



FALL KICK-OFF ACADEMIC PERSONNEL REVIEW PROCESS

September 13, 2022

Presentation Outline



1. Academic Personnel Due Dates
2. Changes in the Academic Personnel Review Process for 2022-2023
3. Professors of Teaching Merit/Promotion Guidance Updates
4. Academic Personnel Reminders for 2022-2023
5. COVID-19 Recovery Program Updates
6. Council on Academic Personnel (CAP)

1. Academic Personnel Due Dates

November 1	<ul style="list-style-type: none">• Postponement of Tenure/Promotion Review• Second Consecutive Deferral for Professor, Step V and above, who deferred their 5-year review and is not requesting a deferral for year 6 (if approved, will undergo review in seventh year)
December 1	<ul style="list-style-type: none">• Merits (including accelerations)• No Change• Reappointments• Midcareer Appraisals
January 4	<ul style="list-style-type: none">• Five Year Reviews• Advancements to Professor VI
February 1	<ul style="list-style-type: none">• Promotions• Non-reappointments• Above-Scale actions
March 1	<ul style="list-style-type: none">• Dean Delegated Merits• All Non-Senate actions
June 30	<ul style="list-style-type: none">• Deferrals (Associate rank and above) Approved by the Dean should be submitted by• June 30, 2023



2. Changes in the Academic Personnel Review Process for 2022-2023

Tentative Decisions

- Change in Tentative Decision Process for 2022-2023
 - Cut off new materials in all files will return to Sept 30 of review year.
 - NO LONGER a COVID-mandatory tentative decision to include information up through Dec 31 if CAP is recommending against a normal merit or promotion due to decreased research/creative activity.
 - As per normal process, faculty going up for promotion to Associate rank can add new materials until the final decision
 - Tentative decision letters from CAP requesting additional information will continue to be optional, not mandatory, when there is disagreement between CAP and school recommendations

COVID-19 Stop the Clock

- COVID-19 Stop the Clock
 - Applies to eligible faculty at the Assistant Professor rank, which fall under provision of [APM 133](#)
 - Faculty must have started on or before **June 30, 2022**
 - Details in Summer Kick-off Slide Deck (slide 13)
 - https://ap.uci.edu/wp-content/uploads/June-2022-AP-Summer-Updates-Presentation_Final-6.23.2022.pdf

Updates to Documenting COVID-19 Impact in Merit and Promotion Files

- CAP and VPAP recognize the continuing negative impact of COVID-19 on the ability of many faculty to perform their work
- Faculty are encouraged to document the impact of COVID-19 on professional achievements in one or more of the four self statements (research, teaching, service, inclusive excellence) they can submit with their file.
 - Focus more on documenting effect vs the causes of disruption
 - **Title sections on self-statements as "COVID-19 Opportunities and Challenges"** (to be consistent with systemwide guidance)
 - Examples of nonconfidential information that can be provided are detailed at this link <https://ap.uci.edu/documentingcovid19-2/>



3. Professors of Teaching (PoT) Merit and Promotion Guidance Updates

Background

1. Change in APM language regarding rights/privileges, criteria for appointments/merits/promotion ([APM 210-3](#) and [APM 285](#)) in 2018
2. UCI's implementation of these changes
 - Vote established working title of Professor of Teaching (2018)
 - Sabbatical credits awarded based on quarters taught as LSOE (2018)
 - CAP/VPAP continued to require externally recognized scholarship for merit/promotion but some schools/faculty did not agree

Campuswide Discussion of Expectation Guidelines for Professor of Teaching (PoT)

2020-21, Academic Planning Group (Senate Chair Elect and VP Academic Planning co-chaired group)

1. Appointed a committee to review policies and practices for PoT (14 members, 7 PoT and 7 Profs)
2. Workgroup submitted analysis that included a series of recommendations
3. Provost accepted subset of recommendations
 - Adopt the campuswide guidelines proposed for merit/promotion;
 - Require all schools to develop school guidelines with disciplinary specific elements that were consistent with campus guidelines;
 - Appoint a campus wide committee with representatives from each school to review school guidelines, prior to CAP review, and final Provost approval.

Campuswide Expectations for Professor of Teaching (PoT)

1. Effort expected in three areas
 - a. Teaching - 50% or more, Service and Research/creative activity - 15% or more each
2. Teaching and Service
 - a. Examples of activities that count toward excellence
 - b. Evidence used to evaluate/document excellence
3. Research/creative activities: must meet all three criteria listed below:
 1. Represents new knowledge, innovation, and/or analysis in the discipline/pedagogy - as judged by peer or other external review
 2. Publication/dissemination and public accessibility of the work beyond the university
 3. Impact and influence on the field, academy or wider society

Development of School Guidelines

2021-22, VPAP provided campuswide guidelines to each school

1. Schools developed guidelines that included discipline specific examples
2. Faculty committee reviewed guidelines (13 members, 8 PoT and 5 Profs)
 - Provided feedback to each school
 - All schools submitted revised guidelines
3. CAP reviewed all guidelines
 - Recommended 7 for approval with minor revisions
 - Recommended 6 for revise and re-review before recommending approval
4. Goal to have guidelines for all schools approved by Fall 2022
 - Apply this year and should be available to all faculty and review committees
 - Campus wide guidelines apply until school guidelines are approved.

New Sample External Reviewers Solicitation Letters

- New sample solicitation letters for Professor of Teaching (PoT) series: promotion to Associate and Full Professor of Teaching and Advancement to Above-Scale are posted
 - <https://ap.uci.edu/policies-procedures/app/3-60/samplelettersofpromotion/>
- Recommend including school guidance documents for expectations in the PoT series



4. Reminders for 2022-2023

Accelerations

- Require outstanding achievements in two areas, good contributions in third area
 - Professors: Outstanding research and outstanding service or teaching
 - Professors of Teaching: Outstanding teaching and outstanding service or research
- If department discussion suggests there may be mixed support for acceleration
 - Department should vote on acceleration and take a second vote for normative action (if this is a required review cycle)
 - Candidate can elect to have file moved forward with acceleration request even if not supported by the department
- Statistics on accelerations granted (percent of all finalized CAP reviewed cases):
 - 2021 – 2022: campus = 22%
 - 2020 – 2021: campus = 17%

Candidate Statements – 4 separate uploads

(recommended but not mandatory, be as concise as possible, 3 pages maximum)

- Research, Teaching and Service
 1. Research and creative activities statement
 2. Reflective teaching statement, peer evaluation of teaching and/or other evidence of teaching impact (upload required)
 3. Service activities statement

- Inclusive excellence activities statement should address activities in DEI related to research, teaching, and/or service, or this information can be included, as relevant, in the three statements listed above

- Guidance for preparing review files and statements
<https://ap.uci.edu/faculty/guidance/>

Outside Professional Activities

- ❑ Faculty engaging with outside entities in their area of expertise even if uncompensated
 - UC Policy requires annual reporting through **UC OATS**: <https://uci.ucoats.org/>
 - Examples of reportable activities:
 - Teaching at another institution or company in your area of expertise,
 - Co-founding role in a company

- ❑ UCOP mandates compliance: Failure to report results in holding merit/promotion associated salary increases in abeyance until annual reporting is completed

Policies and Guidelines:

- ❑ For questions contact: your Department Chair, Department Manager, School's Chief Personnel Officer or oats@uci.edu
- ❑ [APM 025](#), [APM 671](#), and [APP 1-15](#)

Council on Academic Personnel (CAP) / Academic Personnel Visits with Schools

- Schools can request visit
 - Contact Casey Lough, CAP analyst, clough@uci.edu
 - Will coordinate timing with CAP and AP
 - School equity advisor facilitated meetings in the past have been very useful

5. COVID-19 Recovery Program Updates

- Interim COVID-19 Research Recovery Program (2nd year)
 - One million allocated for 2022-2023
 - Eligibility: Expand to include all ranks (Assistant, Associate, Full)
 - Application deadlines: September 12, 2022 and January 9, 2023
 - More information: <https://ap.uci.edu/covid19/icrrp/>
- Sabbatical Leave Credit Return Request program (New)
 - Eligibility: Took sabbatical anytime during Winter 2020 through Winter 2022 and had full/partial unexpected disruption of sabbatical activities
 - Chair and Dean input and approval required before submission of request
 - Application deadline: October 14, 2022
 - For more information <https://ap.uci.edu/covid19/sabbaticalcreditreturn/>



6. Council on Academic Personnel (CAP)



Michelle Garfinkel

Professor

Department of Economics
School of Social Sciences

Chair

Council on Academic Personnel

Council Members

Ed Coulson

Business

Victor Fleischer

Law

Michelle Garfinkel (Chair)

Social Sciences

Al Goldin

Medicine (Basic)

Sheldon Greenfield

Medicine (Clinical)

Steven Gross

Biological Sciences

Susanne Jaeggi (Vice-Chair)

Education (At Large)

Victoria Johnson

Humanities

Jung-Ah Lee

Nursing (At Large)

Annie Qu

Information and Computer Science

Jodi Quas

Social Ecology

Tim Rupert

Engineering

Scott Rychnovsky

Physical Sciences

Darryl Taylor

Arts

Senate Analyst – Casey Lough

COVID-19 Impact on the Review of Files

- ❑ Take a holistic approach in evaluating cases, considering accomplishments across all interrelated aspects of faculty responsibilities in research and scholarly activity, teaching and service.
- ❑ Incorporate the principles of Achievement Relative to Opportunities (ARO): A fair evaluation of a faculty member's accomplishments over the relevant review period, taking into account the circumstances that have hindered the candidate's ability to achieve "normal" outcomes.
- ❑ An effective application of ARO principles requires documentation and contextualization of the impact be included in the file. Can be included in any of the individual statements from the candidate. Additional comments from the department, chair and dean are also appreciated.

COVID-19 Impact on the Submission of Files

- ❑ Candidates up for review (merit, promotion or advancement) are encouraged to submit their files on time, keeping the following in mind:
 - For merit cases, evaluation will look for evidence of strong teaching and service, plus research/creative activity consistent with ARO.
 - For promotion and advancement cases, evaluation will consider trends in performance pre- and post-COVID-19 and look for evidence of substantial scholarly/creative work with sufficient leadership, effective teaching and mentoring, and appropriate contributions to service.
 - Accelerations still require high levels of achievement in all areas, and more so as one moves up the professorial ladder. ARO principles do not apply.
- ❑ Those unsure of whether or not to submit their personnel file should consult with the leadership of their unit, and if desired can take advantage of the COVID-19 Stop the Clock (STC) option for pre-tenure/SOE files or deferral for post-tenure files.

2021-2022 CAP Data

388 cases were reviewed last year with 384 final recommendations:

- ❑ CAP agreed with proposed action for 77% of cases (vs. 76% average over the past 5 years).
- ❑ CAP agreed with proposed action for 89% of cases (vs. 88% average over the past 5 years) when modify-up and modify-down are included.
- ❑ Of the 118 acceleration cases, CAP agreed with 65% (vs. 62% last year).

Senate Annual Reports: <https://senate.uci.edu/annual-reports/>

External Letters

- ❑ Promotion to Associate, Full Professor and Adv. to Above-Scale: 4-5 letters needed, at least 3 dept. nominated and non-conflicted, reviewers must be at or above rank of candidate (APP 3-60 B).
- ❑ On AP-11, list *ALL* of those who were invited to provide a letter and give details regarding connection with candidate for *EACH* letter writer, don't evaluate connection (e.g., "was a colleague of former advisor, but never formally collaborated").
- ❑ Very short snippets from external letters can be included in department evaluation, but do not quote substantially from letters.
- ❑ Avoid selecting reviewers from previous actions for the same candidate.

Department/Chair/Dean Letters

- ❑ Shorter is often better.
- ❑ Avoid reiterating AP-10 content or other letters.
- ❑ Role is to evaluate in the local context, not to advocate for the candidate.
- ❑ Help CAP understand the context of the activities listed on AP-10.
 - “Prof. X’s service on this committee was commendable because of Y”
 - “Prof. X had a heavier teaching load than normal because of Y. Normal load for department is Z.”
- ❑ Address any negative aspects of the file, including negative votes from department members.

Research/Creative Activity

- ❑ Contributions: explain role and impact.
 - Explain the prestige and/or impact of the venues (e.g., journals, academic presses, exhibition).
 - For collaborative work, state what meaning, if any, the order of authors listed has; the candidate's role in the initiation of the research idea and in its execution (as leader, as providing a unique perspective/approach, as a mentor or a more minor role).
 - Explain the importance of the research/creative activity itself.
- ❑ Research grants and external funding.
 - A means of scholarship and mark of stature in the field.
 - Explain grant totals – if the amount is listed, indicate candidate's share.

Teaching

- ❑ Reflective Teaching Statement (RTS).
 - Show engagement with teaching evaluations (student and/or peer).
 - Acknowledge issues and explain how they were addressed.
- ❑ Student Evaluations of Teaching (SET).
 - Include SETs for the current review period, at most for the past 5 years.
 - Response rates are important (indicate if low response rates are normal within unit).
 - Student comments are often more valuable than numerical scores.
 - CAP discusses potential gender/ethnicity/race biases in teaching evaluations and related concerns.

Teaching (cont.)

☐ Mentoring

- Mentoring related to courses is generally expected.
- Mentoring activities beyond course expectations, which have a positive impact, are generally well-regarded.
- In addition to giving listing thesis committee membership, 199 courses, UROP, visitors, postdocs, etc. in AP-10, candidates should describe significance/impact of mentoring activities in the RTS and/or (if appropriate) in the inclusive excellence activities statement.

Service

- ❑ Context in service activities is essential; can be provided in AP-10 (if short) or in the candidate's service statement. Additional context provided in the department, chair and dean letters is appreciated.
 - CAP looks for levels of leadership, effort and main contributions.
 - How many hours/year?
 - Compensated or volunteer? What is standard in the department?
 - Editorial work: Top journal or blog? How many papers reviewed?
 - Consider grouping of service activities, with major ones called out for emphasis.
- ❑ Higher levels of service are expected at higher steps.

Diversity, Equity and Inclusion (DEI)

- ❑ CAP notices and appreciates impactful DEI work, including (but not limited to) anti-racist, anti-sexist, or anti-white supremacy efforts; activities that directly work to increase inclusion and success of underrepresented students, staff, or faculty; work on programs, policies, or practices that address structural inequities.
- ❑ List DEI activities on AP-10 under Research, Teaching, and Service as appropriate. If a single item is listed under two or more categories, explain the unique contribution to each category.
- ❑ Include a DEI (inclusive excellence) statement to provide context, describing efforts and accomplishments. See [CAP FAQ](#) for guidance.
- ❑ Do not include other's personal data when listing DEI activities on AP-10 or describing them in DEI statement.

Resources

- ❑ Office of Academic Personnel: <https://ap.uci.edu/>
- ❑ Guidance for Faculty on preparing files: <https://ap.uci.edu/faculty/guidance/>
- ❑ COVID-19 Guidance for Academics: <https://ap.uci.edu/covid19/>
- ❑ Documenting COVID-19 Impacts in Merit and Promotion Files:
<https://ap.uci.edu/documentingcovid19-2/>
- ❑ Summer Updates (June 22, 2022):
https://ap.uci.edu/wp-content/uploads/June-2022-AP-Summer-Updates-Presentation_Final-6.23.2022.pdf
- ❑ CAP FAQ (July 2022):
<https://docs.google.com/document/d/1XCZNTNDiyZF3KNamkxKQkqeSP1hUU6gdX2WkehK3Dr4/edit?usp=sharing>



Thank you for attending!