# UCI Academic Personnel Review Process Overview

**A Workshop for Assistant Professors, Assistant Professors of Clinical __, Assistant Professors In Residence, Acting Professors of Law, and Lecturers with Potential Security of Employment**

**Tuesday, May 17, 2016 • 7:45 – 9:00 a.m. • University Club**

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## Welcome and Introductions

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<thead>
<tr>
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<th>Diane K. O’Dowd, Vice Provost for Academic Personnel</th>
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## Academic Personnel Review Process

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<th>Diane K. O’Dowd, Vice Provost for Academic Personnel</th>
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## Questions & Answers

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<th>Diane K. O’Dowd, Vice Provost for Academic Personnel</th>
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<tbody>
<tr>
<td></td>
<td>Virginia Richards, Vice Chair, Council on Academic Personnel</td>
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<td>Douglas M. Haynes Vice Provost for Academic Equity, Diversity and Inclusion; Director, ADVANCE Program</td>
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## Survey

<table>
<thead>
<tr>
<th></th>
<th>UCI ADVANCE Program for Equity &amp; Diversity — Junior Faculty Survey</th>
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<td></td>
<td><em>Please complete before you leave the workshop</em></td>
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## Workshop Handouts

<table>
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<tr>
<th></th>
<th>Available at: <a href="http://www.ap.uci.edu/events/index.asp">http://www.ap.uci.edu/events/index.asp</a></th>
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<tbody>
<tr>
<td></td>
<td>Handout Highlights:</td>
</tr>
<tr>
<td></td>
<td>♦ Academic Personnel Review Process Flow Chart and Overview</td>
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<td></td>
<td>♦ Review Process</td>
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<td>♦ Family Friendly Policies and Resources</td>
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<td>♦ University of California Policies, Procedures, and Websites</td>
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<td>♦ Advancement and Promotion at Irvine — Handbook cover page</td>
</tr>
<tr>
<td></td>
<td>(Interactive web version available on the AP website)</td>
</tr>
<tr>
<td></td>
<td>♦ UCI ADVANCE Program for Equity &amp; Diversity</td>
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</tbody>
</table>
Candidate submits information for review

Department makes a recommendation

Department Chair makes independent recommendation (optional)

Dean

Dean makes recommendation on promotions & non-delegated merits

Office of Academic Personnel reviews dossier for completeness

Council on Academic Personnel (elected by the Academic Senate) makes a recommendation

If CAP’s tentative recommendation differs from that of the Department or Dean, the appropriate person/unit is notified in case there is further information. Copy of Notice provided to candidate.

Provost and Executive Vice Chancellor/Vice Provost

If Provost and EVC tentative decision is different from CAP’s recommendation, CAP will be notified in case there is further information before a final decision is made.

Recommends to Chancellor on promotions and non-reappointments

Chancellor

Decides normal merits that have been delegated to the Deans (CAP review waived)

Ad hoc review committee (optional). Nominated by the CAP; approved and appointed by the Provost and Executive Vice Chancellor. May be called for promotions, non-reappointments, advancement to above scale, major acceleration, and tenured appointments.

Appointments, merits, and advancements
## Academic Series Overview

<table>
<thead>
<tr>
<th>Series</th>
<th>Ladder Rank</th>
<th>Academic Senate</th>
<th>Faculty</th>
<th>Eligible/Tenure/SOE</th>
<th>8 Year Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Teaching Titles</strong></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Professor</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Acting Professor of Law/Professor of Law</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Professor In Residence</td>
<td></td>
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<td>X</td>
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<tr>
<td>Professor of Clinical _________</td>
<td>X</td>
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<tr>
<td>Health Sciences Clinical Professor</td>
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<tr>
<td>Adjunct Professor</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
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<tr>
<td>Acting Assistant Professor</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Acting Associate Professor/Acting Professor</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Visiting Professor</td>
<td></td>
<td></td>
<td>X</td>
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<td>2 years</td>
</tr>
<tr>
<td>Lecturer with Security of Employment w/100% appointment *</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Lecturer with Security of Employment holding less than 100% appointment *</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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</tr>
<tr>
<td>Lecturer/Sr. Lecturer (Unit 18)</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td>18 qtrs</td>
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<tr>
<td><strong>Research Titles</strong></td>
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<tr>
<td>Professional Researcher **</td>
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<td>X</td>
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<tr>
<td>Project Scientist **</td>
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<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Specialist</td>
<td></td>
<td></td>
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<td></td>
<td>X</td>
</tr>
<tr>
<td>Postdoctoral Scholars</td>
<td></td>
<td></td>
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<td>5 years</td>
</tr>
</tbody>
</table>

* The combined years as Lecturer PSOE and the years in the title of Lecturer/Sr. Lecturer may not exceed a total of eight years of service. (See APM 133)

** The combined years as Assistant Project Scientist and the years in the title of Assistant Researcher may not exceed a total of eight years of service. (See APM 311-17)
MyDATA – An Online Database for Faculty Information

MyDATA is an online faculty database that assists faculty in tracking teaching, research and service activities. Once a faculty member’s data is entered into the system, s/he can extract it to produce a Review Profile which replaces the University Biography and Addendum forms used in an academic review. In addition, it can produce a variety of reports including but not limited to: NIH/NSF Biosketches, faculty CV’s and accreditation reports.

Faculty may access the database by visiting http://mydata.ap.uci.edu. You may login to myData using your UCINET ID and password.

The immediate focus of the project is to gather CV information for Senate Faculty who will undergo a review for the upcoming academic review cycle.

- Department staff will forward copies of faculty CVs to a Data Analyst in the Office of Academic Personnel at myData@uci.edu.
- As the data is uploaded and proofed by the Data Analyst, department staff are notified and provided with a Review Profile. *
- Department staff will notify faculty that their information is accessible. Faculty will need to verify all information for accuracy.
- A Review Profile can be generated and used for each review cycle.

After the data has been uploaded, faculty will be expected to use the database to maintain and track their activities.

The Office of Academic Personnel will continue to initially upload faculty CVs into the database, until all faculty have been entered.

If you have questions, please see your department manager. Individual or system tutorials can also be arranged by your manager.

* Faculty are welcome to navigate through the system and enter their information into the database if they choose to do so
August 24, 2015

ACADEMIC DEANS
VICE CHANCELLOR FOR RESEARCH

RE: Annual Progress Report for Academic Personnel Actions
2015-16 Review Cycle

This memo is the "Annual Call" for merits, promotions, midcareer appraisals, and all other academic personnel actions to be effective July 1, 2016. Annual Progress Reports are attached for each department to review, annotate, and return to Academic Personnel no later than Wednesday, September 17, 2015.

Please work with your chairs to meet the deadlines listed below, especially for tenure cases. Please note that postponement of tenure files require significant documentation—those cases are subject to an earlier deadline of November 1. Guidelines for postponement of the tenure review are located in the Academic Personnel Procedures, Section 3-50 (APP 3-50, located at: http://www.ap.uci.edu/APP/3-50_asst.html)

Campus Deadlines for the 2015-16 Academic Review Cycle:

| November 2 | Postponement of Tenure Review |
| November 2 | Merits, including one-year accelerations |
| December 1 | No Change |
| December 1 | Reappointments |
| December 1 | Midcareer Appraisals |
| December 1 | Fifth Year Reviews |
| February 2 | Promotions |
| February 2 | Nonreappointments |
| February 2 | Advancements to Professor VI |
| February 2 | Above Scale actions |
| February 2 | Merit, Accelerations of two or more years |
| February 2 | All other actions, including non-Senate actions |

Deans should set deadlines for their units that allow them sufficient time to review cases before forwarding the files to Academic Personnel.

Guidelines outlining this process are located in the Academic Personnel Procedures, Section 3-30 (APP 3-30, located at: http://www.ap.uci.edu/APP/3-30_chair.html). If you have any questions regarding the Annual Progress Report, please contact your assigned Academic Personnel analyst.

Diane K. O’Dowd
Vice Provost for Academic Personnel

Attachments
The Council on Academic Personnel (CAP) – Frequently Asked Questions (FAQ)

The Council on Academic Personnel (CAP) is a standing committee of the Academic Senate of UCI. It is a faculty body that makes recommendations to the Administration regarding appointments, promotions and merit increases.

Resources on the CAP webpage include a list of Frequently Asked Questions (FAQ) which are grouped into the five sections:

A. ACADEMIC PERSONNEL STANDARDS AND CRITERIA | FAQs 1-13
B. THE PERSONNEL REVIEW PROCESS | FAQS 14-27
C. WHAT IS REVIEWED; CONTENTS OF THE DOSSIER | FAQS 28-48
D. COUNCIL ON ACADEMIC PERSONNEL PROCEDURES | FAQS 49-62
E. CRITERIA FOR OTHER SERIES | FAQS 63-68

Frequently asked questions criteria for Tenure and Mid-Career Appraisal can also be found under FAQ #9 and 16:

9. What are the criteria for tenure? If an assistant professor completes a major project earlier than expected, e.g., turns the dissertation into a book within a year, is acceleration to tenure appropriate?

CAP expects a tenure file to describe a career of a person whose accomplishments match those of an associate professor (see Question #1 above). These include the publication of doctoral work, a start on a second, independent project, renewal of initial funding according to disciplinary norms (e.g., in many of the sciences), and external evidence of visibility in the profession. Reasonable experience in teaching, professional activity, and university service are expected.

Evidence of formal acceptance of books, journal articles and book chapters is essential if the works are not available in published form at the time of the tenure review.

For fields in which book publication is the norm for tenure, a completed book manuscript does not carry nearly as much weight as one that has been fully peer-reviewed and evaluated. A provisional contract does not carry nearly as much weight as evidence that a book manuscript is in its final form, formally accepted for publication, and in production. If a book is primarily a revision of the dissertation, peer reviewed evidence of a second, independent project is expected. Published reviews in professional journals provide incontrovertible evidence of a book’s significance and impact.

Assistant professors are sometimes advanced to tenure in less than six years, especially if they are hired at an advanced step.
16. What does CAP look for in a mid-career appraisal? Some assistant professors become discouraged with a cautionary vote on their mid-career appraisal; what does “cautionary” really mean?

The purpose of the mid-career appraisal is to inform an assistant professor in a thorough and formal way about her or his prospects for tenure on the basis of the accomplishment so far. It is a crucial document and one of the most effective instruments in the UC personnel system.

The mid-career appraisal thus serves a very different function from the departmental letter for a merit increase and should not simply re-state the case made for a merit increase.

Of utmost importance are rigorous evaluation and complete candor. If there are weaknesses in the candidate's career to date, a department's natural reluctance to cause pain can do much more harm than good to the candidate and the university. CAP very often rejects mid-career appraisals that withhold severe judgment out of a misguided sense of kindness.

The most common weakness in an assistant professor's early career is a lack of strenuous effort toward research publication. The University of California is a research university, and provides generous resources and time for research. A relatively thin publication record (or its equivalent in the arts) cannot be lightly passed over.

Fields vary in their expectations for tenure, and mid-career appraisals reflect this. In general, however, positive mid-career accomplishments show evidence of research independent from doctoral work, of research projects that promise leadership in the field, and peer-reviewed evidence that research will continue once tenure is granted. In the sciences, the award of grants for research is a prominent piece of evidence that the research program is valid, although grants do not in themselves substitute for lack of published scholarship.

CAP tends to evaluate MCA's more strictly than departments. CAP uses all three ratings, positive, cautionary, and negative. A positive MCA from CAP usually means that if the candidate simply continues what he or she has been doing for another few years, the case for tenure will be strong. A cautionary indicates that there are some areas that should be improved to make a strong tenure case. Cautionary MCAs from CAP are quite common. A Cautionary MCA is intended to be helpful rather than threatening, by encouraging the candidate to take steps to increase their chances for a smooth transition to tenure. A negative MCA indicates that a candidate is not on track for tenure, and major improvements are needed.

Letters from outside referees are not required for a mid-career appraisal, but can be included at the option of the department.
Midcareer Appraisal - All appointees undergo some form of performance evaluation. An appraisal is a formal evaluation, which is made in order to arrive at a preliminary assessment of the candidate’s prospect for eventual promotion as well as to identify appointees whose records of performance and achievement are below the level of excellence expected. For the timing of this appraisal, see APM - 220- 83 and campus procedures.

Department chairs are responsible for conducting midcareer appraisals of assistant professors and persons in equivalent ranks during the third or fourth year of service under the eight-year rule. The purpose of the midcareer appraisal is for the department to provide the assistant professor with a careful, considered analytical evaluation of his or her performance to date in the areas of teaching, research and creative work, professional competence and activity, and university and public service, and to make a candid prediction concerning the probability or improbability of a favorable promotion decision based upon the evidence. Outside letters may be obtained but are not required if members of the department have the expertise to make the assessment.

Midcareer appraisal files often include a recommendation for reappointment or for a merit increase. If this is the case, the reappointment/merit recommendation must be separate from the midcareer appraisal, with separate letters and separate department votes for each.

The department should assess the complete record-to-date (including work in progress), and it should carefully and frankly assess the prospects for the individual's achieving promotion based upon continuation of that record. The appraisal should note specific areas of deficiency (if any) and should recommend actions to be taken by the individual and/or the department and chair.

The midcareer appraisal should be clearly labeled as "Positive," “Provisional Positive,” “Guarded,” or "Negative."

1. **Positive**: on the current trajectory the probability of a positive tenure decision is good.
2. **Provisional Positive**: with improvements that address specific noted concerns, the probability of a positive tenure decision is good.
3. **Guarded**: improvements that address moderate concerns in research/scholarship and/or teaching and service will be required to change the trajectory toward a positive tenure decision.
4. **Negative**: improvement to address major weaknesses in research/scholarship and/or teaching and service will be required to change trajectory, and candidate cannot request postponement of tenure case.

The department or a designated committee should have reviewed the appraisal (with notation that a copy has been provided to the candidate.) The letter should assess the candidate’s prospects for promotion; contain a report of the faculty opinion and vote and an evaluation of the candidate's performance in the following areas:

- Teaching
- Research or creative work
- Professional competence and activity
- University and public service

The chair must also convey to the candidate, in writing, the substance of the midcareer appraisal, along with any recommendations for changes in activities or emphasis. (A copy of this written statement should be included in the file.) The Council on Academic Personnel urges that the midcareer assessment be prepared by a departmental sub-committee instead of the department chair. After approval by the departmental faculty, the candidate should be given the opportunity to examine and comment on the assessment.

### Mid-Career Appraisal Review Period for an Assistant Professor

- From initial appointment at UCI (July 1, 2014) to September 30th (2017) of the fourth year
- End of Fourth Year – June 30, 2018

<table>
<thead>
<tr>
<th>Hire Date: July 1, 2014</th>
<th>End of Fourth Year: June 30, 2018</th>
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<tbody>
<tr>
<td><strong>Review Period:</strong> July 1, 2014 – September 30, 2017</td>
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</table>
Because the midcareer appraisal is directed primarily to the candidate, it is in the best interest of the candidate and the department that the midcareer appraisal be careful, cautious and candid, addressing problems where they exist while there is still time for adjustment and improvement. It is important that the faculty member is made thoroughly aware, in a formal way, of his or her situation in regard to eventual promotion.

The midcareer appraisal should be forwarded to Academic Personnel through the appropriate dean. The Council on Academic Personnel will review the midcareer appraisal and decide whether it wishes to conduct further review. Academic Personnel will notify the chair (via the dean) of CAP’s decision, and at that time the chair should forward to the candidate any comments received from subsequent reviewers.

**Postponement of the Tenure Review** - Review for promotion to tenure normally takes place in the sixth year of service under the eight-year limit; however, postponement is possible. In the latter half of an assistant professor’s fifth year (under the eight-year rule), the department should determine whether the tenure review should take place, as normal, in the sixth year or whether circumstances exist which justify postponement of the tenure review until the seventh year. Postponement of the tenure review will be justified if the candidate has significant work in progress, the evaluation of which will occur within a year but not in time to be included in a sixth-year review.

Postponement may be justified in the case of an assistant professor who has a childrearing extension, and is making sustained progress, even if it is at a slower pace. A postponement may also be appropriate under exceptional circumstances, such as when serious illness has disrupted the candidate’s normal progress, but there is still sufficient evidence that a seventh-year tenure review will be successful.

Postponement of the tenure review is not appropriate for an assistant professor whose midcareer appraisal was negative, or for an assistant professor who has been reappointed without a merit increase.

To request postponement, the assistant professor should provide tangible evidence to the department that the record will change significantly in the sixth year. The department should discuss the evidence and vote for or against postponement of the tenure review.

The postponement file must be accompanied by the candidate’s full merit or reappointment file, which will normally be required for continuation beyond the sixth year. Form UCI-AP-38 itemizes the documentation required for the postponement of tenure review. The postponement file, accompanied by the merit or reappointment file, is forwarded to the appropriate dean’s office for recommendation, for further review by the Council on Academic Personnel and the Vice Provost for Academic Personnel.

**DEADLINE FOR SUBMISSION TO ACADEMIC PERSONNEL — November 1st.**

**Promotion to Tenure** - If the department determines that the assistant professor’s record meets or exceeds the university’s expectations for promotion to the rank of associate professor, the department will recommend promotion to tenure.

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### Promotion Review Period of an Assistant Professor

- Review period begins from initial appointment as an Assistant Professor
- Curriculum Vitae & Addenda dates are through September 30th of the review year
- Initial appointment effective July 1, 2014
- Promotion to be effective July 1, 2020
- Review Period includes July 1, 2014 – September 30, 2019

Initial Appointment:  
**Effective – July 1, 2014**

Promotion:  
**Effective – July 1, 2020**

Review Period:  
**July 1, 2014 – September 30, 2019**
## Summary of University of California Access to Records Policy

<table>
<thead>
<tr>
<th>Type of Record</th>
<th>Classification</th>
<th>Access Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outside Letters of Evaluation Solicited by School</td>
<td>Confidential</td>
<td>May receive redacted copies (1) before departmental recommendation or (2) after the final decision</td>
</tr>
<tr>
<td>Description of Qualifications of Outside Letter Writers (AP-11)</td>
<td>Confidential</td>
<td>No Access</td>
</tr>
<tr>
<td>Internal or External Unsolicited Student/Colleague Letters Requested by Candidate (usually not by formal letter)</td>
<td>Non-Confidential</td>
<td>May receive copy intact</td>
</tr>
<tr>
<td>Department Letter</td>
<td>Non-Confidential</td>
<td>May receive copy intact</td>
</tr>
<tr>
<td>Statistical Teaching Evaluations</td>
<td>Non-Confidential</td>
<td>May receive copy intact</td>
</tr>
<tr>
<td>Department Vote</td>
<td>Non-Confidential</td>
<td>Vote to be disclosed in department letter</td>
</tr>
<tr>
<td>Candidate Certifies Access Rights have been granted (AP-50)</td>
<td>Non-Confidential and Confidential</td>
<td>May receive a copy of the departmental letter and vote May receive a copy of redacted confidential material May request opportunity to respond</td>
</tr>
</tbody>
</table>

**AFTER THE DEPARTMENTAL RECOMMENDATION**

- Chair’s Personal Letter
  - Non-Confidential
  - May receive intact copy after the final decision
- Dean’s Letter
  - Non-Confidential
  - May receive intact copy after the final decision

**DURING THE COUNCIL ON ACADEMIC PERSONNEL’S REVIEW**

- Chancellor’s Ad Hoc Committee Report
  - Confidential
  - May receive redacted copy after the final decision
- Request from CAP for Additional Information or in response to tentative recommendation
  - Non-Confidential
  - May receive copy and has opportunity to respond
- Additional Outside Letters of Evaluation Solicited by School (may be needed for further review)
  - Confidential
  - May receive redacted copies (1) before departmental recommendation or (2) after the final decision
- Description of Qualifications of Outside Letter Writers (AP-11)
  - Confidential
  - No Access
- Department Letter response to request from CAP
  - Non-Confidential
  - May receive copy intact
- Additional Information submitted by Department or by Chair on behalf of the Department and certified by candidate (AP-50-A)
  - Non-Confidential and Confidential
  - May receive a copy of additional information submitted for further consideration May receive a copy of redacted confidential material May request opportunity to respond
- Chair’s Personal Letter
  - Non-Confidential
  - May receive intact copy after the final decision
- Dean’s Letter
  - Non-Confidential
  - May receive copy intact after the final decision

**AFTER THE COUNCIL ON ACADEMIC PERSONNEL’S RECOMMENDATION**

- Council on Academic Personnel Report
  - Non-Confidential
  - May receive copy intact after the final decision
- Other Administrators’ Recommendation Letters
  - Non-Confidential
  - May receive copy intact after the final decision
- Chair’s Personal Letter
  - Non-Confidential
  - Receives copy after the final decision
- Chancellor or Designee’s Final Decision
  - Non-Confidential
  - Receives copy after the final decision
CHAIR’S GUIDE FOR ACADEMIC PERSONNEL REVIEWS

This checklist was prepared as an aid for chairs in complying with Academic Personnel Manual (APM) Policy 220-80-c.

Section I  Notifying Candidate

☐ Inform candidate of eligibility for advancement or other mandatory review.

☐ Inform candidate of criteria for advancement as set forth in APM Policy 210.

☐ Inform candidate of the nature of the review process as set forth in APM Policies 210 and 220 and in the supplementary Academic Personnel Procedures (APP) Sections 1-12.

☐ Inform candidate of the University’s policies regarding academic personnel records as set forth in APM Policy 160 and in APP Sections 1-11.

☐ Ask candidate to supply all pertinent information and materials relevant to criteria for advancement by a specified deadline.

☐ Ask candidate to suggest (perhaps 3 to 5) names of persons who could be solicited for letters of evaluation, if needed, and allow candidate to set forth in writing the names of persons who, in the view of the candidate, for reasons set forth, might not objectively evaluate the candidate’s qualifications or performance.

Section II  Developing a Recommendation

☐ Where required, solicit confidential extramural letters of recommendation (promotions, advancements to Professor Above Scale).

☐ Assemble, in accordance with instructions set forth in the APP Section 3-60, all pertinent information; such as, Vitae, Addendum, Review Profile, publications, teaching evaluations, solicited letters, candidate’s statement, etc.

☐ Provide candidate an opportunity to inspect all non-confidential documents to be included in the personnel review file.

☐ Provide candidate an oral or, if requested, a redacted copy of the confidential letters of evaluation to be included in the file.

☐ Allow candidate an opportunity to include a written statement in response to or commenting upon material in the file.

☐ After completion of the steps above, consult with department members, making certain to extend to all eligible colleagues the voting rights established by Senate By-Law 55 and approved department voting procedures (See APP Section 1-14).

☐ Write a letter setting forth the departmental recommendation in compliance with APM Policy 220-80-e, and APP Section 3-60. This letter may be written by a departmental subcommittee.

☐ Make department letter available to voting members or a departmental committee for review.

Section III  Forwarding Materials

☐ Inform candidate orally or, upon request, provide the candidate with a copy of the department letter including the vote.

☐ Inform candidate of the right to make a written statement or comment upon the departmental recommendation.
CHAIR’S GUIDE FOR ACADEMIC PERSONNEL REVIEWS

Section III   Forwarding Materials - Continued

☐ Obtain a certification statement ([Form UCI-AP-50](#)) from the candidate that the non-confidential materials in the review file have been inspected and any redacted copies of the confidential materials have been provided.

☐ Inspect packet to ensure that all materials are included and that the dossier conforms to the appropriate form.

☐ Add Chair’s personal recommendation, if desired. The Chair may include a recommendation on the case that is independent of the department recommendation. Normally, this recommendation will constitute the vote of the Chair, who may have participated in the departmental discussion but not voted in the department.

☐ Forward materials to Dean’s Office.

After materials have been forwarded by the Dean’s Office, the following 3 sections clarify the possible types of subsequent departmental input

Section IV   Additional Information Requested by Reviewers

☐ Memo will be forwarded to the Department (through the Dean’s Office) from the Office of Academic Personnel soliciting additional information (e.g., publications, additional letters of evaluation, etc.).

☐ The Department will collect the information requested by reviewers and comment on the new material. This letter may be written by a departmental subcommittee or the Chair on behalf of the Department.

☐ The candidate will have an opportunity to access and respond to the new material governed by APM 220-80-d, -e, -h, and -i.

☐ Obtain a “Certification Statement for Additional Information Added to the Academic Review” ([Form UCI-AP-50A](#)) from the candidate indicating that the non-confidential materials in the review file have been inspected and all redacted copies of the confidential materials have been provided, if requested by the candidate.

☐ The Chair may add a personal statement (optional – does not replace required response from the Department or Chair’s response on behalf of the Department).

☐ The Departmental letter, the additional information, any response by the candidate, the signed UCI-AP-50A form, and the Chair’s personal statement (if provided) will be forwarded to the Dean’s Office for review. The Dean’s response and the additional materials will be forwarded to the Office of Academic Personnel.

Section V   Tentative decision by reviewers prior to the final decision

The tentative decision, when it differs from that of prior levels of review, affords the Department an opportunity to clarify matters, to correct mistakes, or to emphasize overlooked aspects of review. The tentative decision is sometimes reversed in the review of the response to the tentative decision. If during the course of the review, a recommendation is made which is different from the department recommendation, a notification will always go back to the department.

☐ A memo will be forwarded from the Office of Academic Personnel to the Department (through the Dean’s office) requesting a response to the tentative decision.

☐ Additional information may be submitted on behalf of, or, by the candidate.

☐ The Chair is responsible for ensuring that the candidate is informed of the Department’s response, including any additional information that is added to the file.
CHAIR'S GUIDE FOR ACADEMIC PERSONNEL REVIEWS

Section V  Tentative decision by reviewers prior to the final decision - Continued

☐ The candidate shall be afforded the opportunity to make a written response for inclusion in the personnel review file. This may include updates to the vitae or Review Profile, submission of publications requested by reviewers, personal statements, etc.

☐ Obtain a “Certification Statement for Additional Information Added to the Academic Review” (Form UCI-AP-50A) from the candidate indicating the non-confidential materials in the review file have been inspected and all redacted copies of the confidential materials have been provided, if requested by the candidate.

☐ The Chair may add a personal statement (optional – does not replace required response from the Department or Chair’s response on behalf of the Department)

☐ The Departmental response, any additional information, any response by the candidate, the signed UCI-AP-50A form and the Chair’s personal statement (if provided) will be forwarded to the Dean’s Office for review. The Dean’s response and the additional materials will be forwarded to the Office of Academic Personnel.

Section VI  Preliminary Negative Assessment during a Tenure Review or non-reappointment of an Assistant Professor, Assistant Professor in Residence, or Assistant Professor of Clinical X

☐ The Dean, Chair, and candidate are notified of the preliminary assessment in writing by the Vice Provost.

☐ The Dean, Chair, and candidate shall be provided redacted copies of all confidential and non-confidential materials added to the candidate’s review file after the departmental recommendation.

☐ After receipt of the notice of preliminary assessment, the candidate will have five working days to respond to the department and will have the opportunity to provide, in writing, any additional information and documentation. The Chair, after appropriate consultation within the department, shall have the opportunity to respond in writing and to provide additional information and documentation on behalf of the department. In addition, the candidate will have the opportunity to review additional information submitted on his/her behalf by the department.

☐ The “Certification Statement for Additional Information Added to Academic Review” (Form UCI-AP-50A) must be completed by the candidate for any subsequent additions to their personnel review file (e.g., publications, additional letters of evaluation, responses to tentative decisions by the departments, etc.).

☐ The Chair may add a personal statement (optional – does not replace required response from the Department or Chair’s response on behalf of the Department)

☐ The Departmental response, any additional information, the signed UCI-AP-50A form and the Chair’s personal statement (if provided), will be forwarded to the Dean’s Office for review. The Dean’s response with the materials will be forwarded to the Office of Academic Personnel.

Note: For faculty with split appointments between two departments, the same procedures apply, but both the home and the split School/Department must respond and/or acknowledge the additional information that is provided either by the candidate or Department.
Any faculty member at the Assistant level, which falls under the provisions of APM 133 have the right, under certain circumstances provided for in policy APM 133-17-h, to initiate a stop the clock during the pre-tenure review time (the probationary period).

Requesting a "Stop the Clock"

A faculty member may request to stop the clock during the probationary period for personal reasons:

1. Childbearing or Childrearing: care for any child who is, or becomes part of the faculty member’s family. A faculty member at the Assistant level must be responsible for 50 percent or more of the care of the child.
2. Serious Health Condition Including Disability or Bereavement: A faculty member may request to stop the clock during the probationary period, when his or her ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or by the death of a close family member. This provision also covers other persons residing in the faculty member’s household or cases involving close personal connection or interdependence.
3. Significant Circumstances or Event: A faculty member may request to stop the clock during the probationary period, for reasons due to a significant circumstance or event beyond the faculty member’s control that disrupts the faculty member’s ability to pursue his or her duties.

A faculty member may be granted no more than two years of extension during the probationary period. The birth or placement of one or more children at the same time constitutes a single event of birth or placement. An academic appointee must provide notice of his or her intent to stop the clock before July 1 of the academic year in which a promotion review is to occur. To initiate a Stop the Clock, complete the Stop the Clock Certification Form (UCI-AP-92).

- “Stop the Clock” is not a leave; it is a stoppage of the tenure clock and will automatically defer a mid-career appraisal and/or promotion review by one year. Please note, faculty at the Assistant level have the option to still submit a Mid-Career Appraisal and/or promotion/promotion to tenure review during its normal time.
- In order to automatically defer a Mid-Career Appraisal, the notification to “Stop the Clock” must be submitted by the end of the faculty member’s third year (by June 30). If the notification to “Stop the Clock” is submitted after the Mid-Career Appraisal, the notification of intent to “Stop the Clock” must be made before July 1 of the academic year in which a tenure or promotion review is to occur.

NOTES: (1) Quarters "off the clock" due to a combination of Childbearing Leave, Parental Leave, and/or Primary Childrearing Responsibility may not exceed one year for each event of childbirth or adoption. (2) Because the review cycle is conducted in terms of full, not partial, years, and partial years count toward the next full year, exclusion of one or two quarters for an academic year appointee or up to three quarters for a fiscal year appointee will not necessarily affect the timing of the tenure or promotion review.

* The child may be the appointee’s child or that of the appointee’s spouse or domestic partner.*
## APP 7-40 Family Friendly Policies

UC Irvine’s Family Friendly Policy is intended to assist academic appointees in balancing the needs of work and family. Here are the four types of Family Friendly Policies that are available to academic appointees:

1. Childbearing Leave ([APM 760-25](#))
2. Active Service-Modified Duties ([APM 760-28](#))
3. Parental Leave ([APM 760-27](#))
4. Stopping the clock for the care of a child or children ([APM 760-30 & APM 133-17](#))

### SUMMARY OF CHILDBEARING AND CHILDBEARING LEAVE POLICY

<table>
<thead>
<tr>
<th>Type</th>
<th>Pay Status</th>
<th>University Duties</th>
<th>Time to Count Toward Sabbatical If Employee Is Eligible</th>
<th>Time to Count Toward 8-yr. Clock*</th>
<th>Duration/Limitations</th>
<th>Primary (50% or more) Responsibility Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Childbearing Leave</td>
<td>May be with or without salary</td>
<td>None</td>
<td>See APM 760-35-d</td>
<td>No, if leave equal to or greater than one quarter, time is automatically excluded</td>
<td>Normally up to 6 weeks</td>
<td>No</td>
</tr>
<tr>
<td>Active Service - Modified Duties</td>
<td>Normal salary</td>
<td>Modified</td>
<td>Yes</td>
<td>Yes</td>
<td>Combined total of Act. Serv./Mod. Duties plus Childbearing not to exceed 2 qtrs. for each birth or adoption</td>
<td>Yes</td>
</tr>
<tr>
<td>Parental Leave</td>
<td>Without salary</td>
<td>None</td>
<td>No</td>
<td>No, if leave equal to or greater than one quarter, time is automatically excluded</td>
<td>FML - up to 12 work weeks</td>
<td>No</td>
</tr>
<tr>
<td>Childrearing Stop the Clock</td>
<td>Normal salary</td>
<td>Normal duties</td>
<td>Yes</td>
<td>Maximum of two years total extension</td>
<td>This, combined with any of the above exclusions/extensions, may not exceed one year for each birth or adoption</td>
<td>Yes</td>
</tr>
</tbody>
</table>

1 Periods less than one full year may not affect the tenure/promotion review date.

### APP 7-41 Childbearing Leave ([APM 760-25](#))

1. Childbearing Leave may be granted by request to eligible academic appointees for disabilities or medical conditions related to pregnancy and childbirth before, during and/or after childbirth. It usually lasts about six weeks but may be extended due to medical reasons.
2. During a childbearing leave, no duties shall be required by the University ([APM 760-25-a](#)).
APP 7-41 Childbearing Leave (APM 760-25) continued

3. If eligible for Family and Medical Leave (FML), up to 12 workweeks of the childbearing leave will run concurrently with FML (APM 760-25-d).

4. Central funding for the purpose of providing ladder rank faculty teaching replacement is allocated to the affected academic department.

5. Who is eligible: Birth Mothers

6. How to request for a Childbearing Leave:
   a. Complete the Leave of Absence form UCI-AP-76.
      i. Provide the actual dates of the childbearing leave.
      ii. Final Approval Authority:
          i. Seven calendar days or less: Department Chair
          ii. Eight calendar days or more: Vice Provost

Notes:

a. The aggregate duration of all leaves, plus periods of Active Service-Modified duties, may not exceed one year per single birth/adoption.

b. Family and Medical Leave Act (FMLA): See the UCI Family and Medical Leave Guidelines for Academics.

c. In addition, disability information is available from Human Resources at UC Disability Benefits.

APP 7-42 Active Service-Modified Duties (APM 760-28)

1. The appointee remains in service to the University, but with modified duties. For most appointees, this means a period in which the faculty member does not teach. This is not a leave.

2. Eligibility for a period of active service-modified duties (ASMD) shall normally extend from 3 months prior to and up to 12 months following the birth or adoption of a child and may be granted to any academic appointee who has 50% or more responsibility for the care of the child, who is five (5) years of age or under.

3. The total period of Childbearing Leave plus Active Service-Modified Duties (ASMD) for a birth mother, who has a full-time appointment for at least one full academic year\(^2\), may not exceed two quarters for each birth. If she gives birth during the summer she is eligible for a total period of active service-modified duties of two quarters.

4. All other eligible academic appointees\(^3\) are eligible for a total period of Childbearing Leave plus Active Service-Modified Duties (ASMD) of one quarter (APM 760-28).

5. Central funding for the purpose of providing ladder rank faculty teaching replacement is allocated to the affected academic department.

6. Who is eligible: Birth, adopting and foster parents.
   a. Appointee must certify that they have at least 50% of the primary responsibility for the care of the child in order to be eligible for Active Service Modified Duties.
7. What is Active Service Modified Duties
   a. Modified duties for a ladder faculty appointee are normally relief from teaching; however, other
      arrangements are possible.
   b. During a period of Active Service-Modified Duties, the appointee is on active status.
   c. Active Service-Modified Duties is not a leave of absence.
   d. For restrictions and timing, see APM 760-28.

8. How to request for Active Service Modified Duties:

9. How to complete the form:
   a. Specify the quarter(s) requested for ASMD: Policy allows two quarters of combined childbearing leave
      plus ASMD for a birth mother who has a full-time appointment for at least one full academic year; with
      one quarter of combined childbearing leave plus ASMD allowed for other appointees.
   b. Describe the modified duties as agreed between the appointee and department chair, subject to the
      dean’s review and endorsement.

10. The department can request for Funding for Teaching Release for Ladder Rank Faculty
    a. In order to minimize the financial impact this might place on the instructional program of the
       department, central funding for replacement teaching will be provided to the affected department.
    b. This request is initiated by the faculty member at the time the period of leave or active service-
       modified duties is requested, by completing the "Request for Funding for Ladder Rank Faculty
       Teaching Release For Birth or Adoption of Child(ren),” form UCI-AP-93.
    c. The Department Chair provides information on the individual’s teaching load and the form is forwarded
       through the Dean to the Office of Academic Personnel for review and approval.

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2 Academic appointees in their first-year of appointment will be eligible for this benefit if they have been appointed for
full time for the entire year. For example, a newly appointed academic appointee in her first year of full-time full-year
appointment will be eligible to request ASMD if she meets the criteria specified for ASMD.

3 This group includes: Fathers with full-time/full-year appointments, adoptive or foster parents, academic appointees
with part-time appointments one-year or less, or full-time appointment for less than one full year.

4 Does not apply to Health Sciences Compensation Plan faculty members.

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APP 7-43 Parental Leave (APM 760-27)

1. Parental Leave is leave without salary granted for the purpose of caring for and bonding with a newborn child
   or a child newly placed for adoption or foster care.
2. Normally, this leave combined with Childbearing Leave and/or Active Service-Modified Duties may not exceed
   one year for each birth or adoption (APM 760-27, and 760-35).
3. If eligible for Family and Medical Leave (FML), up to 12 workweeks of the parental leave will run concurrently
   with FML, (APM 760-27-b).
4. Parental Leave must be concluded within twelve (12) months following the birth or placement of the child or children.

5. Parental leave is normally without salary. If leave is to be other than without salary, provide an explanation (if appropriate, vacation/leave usage).

6. The aggregate duration of all leaves, plus periods of Active Service-Modified duties, may not exceed one year per single birth/adoption.

7. Who is eligible: Birth, adopting and foster parents.

8. How to request for a Parental Leave:
   a. Complete the Leave of Absence form UCI-AP-76.
      i. Specify start and end dates; for academic year appointees, these should correspond with the beginning and end of a quarter.
      ii. Final Approval Authority:
          i. Seven calendar days or less: Department Chair
          ii. Eight calendar days or more: Vice Provost
   
   b. Complete Family Medical Leave Form

Note: Family and Medical Leave (FML): See the UCI Family and Medical Leave Guidelines for Academics

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APP 7-44 Stopping the clock for the care of a child or children (APM 760-30) & (APM 133-17)

1. What is Stopping the Clock
   a. It is a stoppage of the eight-year clock in certain titles for purposes of:
      1. childbearing or childrearing (must be responsible for 50 percent or more of the care of the child who is, or becomes part of the faculty member’s family),
      2. serious health condition including disability or bereavement, or
      3. significant circumstance or event beyond the faculty member’s control that disrupts the faculty member’s ability to pursue his or her duties.
   b. An academic appointee must provide notice of his or her intent to stop the clock before July 1 of the academic year in which a promotion review is to occur.
   c. The Notification of Intent to Stop the Clock may not be made after the sixth year has begun. Also, a Stop the Clock will not be granted for a faculty member who has primary responsibility for a young child when that child is born or adopted during the year of the tenure or promotion review.
   d. Refer to Special Timing of the Promotion/Promotion to Tenure Review for Faculty with Stop the Clock in APP 3-50 Appendix III.
   e. Stop the Clocks are normally granted for a period of one year for each event, totaling no more than two years during the probationary period. The birth or placement of one or more children at the same time constitutes a single event of birth or placement.
APP 7-44 Stopping the clock for the care of a child or children (APM 760-30) & (APM 133-17) continued

f. A faculty member is eligible to stop the clock even if the faculty member does not take a formal leave or have a modification of duties. Time off the clock is limited to one year per birth or adoption, subject to a total allowable option period of two years for all reasons (APM 133-17 and APM 760-30).

2. Who is eligible: Any faculty member at the Assistant level, which falls under the provisions of APM 133, and is not currently undergoing review for promotion to tenure, may initiate a stoppage of the tenure clock on the limitation of service as provided in the relevant policies.

3. How to provide Notification of Intent to Stop the Clock:
   a. Complete the "Stop the Clock Certification Form" UCI-AP-92. In order to automatically defer a Mid-Career Appraisal, the notification to "Stop the Clock" must be submitted by the end of the faculty member's third year (by June 30). If the notification to "Stop the Clock" is submitted after the Mid-Career Appraisal, the notification of intent to "Stop the Clock" must be made before July 1 of the academic year in which a tenure or promotion review is to occur.
   b. Once the notification of intent has been acknowledged, the tenure clock (or probationary period) will automatically be stopped.

Note: Refer to APP 3-50, Appendix III for a more detailed explanation of the Stop the Clock process.

5 Quarters or semesters "off the clock" due to Childbearing leave, Parental Leave, and/or Primary Responsibility may not exceed one year for each event of childbirth or adoption. Because the review cycle is conducted in terms of full, not partial years, and partial years count toward the next full year, exclusion of one or two quarters (one semester) for an academic appointee or up to three quarter for a fiscal year appointee will not necessarily affect the timing of the tenure or promotion review.
Family Friendly Web Resources

Federal Resources:
- U.S. Department of Labor — Family and Medical Leave Act (FMLA)

UC Systemwide Resources:
- UC Office of the President — Family friendly practices and policies
- Academic Personnel Manual (APM)
  - APM 715 - Leaves of Absence/Family and Medical Leave
  - APM 760 - Family Accommodations for Childbearing and Childrearing

UC Irvine Resources:
UC Irvine Academic Personnel Website

- Academic Personnel Procedures (APP) 7 — Leaves and Family Friendly Policies
  - APP 7-12 Family and Medical Leave
  - APP 7-40 Family Friendly Policies
  - APP 7-41 Childbearing Leave
  - APP 7-42 Active Service-Modified Duties
  - APP 7-43 Parental Leave
  - APP 7-44 Stopping the Clock for the Care of a Child or Children

- APP 3-50 Assistant Professors — Special Considerations in the Academic Personnel review process

Family Friendly Forms
- Leave of Absence Form (UCI-AP-76)
- Instructions for Completion of "Family Friendly" Forms (UCI-AP-90)
- Active Service-Modified Duties Request/Certification Form (UCI-AP-91)
- Childrearing Stop The Clock Certification Form (UCI-AP-92)
- Request for Funding for Ladder Rank Faculty Teaching Release For Birth or Adoption of Child(ren) Form (UCI-AP-93)
- Family Friendly Checklist for Academic Appointees (UCI-AP-94)
A. **Systemwide Policies and Procedures**

Academic Personnel Manual (APM)

**Website:** [http://www.ucop.edu/academic-personnel/academic-personnel-policy/index.html](http://www.ucop.edu/academic-personnel/academic-personnel-policy/index.html)

1. **APM 245 – Department Chairs**
   Guidelines of the duties and responsibilities of the Department Chair as the leader and administrative head of the Department.

2. **APM 220 – Professor Series**
   A starting point for policies on appointments and promotions of Regular Ranks faculty. APM 220-18, Salary, clarifies the UC criteria for advancement to Professor, Step VI, and Professor, Above Scale.

3. **APM 210 – Review and Appraisal Committees**
   General review criteria for teaching, research, professional activity, and service. Chairs are responsible for submitting review of faculty teaching with merit and promotion files.

4. **APM 035 – Affirmative Action and Nondiscrimination in Employment**
   Contains UC policy on nondiscrimination, sexual harassment complaints, and affirmative action.

5. **APM 160 – Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of**
   Defines “confidential academic review records” and who has access to those records.

6. **APM 025 – Conflict of Commitment and Outside Activities of Faculty Members**
   Guidelines for the compensated and uncompensated outside professional and non-professional activities of faculty, along with annual reporting guidelines.

7. **APM 015 – The Faculty Code of Conduct**
   Sets forth professional rights of faculty, both general ethical principles for faculty and examples of unacceptable faculty conduct, and rules and recommendations for the enforcement of the Faculty Code.

8. **APM 016 – University Policy on Faculty Conduct and the Administration of Discipline**
   General policy regarding faculty discipline. It specifies the penalties that may be imposed for violations of the Faculty Code of Conduct, what types of faculty behaviors are covered under the Faculty Code, and which academic appointees are governed by the Faculty Code.

9. **APM 150 – Non-Senate Academic Appointees/Corrective Action and Dismissal**
   Standards and procedures for instituting corrective action or dismissal of a non-Senate academic employee (who is not covered by a collective bargaining agreement) in the case of misconduct, unsatisfactory work performance, or dereliction of academic duty.

10. **APM 140 – Non-Senate Academic Appointees/Grievances**
    Provides non-Senate academic appointees the opportunity to present grievances.

*Updated May 6, 2015*
11. **APM 190 – Selected Presidential Policies**  
Selected University of California policies having Universitywide application to faculty, students, and/or staff.  
A. [Whistleblower Policy](#)  
B. [Whistleblower Protection Policy](#)  
C. [Integrity in Research](#)  
D. [Substance Abuse](#)  
E. [Travel to Scholarly Meetings and Field Research Travel](#)  
F. [Faculty Recruitment Allowance Program](#)  
G. [Use of Non-19900 Fund Sources to Support Ladder-Rank faculty](#)  
H. [Retirement Contributions on Academic Appointee Summer Salary](#)  
I. [Endowed Chairs and Professorships](#)

### B. UCI Policies and Procedures

**Academic Personnel Procedures Manual (APP)**  
**Website:** [http://www.ap.uci.edu/](http://www.ap.uci.edu/)

1. **APP, Section 3 – Appointment and Review, Academic Senate Titles**  
   - **APP 3-10 – Appointment Policies**  
   - **APP 3-20 – Appointment File Documentation for Academic Senate Titles**  
   - **APP 3-30 – Responsibility of the Department Chair in the Academic Personnel Review Process for Academic Senate Titles**  
   - **APP 3-40 – Types of Actions for Academic Senate Titles**  
   - **APP 3-50 – Assistant Professors—Special Considerations in the Review Process**  
Guidelines for the responsibilities of the Department Chair in the review process and describes the different types of review outcomes and file documentation.

2. **APP, Section 2 – Recruitment Guidelines for Senate and Non-Senate Faculty**  
   - **APP 2-10 – General Recruitment Guidelines**  
   - **APP 2-30 – Non-Senate Recruitment Guidelines**  
   - **APP 2-40 – Non-Senate Recruitment Procedures**  
Explains the process to be used for recruitments in order to follow our policies on affirmative action and equal employment opportunity.

3. **APP 1-14 – Departmental Voting Procedures**  
Summarizes the Academic Senate Bylaw governing faculty voting rights in departments and indicates the importance of the faculty vote in the academic personnel review process.

4. **APP 1-12 – Academic Personnel Review Process**  
Provides guidelines to be followed by the chair, candidate, and department to assure fairness in the review process.
C. UCI Academic Personnel Policies and Websites

UCI Academic Personnel Website

UCI Academic Personnel Review Process

Chairs Guide for Personnel Reviews, UCI-AP-15

Council on Academic Personnel (CAP)
- Notes on CAP’s Evaluation Procedures
- CAP’s Frequently Asked Questions & Responses
- CAP Comments on Letters of Solicitation

Academic Delegations

Advancement and Promotion Handbook
# UCI ADVANCE Program

for

Equity and Diversity Contact List

<table>
<thead>
<tr>
<th>Program Administration Unit</th>
<th>Title</th>
<th>Phone Ext:</th>
<th>E-mail:</th>
<th>ZC:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Doug Haynes</td>
<td>Administration VP/Director</td>
<td>42798</td>
<td><a href="mailto:advdir@uci.edu">advdir@uci.edu</a></td>
<td>1000</td>
</tr>
<tr>
<td>Samantha Anderson-Mekhail</td>
<td>Administration Program Assistant</td>
<td>48250</td>
<td><a href="mailto:sanders2@uci.edu">sanders2@uci.edu</a></td>
<td>1000</td>
</tr>
<tr>
<td>Tina Romero</td>
<td>Administration Support Staff</td>
<td>41540</td>
<td><a href="mailto:romerot@uci.edu">romerot@uci.edu</a></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Equity Advisors School of Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Christoper Dobrian Arts Professor</td>
</tr>
<tr>
<td>Nicole Mitchell Arts Professor</td>
</tr>
<tr>
<td>Georg Striedter Biological Sciences Professor</td>
</tr>
<tr>
<td>Joanna Ho Business Professor</td>
</tr>
<tr>
<td>Veronica Vieira Programs in Health Sciences Associate Professor</td>
</tr>
<tr>
<td>Jonathan Alexander School of Humanities Professor</td>
</tr>
<tr>
<td>Gloria Mark Informatics Professor</td>
</tr>
<tr>
<td>Rossella Santagata Education Associate Professor</td>
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<tr>
<td>Regina Ragan Engineering Associate Professor</td>
</tr>
<tr>
<td>Nalini Venkatasubramanian ICS Professor</td>
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<tr>
<td>Douglas Haynes School of Law Professor</td>
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<tr>
<td>Lari Wenzel SOM-Basic Professor</td>
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<td>Christine McLaren SOM-Clinical Professor</td>
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<tr>
<td>Isabella Velicogna Physical Sciences Associate Professor</td>
</tr>
<tr>
<td>John Dombrink School of Law Professor</td>
</tr>
<tr>
<td>Nina Bandelj Social Sciences Professor</td>
</tr>
</tbody>
</table>

| Frances Leslie Graduate Division Vice Provost & Dean | 46351 fmleslie@uci.edu | 3180 |

Updated: 4/21/2016
November 4, 2013

DEANS AND DEPARTMENT CHAIRS

RE: Diversity in the Review Process: Guidelines for Faculty

Dear Colleagues:

Faculty activity that advances access, diversity and equal opportunity is an important part of the mission of the University of California. The Academic Personnel Manual (APM) recommends that faculty be encouraged and recognized for contributing to this vital priority of the university. The relevant section of APM 210.1-d is provided below.

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate’s qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California’s diverse population, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

The personnel process at UCI provides for faculty to discuss their activity in at least two places. These are the self-statement and the MyData Review Profile. The narrative and summary formats permit faculty to detail the nature and impact of their activity and its relevance to the field, the department, school, campus or wider public. In providing context to faculty activity, the self-statement and the review profile enhances the quality of the evaluation of their contributions to diversity at the different levels of review—i.e. department, school, and campus.

Attached are guidelines designed to ensure that such faculty activity is appropriately evaluated and rewarded. Please review and share them with your department and school faculty.

Howard Gillman
Provost and Executive Vice Chancellor

Attachment

C: Chancellor Drake
Vice Provost Killackey
Associate Vice Provost Haynes
Diversity in the Review Process: Guidelines for Faculty

The Academic Senate adopted in 2009 the following broad definition of diversity.

Diversity—defining features of California’s past, present and future—refers to a variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, socioeconomic status, geographic region and more. (For the complete statement, please visit the website http://diversity.universityofcalifornia.edu/diversity.)

Use the Self-statement to describe and the Review Profile to document your activities. This will assist the department faculty and chair, school dean, CAP, provost and chancellor to understand and appreciate the significance of your activity. Be specific when describing the nature and impact of the research, teaching, and service activity that advances access, diversity and equal opportunity.

Your descriptions should address:

- **How the activity advances equal opportunity and diversity:** the ways it explores underrepresented or understudied populations or communities, cultures and practices; or illuminates societal inequalities or disparities.

- **What the significance or impact of the activity is:** how it builds or extends research problems or areas; raises awareness in local or state or national or international contexts; contributes to equitable access to education and broadens participation in higher education through outreach or mentoring or recruitment or student placement; addresses societal disparities or inequalities; or aligns with Category 7 (Multicultural Studies) of the General Education requirements.

- **The extent the activity has been recognized:** document and describe any and all of the following: competitive funding; any appearance in a peer reviewed journal or publication as a book; significant contribution to high impact online journalism such as a blog or curated web-page; selection for commendation by campus unit, professional association or public service organization; or has the faculty member served on a taskforce or been elected to a leadership position in an affinity group organization or a committee within a professional organization.
In order to enhance our commitment to your career success, the UCI ADVANCE Program for Equity & Diversity, would like to learn more of your experience with career development resources and opportunities at the University of California, Irvine.

Gender: ☐ Female  ☐ Male  ☐ Decline to state

What is your academic position?
☐ Acting Professor of Law
☐ Assistant Professor
☐ Assistant Professor in Residence
☐ Assistant Professor of Clinical ...
☐ Lecturer with PSOE

Please indicate from the list below the school/program in which your principal appointment is housed.
☐ Arts
☐ Biological Sciences
☐ Business
☐ Education
☐ Engineering
☐ Humanities
☐ ICS
☐ Law
☐ School of Medicine
☐ Nursing Science
☐ Pharmaceutical Sciences
☐ Physical Sciences
☐ Public Health
☐ Social Ecology
☐ Social Sciences

Indicate number of years at rank: ___________

Have you received your mid-career appraisal?
☐ Yes  ___________ Year  ☐ No  ☐ Currently under review during 2015-2016

I. Career Advising, Development and Support

Please indicate the range of career advising provided by your department chair:

1. During your meeting with your department chair, did you and he/she:
   a. discuss the promotion process and your current progress  ☐ Yes  ☐ No
   b. review your mid-career appraisal and clarify the recommendation  ☐ Yes  ☐ No  ☐ N/A
   c. discuss diversity in the academic review process  ☐ Yes  ☐ No
   d. inform you about the career resources: ☐ ADVANCE Career Development Grants  ☐ ADVANCE Spirit Awards
      ☐ Hellman Fellowship Program  ☐ Family Friendly Accommodation Policies and Procedures  ☐ National Center for Faculty Development and Diversity
      e. encourage you to attend the ☐ CAP School Forum, ☐ Fall or ☐ Spring Tenure Workshops  ☐ ADVANCE Sponsored Workshops

2. Please indicate what kind of assistance/advice you have received from your department, program and/or equity advisor to manage your career, i.e., research, teaching, service, and work-life balance. (Check all that apply.)

<table>
<thead>
<tr>
<th>TEACHING</th>
<th>RESEARCH</th>
<th>ACADEMIC REVIEW</th>
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<tbody>
<tr>
<td>☐ Course Development</td>
<td>☐ Research Assistant Support</td>
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<td>☐ Mid Quarter Course Assessment</td>
<td>☐ Research Editing Assistance</td>
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<td>☐ TA Support</td>
<td>☐ Research Publication Advice</td>
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<td>☐ Assistance with Student Advising</td>
<td>☐ Grant Opportunities &amp; Management</td>
<td>☐ Research Forums to Present Work</td>
</tr>
<tr>
<td>☐ OTHER</td>
<td>☐ OTHER ________________________________</td>
<td>☐ OTHER ____________</td>
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</tbody>
</table>

Comments:

________________________________________________________________________________________________________________________
II. Work Life Balance Resources for Faculty
Please indicate your awareness of the following “Family Friendly” accommodation policies:

Childbearing and Parental Leaves:  ☐ Yes  ☐ No
Active Service/Modified Duties (ASMD):  ☐ Yes  ☐ No
Tenure Clock Extension (Stopping the Clock):  ☐ Yes  ☐ No
ADVANCE Dependent Care Travel Awards:  ☐ Yes  ☐ No

III. Please Indicate your Level of Familiarity about these Campus Resources for Faculty Research, Teaching, and Wellness:
(Very High Familiarity = 4, Somewhat Familiar = 3, Not very familiar = 2, Not familiar at all = 1.)
☐ Academic Personnel
☐ ADVANCE Program for Equity and Diversity
☐ Faculty and Staff Counseling
☐ Human Resources/Benefits
☐ International Center
☐ Office of Research
☐ Center for Teaching and Learning
☐ Office of Equal Opportunity and Diversity

IV. Resources for Career Success: Future Workshops
Please rank the top five topics below for follow-up workshops. (5 being the highest priority, etc.)

☐ Childcare Resources
☐ Managing Your Benefits
☐ Family Accommodation Policies and Resources (“Use it or Lose It”)
☐ Grant Support and Resources (“Securing and Managing Grants”)
☐ Honors and Awards Workshop (“Receiving the Recognition You Deserve”)
☐ Publication Workshop (“Getting Published”)
☐ Navigating Promotion (“Assistant to Associate Professors”)
☐ Research Support for STEM and non-STEM faculty
☐ Teaching Excellence Resources (“Teaching Matters”)

OTHER

PLEASE INDICATE YOUR PREFERRED TIME TO ATTEND CAREER DEVELOPMENT PROGRAMS:

☐ Early Morning  (Before 8 am)
☐ Noontime  (11:45 am — 1:45 pm)
☐ Afternoon  (3:00 pm — 5:00 pm)
☐ Evening  (5:00 pm — 7:00 pm)
☐ Other

For questions or comments, please contact:
Douglas M. Haynes
Vice Provost for Academic Equity, Diversity & Inclusion, Professor and Director, UCI ADVANCE Program for Equity and Diversity
Telephone: 949-824-2798 • E-mail: advancedirector@uci.edu