bibliography: It is very important for the review process that the candidate’s bibliography be informative. Publications must be segregated into the following categories:

- Peer-reviewed research publications
- Research publications not peer-reviewed
- Peer-reviewed chapters and reviews
- Chapters and reviews not peer-reviewed
- Books authored or edited
- Abstracts – these should be listed as one indicator of participation in National Society meetings
- Miscellaneous, such as editorials, book reviews, etc.
C. Research Support: Include the following for each grant.

- Agency and grant number
- Title
- Principal investigator and percent effort
- Period of funding
- Total budget for the grant period.
- Current annual budget.

V. SABBATICAL LEAVE: The Regents Sabbatical Leave Policy is presented in Appendix 24 of The UCLA CALL.

VI. TEACHING POLICY

As the teaching responsibilities of the faculty continue to evolve, the Chair assigns teaching duties on a yearly basis to assure that the teaching obligations of the Department are fulfilled.

VII. FACULTY MEETINGS: Monthly meetings of the faculty are held shortly after the meeting of the Faculty Council of the School of Medicine. Faculty participation in these meetings is strongly encouraged. Minutes of the faculty meetings should be distributed to the faculty as soon after each meeting as possible. The Chair and the faculty through the Chair can schedule additional faculty meetings when necessary.

VIII. COMMITTEE ORGANIZATION: The Department has several types of committees:

A. Standing Committees

- Chair Advisory Committee – eight member committee consisting of the Department Chair, Department Vice Chair, and the chairs of the Academic Review Committee (2 co-chairs), Committee on Joint Appointments, Graduate Program Committee, Wasserman Building Committee, and Block 4 of the new medical student curriculum. Responsibilities: reviews and advises on department-level policies and strategies.

- Neurobiology Academic Review Committee – five member committee elected for three year terms in May annually. Responsibilities: reviews most personnel actions.

- Committee on Joint Appointments – five member committee elected for three year terms annually in May. Responsibilities: review of all applicants for joint appointment in the Department and review of the continuation of all joint appointments every three years. This committee focuses on the contributions of the faculty member to the Department.
• Graduate Program Committee – The graduate program is managed by the Graduate Student Advisor (currently the departmental ViceChair appointed by the departmental Chair) and the Graduate Program Committee (GPC) which consists of the GPC Chair (also appointed by the departmental Chair), the Graduate Student Advisor (with vote) and a minimum of three additional faculty members and one graduate student (with vote). These latter members of the GPC are appointed by the departmental Chair in consultation with the GSA and GPC chair. Membership on the GPC is for three years.

• Wasserman Building Committee.

• Alumni Relations Committee.

• Researcher/Postdoc Committee.

• Graduate Student Committee.

• Events Committee.

• Retreat Organizing Committee – The chair is appointed by the departmental Chair. The committee chair, with the approval of the departmental Chair, appoints one additional faculty member for a three-year term, plus seven graduate students for two-year terms. Responsibilities: selecting the site, dates and program of the annual retreat.

B. Interim Committees or Working Groups – these are appointed by the Chair as the need arises.

In addition to faculty committees, with the encouragement of the Chair, the Department has a Graduate Student Committee and a Postdoctoral Fellow/Researcher Committee. 

Addendum 1: Initial Election of NB-ARC.

In April, 2003 all ladder, in-residence and recalled emeritus faculty (except those who had waived review in the Department) elected six members of the initial NB-ARC. In order to phase-in three-year terms, two members rotated off the Committee in 2004 after completing one-year terms. To continue the transition, two members will rotate off the Committee in 2005 after completing two-year terms, and the final two members of the initial Committee will rotate off in 2006. If this plan is followed, after the 2005 election the NB-ARC will be composed of five members each serving three-year terms. The make-up of the initial NB-ARC was determined by the votes for faculty in two categories: 1) Professor and 2) Assistant and Associate Professors. This allowed the establishment of a committee with representation from the two categories of professors in roughly the same proportion as the distribution of faculty in the Department. During the course of the first year it became clear that a six-member committee could lead to tie votes, and the committee
membership was reduced to five. To accomplish this, although two members of the NB-ARC rotated off the Committee in 2004, only one replacement was elected.

Addendum 2: One's most important work.
Apparently due to some lack of clarity, in a letter from Senior Associate Dean Friedman dated June 26, 1998, more specific guidelines for faculty of the School of Medicine were announced. The period from which a candidate should select his/her five most important works varies with the level of the promotion or advancement according to these guidelines:

- For promotion to associate rank: works since appointment
- For promotion to full professor: works since promotion to associate rank
- For advancement to Professor Step VI and Professor Above Scale: entire career

Addendum 3: Election details, Committee on Joint Appointments
In accord with the policies adopted for the NB-ARC, the members of this committee will elect a chair annually, and committee members cannot be elected by the faculty to consecutive terms. In a transition phase, the members elected in 2004 and those elected in 2005 will rotate off the committee after one- or two-year terms.