FALL KICK-OFF
ACADEMIC PERSONNEL REVIEW PROCESS

September 15, 2021

Presentation Outline

1. Academic Personnel Due Dates

2. COVID-19 Impact on AP Review Process for 2021-2022

3. Reminders for 2021-2022

4. Council on Academic Personnel (CAP)

Academic Personnel Due Dates

November 1	• Postponement of Tenure/Promotion Review
December 1	• Merits, including those with accelerations • No Change • Reappointments • Midcareer Appraisals
January 3	• Fifth Year Reviews • Advancements to Professor VI
February 1	• Promotions, including those with accelerations • Non-reappointments • Above Scale actions
March 1	• Merits, Dean Delegated • All other actions, including non-Senate actions
June 30	• Deferrals (Associate rank and above) Should be submitted by June 30, 2022

2. COVID-19 Impact on AP Review Process for 2021-2022

Continued Modifications to Review Process for COVID-19

- ❏ Still required to submit files according to standard deadlines
  https://ap.uci.edu/policies-procedures/app/3-60/filedeadlines/

- ❏ If CAP is tentatively recommending against a normal merit or promotion (not acceleration) due to decreased research/creative activity there will be a tentative decision
  - Faculty will have the option to include additional scholarly/creative work from October 1, 2021 - December 31, 2021

  - Note: As per normal process, faculty going up for promotion to tenure/SOE can add new materials until the final decision.

COVID-STC and Deferrals Due to COVID-19

- COVID-STC will be available to all pre-tenure faculty employed during the pandemic including those hired in 2021-2022

- Deferrals are available to all post-tenure faculty employed during the pandemic, including those hired in 2021-2022

- Details in Summer Kickoff Slide Deck https://ap.uci.edu/wp-content/uploads/July-2021-AP-Summer-Updates-Presentation-final_.pdf

Interim COVID Research Recovery Program (ICRRP)

❑ One million dollars has been allocated for the pilot

❑ Eligibility: Assistant and Associate Professors

❑ Application Deadlines: September 20, 2021 and January 14, 2022

❑ More information: https://ap.uci.edu/icrrp2021/

Professors of Teaching Update

❑ Appointment, merit, promotion and advancement for faculty in the Professor of Teaching series at UCI requires contributions in all three review areas: 1) research/creative activity, 2) teaching, and 3) service.

❑ A broad range of activities that meet all of the following criteria for a, b, and c below can be credited as research/creative activity:

    a. Represent new knowledge, innovation, and/or analysis in the discipline/pedagogy, as judged by peer or other external review;

    b. Publication/dissemination and public accessibility of the work beyond the university;

    c. Impact on the field, the academy, communities outside the academy and/or the wider society.

❑ VPAP office, guided by the recommendations of a 2020-2021 APG workgroup, will lead school discussions on a variety of issues including sabbaticals, voting rights, and development/review of guidance documents that will require review/approval by campus wide committee.

Personnel Review

- ❑ Required SHORT form – Department Letter

    - ■ Letter must be submitted on required short form with 3,500 character maximum
    - ■ Applies to all Dean-Delegated merit, CAP normal merits and first No Change
    - ■ Use UCI AP-12 form
    - ■ Further reference, APP 3-60-D2

- ❑ Encourage use of AP-10, with the latest updates (form dated 7/21)
    - ■ Note guidance for completing form by hovering over hyperlinked text
    - ■ https://ap.uci.edu/wp-content/uploads/UCI-AP-10.docx

Publications and Teaching Evaluations

❏ Publications

- ■ Live links
- ■ Webfiles NO longer supported/maintained as of June 30, 2021
- ■ File sharing solutions: [Google Drive](#) and [Microsoft OneDrive](#)

❏ Teaching Evaluations

- ■ Winter, Spring, Fall 2020 evaluations were watermarked with "COVID-19" and are excluded from review (faculty can elect to include)
- ■ Starting with Winter 2021, teaching evaluations are required in the review, still watermarked with "COVID-19" through Fall 2021
- ■ All evaluations should be in one PDF File
- ■ Only five years maximum required for any action (including creative materials)

Candidate Statements – 4 separate uploads
(recommended but not mandatory, be as concise as possible)

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

❑ Inclusive excellence activities statement should address contributions in research, teaching, and/or service, or this information can be included, as relevant, on one of the three statements listed above

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

Declaration of Potential Conflict of Interest (COI) in Personnel Review Process

- If there is a potential COI for reviewers above the department level (chair, associate dean, etc.) they should

    - Complete COI form [UCI AP-COI](UCI AP-COI)

    - Submit form to AP before the review occurs

- CAP will review and advise on course of action

    - No involvement in a faculty member's review: Family relationship, current close collaborator;

    - Reduced role that might include recusal from chair duties, but participation in writing department letter; small number of joint publications of co-PI status in recent past.

NOTE: If a reviewer declares themselves to hold a conflict, the form does not have to be prepared, and a surrogate must be assigned in their place.

Recruiter's Guide to University Hills Faculty/Staff Housing

❑ Irvine Campus Housing Authority (ICHA) updated information for Schools and departments on Recruit Guide: http://icha.uci.edu/wp-content/uploads/2021/06/5-24-2021-Recruiters-Guide-Final.pdf

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

4. Council on Academic Personnel (CAP)

Lisa Naugle

Professor

Department of Dance

Claire Trevor School of the Arts

Chair

Council on Academic Personnel

Council Members

Victor Fleischer
  Law

Michelle Garfinkel (Vice-Chair)
  Social Sciences

Sheldon Greenfield
  Medicine (Clinical)

Al Goldin
  Medicine (Basic)

Alexander Ihler
  Information and Computer Science

Susanne Jaeggi
  Education (At Large)

Victoria Johnson
  Humanities

Jung-Ah Lee
  Nursing (At Large)

Catherine Loudon
  Biological Sciences

Lisa Naugle (Chair)
  Arts

Connie Pechmann
  Business

Jodi Quas
  Social Ecology

Tim Rupert
  Engineering

Scott Rychnovsky
  Physical Sciences

Senate Analyst – Casey Lough

COVID-19 Impact on Submission of Merit Files

❑ Faculty /departments are encouraged to submit merit file on time for 2021-2022 review cycle (https://ap.uci.edu/policies-procedures/app/3-60/filedeadlines/):

   ■ If they have made strong contributions to teaching and service during the review period, and their contributions to research/creative activity are consistent with the achievement relative to opportunities, even if productivity/impact is less than expected pre-COVID-19.

   ■ Achievement Relative to Opportunities principles encourages "evaluation of candidates fairly based on their individual, review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate's normal ability to achieve expected outcomes" (from UC Academic Senate Recommendations to President Drake on Mitigating COVID-19 Impacts on Faculty, 1/26/21).

COVID-19 Impact on Submission of Merit Files (cont.)

- Those unsure of whether or not to submit their merit 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.

COVID-19 Impact on Submission of Promotion and Advancement Files

❑ This is guidance for faculty going up for promotion to tenure/SOE promotion to associate, full professor, advancement to Step VI, and to Above-Scale in the 2021-2022 review cycle.

- Continuing to use holistic approach in evaluating cases, taking into account accomplishments across all interrelated aspects of faculty responsibilities including: research and scholarly activity, teaching and service.
- Still requires high levels of achievement in all areas, with increasing expectations as one moves up the professorial ladder.

COVID-19 Impact on Submission of Promotion and Advancement Files (cont.)

- Council on Academic Personnel (CAP)/Vice Provost for Academic Personnel's (VPAP) evaluation will include consideration of the impact of the pandemic on performance based on how it is documented in the file
  - Some Examples:
    - Changes in teaching workload
    - Diminished resources (lack of available lab or studio equipment, TA support)
    - Additional mentoring beyond regular expectations
    - Contributions or leading new initiatives both within the discipline or the community.
    - Additional work helping set up labs, studios or other equipment/ facilities to help maintain operations.
    - Delayed book, performance or conference presentations.
- Will consider changes in the record of the candidate in the years prior to and during the pandemic

COVID-19 Impact on Submission of Promotion and Advancement Files (cont.)

- Candidates must still demonstrate substantial scholarly contributions and sufficient leadership in said scholarly/creative work.

- There must also be evidence of effective teaching and mentoring, as well as appropriate contributions to service.

- Those unsure of whether or not to submit their promotion/advancement file should consult with the leadership of their unit, and if desired can take advantage of the COVID-STC option for pre-tenure/SOE files or deferral for post-tenure files.

2020-2021 CAP Data

❑ 380 cases were reviewed last year:
- 78% of proposed cases CAP agreed with the proposed action
- 92% of proposed cases when modify-up and modify-down included
- Only disagreed with 8% of proposals

❑ Analysis on Accelerations
- 27% (or 101) of all proposed cases were proposed accelerations
- CAP agreed with 62% of proposed acceleration cases
- Proposed acceleration of 3 or more years are less likely to be approved than accelerations of 1 or 2 years.

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, give details regarding connection with candidate for ALL letter writers, 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 dept. evaluation but do not quote substantially from letters.

❏ Avoid selecting reviewers from previous actions for the same candidate.

Dept/Chair/Dean Letters

❑ Shorter is often better

❑ Provide context and assessment:
  ❑ "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."

❑ Avoid reiterating AP-10 content or other letters. Help CAP understand the context of the activities listed on AP-10

❑ Address any negative aspects of the file

Research and Scholarly Activity

❑ AP-10 bullet points with supporting self statements that are clear, concise and provide additional context are helpful.
❑ CAP looks for connections between research activity, impact and leadership.
   ◼ Example: For co-authors, co-artistic directors, designers, collaborators, "team science," inter- or cross-disciplinary work -- did the candidate initiate the work? Did they have a minor or a major role in the development and final production of the work?

"Book" disciplines
   ◼ What is the publisher's stature? Is the publication proposing new or expanding existing work? How/why?
   ◼ Does the listed author order have meaning, and what is it?

Arts
   ◼ Describe importance of venue (historical, new, online, festival, exhibition, etc.)
   ◼ Presentations at national /international venues carry more weight than those on campus
   ◼ Note if a production is an original/new, a re-staging, part of an exhibition, etc.

Research and Scholarly Activity (cont.)

❏ Research grants, external funding:
  ◼ A mark of stature/ research accomplishments
  ◼ Explain grant / funding totals – indicate candidate's portion

❏ As provided in Faculty Guidance, CAP/VPAP consider a broad range of activities that meet all of the following criteria a, b, and c below as research/creative activity:
  a. Represent new knowledge, innovation, and/or analysis in the discipline/pedagogy, as judged by peer or other external review;
  b. Publication/dissemination and public accessibility of the work beyond the university;
  c. Impact on the field, the academy, communities outside the academy and/or the wider community.

Teaching

❑ [Reflective Teaching Statement](#)
  ■ CAP looks for candidate's engagement with teaching evaluations, addressing any problems and explain how they are / were resolved.

❑ Student Evaluations of Teaching (SET)
  ■ Include most recent SETs, up to last 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.
- Rather than giving lists of thesis committee membership, 199R courses, UROP, visitors, postdocs, etc., describe significance/impact of mentoring activities
- Are mentors assigned, required as part of a course, do students or faculty choose?

Service

- ❑ Context in service activities is essential
  - ◾ CAP looks for levels of leadership, effort and main contributions, not long lists of service activities.
  - ◾ For example:
    - How many hours/years?
    - Compensated or volunteer? What is standard in the department?
    - Editorial work: How many papers reviewed? Top journals or blog?

- ❑ Higher levels of service are required at higher steps.

Diversity, Equity and Inclusion

❑ DEI work is an important contribution to research/creative activity, teaching, and service activities.
 ■ Examples may include anti-racist, anti-sexist, or anti-white supremacy efforts; activities that directly work to increase inclusion and success of underrepresented students, staff, or faculty; or the work on programs, policies, or practices that address structural inequities. Such work should always be listed on the AP-10 and are the only activities where individual contributions can be listed under multiple categories (research, teaching, and service) on the AP-10. See CAP FAQ for more guidance.

❑ DEI statements are useful for providing context for significant contributions
 ■ Was the work beyond regular responsibilities?
 ■ Proactive work is considered more favorably (candidate describes what they have done to recruit/support URM students, faculty, guest speakers, etc.)

Questions?

Thank you for attending!