ACADEMIC PERSONNEL REVIEW PROCESS

May 17, 2022
Logistics

- We are not recording; PPT will be available online and has a list of resources at end
- You are welcome to take and share notes
- Specific questions about individual cases are best asked of your chair, AP staff, Equity Advisor, mentors, etc.
- During Q&A we’ll take chat and verbal questions
- You are welcome to change name to “Anonymous” to ask questions.
Office of Inclusive Excellence

Douglas Haynes
Vice Chancellor for Equity, Diversity, and Inclusion
Professor of History

- Junior Faculty Survey: to learn more of junior faculty experience with career development resources and opportunities at the University of California, Irvine
  - Survey Link: https://www.surveymonkey.com/r/9MV7ZKC
### Academic Personnel Review Overview

#### Department Review
- **Candidate submits information for review**
- **Department makes a recommendation**
- **Department Chair makes an independent recommendation (optional)**

#### Campus Review
- **Academic Personnel reviews dossier for completeness**
- **Council on Academic Personnel (CAP) (elected by all Academic Senate Faculty) makes a recommendation**
- **Provost and Executive Vice Chancellor or Vice Provost**
  - Decides appointments, merits and advancements
  - Recommends to Chancellor on promotions and non-reappointments
- **Chancellor**

#### Dean Review
- Decides normal merits that have been delegated to Deans (CAP review waived)
- Makes a recommendation on promotions and non-delegated merits
Review Timeline for Assistant Professors and Assistant POT

- Merit review
  - Occurs every two years, merit or reappointment

- Mid-Career Appraisal (MCA)
  - Normally occurs in the third or no later than fourth year

- Promotion to Tenure/SOE
  - Normally occurs during the sixth year

Note: Files are submitted a year before the action is granted
  - E.g., files submitted Fall 2022 have action date of July 1, 2023
Candidate base file

- AP-10 Addendum Form *(available here)*
  - Important to fill out completely and accurately

- Four Self statements (recommended but not required)
  - Research, teaching, service and inclusive excellence
  - Provide context, additional information
  - Be clear and concise, 2 pages or less/statement
  - Guidance for preparing effective self statements: https://ap.uci.edu/faculty/guidance/

- Two forms of evidence for teaching evaluation
  - Student Evaluations and one other (most often reflective teaching statement but can be peer-review or other)

- E-Copies of Pub/Creative Activities
Mid-Career Appraisal

- Review of progress toward promotion: identify strengths and weaknesses (3rd year)
  - Four possible outcomes
    - Positive – rare and no areas for improvement identified
      - Provisional Positive – most common, some improvements
      - Guarded – significant improvements needed
    - Negative – concerns in multiple areas
  - Recommends actions for individual and/or department
  - CAN include copies of work in progress for this review
    - particularly important for book disciplines
Promotion to tenure/SOE

- UCI the rate of promotion is high (>85%)
- File submitted by fall of 6th year, for effective date on July 1 (beginning of 7th year).
  - only action where additional information can be added after Sept 30 review profile end date
  - Have right to see dept/redacted external letters and respond
  - Any tentative negative recommendation from CAP is returned to candidate for further information
- Make the case in self-statements
External Letters for Promotion

- Must have 4-5 external letters from non-conflicted external reviewers.
  - Conflicts include previous grad/postdoc mentor, current collaborators

- At least 3 letters must be from department-nominated and non-conflicted external reviewers
  - More letters are not necessarily better

- Candidate and department generate two independent lists
  - Any name that appears on both is marked as Department
  - Must be at/above rank being promoted to
Stop the Clock

APP 7-40 https://ap.uci.edu/policies-procedures/app/7-44/

- UCI notification timing for childrearing/bearing
  - Notice of intent on or before July 1st of academic year in which MCA or promotion review is to occur
  - Notification requires form UCI-AP-92

- Expanded to include
  - Serious Health Condition Including Disability or Bereavement
  - Significant Circumstances or Event
  - COVID-19 (currently applies to all assistant professors/POTs, who started their appointment prior to June 30, 2022)

- Reappointments with/without merit must still happen every 2 years

- Can choose to go for MCA or promotion at normative time, even if STC certification form acknowledged
COVID-19 AP Impact

https://ap.uci.edu/covid19/

- **Student Teaching Evaluations**
  - *Option to exclude* from review: Winter 2020 through Fall 2020 evaluations during COVID-19. Can include if you want
  - *Mandatory inclusion*: Prior to Winter 2020 and from Winter 2021 on

- **COVID Stop the Clock (COVID-STC)**
  - Can request and subsequently choose not to use (before July 1)
  - Details at [https://ap.uci.edu/addtlguidancecovid19/](https://ap.uci.edu/addtlguidancecovid19/)

- **Interim COVID-19 Research Recovery Program (ICRRP)**
  - Two rounds of funding distributed to faculty in 2021-2022 (~1 million)
  - Two rounds of applications planned in 2022-2023
  - Details at [https://ap.uci.edu/covid19/icrrp/](https://ap.uci.edu/covid19/icrrp/)
Academic Personnel Resources

https://ap.uci.edu/faculty/


- APM-200, Appointment and Promotion
- APM-210, Review and Appraisal Committees
- APM-220, Professor Series
- APM-285, Lecturer with Security of Employment Series

APP (UCI Policies) https://ap.uci.edu/policies-procedures/app/

- APP 3-40: Types of Action
- APP 3-50, Assistant Professors - Special Considerations

Additional Information for Faculty

- Faculty Guidance https://ap.uci.edu/faculty/guidance/
- CAP FAQ -- updated annually, https://docs.google.com/document/d/1XCZNTNDiyZF3KNamkxKQkqeSP1hUU6gdX2WkehK3Dr4/edit?usp=sharing
- Family Friendly resources https://ap.uci.edu/family-friendly-resources/
- COVID-19 resources https://ap.uci.edu/covid19/
- Follow your file’s progress (if online) https://review.ap.uci.edu/
Questions?
# Normal Time at Step

<table>
<thead>
<tr>
<th>Rank and Step</th>
<th>Normal Years at Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Professor (All Steps)</td>
<td>2 Years</td>
</tr>
<tr>
<td>Assistant Professor of Teaching/Assistant Clinical Professor of Law (All Steps)</td>
<td></td>
</tr>
<tr>
<td>Associate Professor (Steps 1 – 3)</td>
<td></td>
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<tr>
<td>Associate Professor of Teaching/Associate Clinical Professor of Law (Steps 1 – 3)</td>
<td></td>
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<tr>
<td>Associate Professor (Steps 4 – 5)</td>
<td>3 Years</td>
</tr>
<tr>
<td>Associate Professor of Teaching/Associate Clinical Professor of Law (Steps 4 – 5)</td>
<td></td>
</tr>
<tr>
<td>Professor (Steps 1 – 4)</td>
<td></td>
</tr>
<tr>
<td>Professor of Teaching/Clinical Professor of Law (Steps 1 – 4)</td>
<td></td>
</tr>
<tr>
<td>Professor (Steps 5 – 8)</td>
<td>3 Years Norm</td>
</tr>
<tr>
<td>Professor of Teaching/Full Clinical Professor of Law (Steps 5 – 8)</td>
<td></td>
</tr>
<tr>
<td>Professor (Step 9)</td>
<td>4 Years Norm</td>
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<tr>
<td>Professor of Teaching/Clinical Professor of Law (Step 9)</td>
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<tr>
<td>Professor (Above Scale)</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Professor of Teaching/Clinical Professor of Law (Above Scale)</td>
<td></td>
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</tbody>
</table>

Assistant Professors, Assistant Professors of Teaching/Assistant Clinical Professors of Law - On this campus, the normal period of service at the rank of Assistant Professor is six years.

Associate Professors, Associate Professors of Teaching/Associate Clinical Professors of Law - The normal period of service at the rank of Associate Professor is six years.

Professors, Professors of Teaching/Clinical Professors of Law - Advancement to Step VI normally will not normally occur after less than three years of service at Step V. Advancement to an Above Scale salary is reserved for scholars and teachers of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching performance is excellent.
Review File Deadline Dates

- **Postponement of Tenure Files – Due Nov 1**
  - Requests must be accompanied by the candidate’s full merit or reappointment file
  - May not request for postponement if MCA was negative

- **Midcareer Appraisal Files – Due Dec 1**
  - All appointees undergo a Midcareer Appraisal
  - It is an early notification of critical feedback provided to the Assistant Professor
  - Generally, the MCA should occur during the third or fourth year. No postponement will be granted if negative MCA

- **Promotion/Promotion to Tenure Files – Due Feb 1**

Note: The above deadline dates is when the file is due into the Office of Academic Personnel.
Academic Personnel Review Process

1. Candidate submits information for review
2. Department makes a recommendation
3. Department Chair makes an independent recommendation (optional)
4. Dean makes a recommendation on promotions and non-delegated merits
5. Academic Personnel reviews dossier for completeness
6. Council on Academic Personnel (elected by Academic Senate) makes a recommendation
7. 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
8. Provost and Executive Vice Chancellor or Vice Provost
9. If Provost and EVC’s tentative decision is different from CAP’s recommendation, CAP will be notified in case there is further information before a final decision is made
10. Recommends to Chancellor on promotions and non-reappointments
11. Chancellor
12. Decides normal merits that have been delegated to Deans (CAP review waived)
13. Decides appointments, merits, and advancements

NOTE: Starting with the 2019-2020 review cycle, the tentative decision process following the Council on Academic Personnel (CAP) review will be optional, not mandatory, when there is disagreement at one or more levels of review. CAP has elaborated on its processes via the CAP Tentative Decision FAQ, which can be found at: https://ap.uci.edu/wp-content/uploads/CAP-Tentative-Decision-FAQ.pdf
Merit Review Period

Merit for an Assistant Professor/Assistant Professor of Teaching

- Review period begins October 1 of year prior to last merit received
- Curriculum Vitae & Review Profile dates are through September 30 of the review year

Example:

Last merit was effective July 1, 2020

Next merit is effective July 1, 2022

Review Period: October 1, 2019 – September 30, 2021
Mid-Career Appraisal Review Period

Mid-Career Appraisal for an Assistant Professor/Assistant Professor of Teaching

- From initial appointment to UC Irvine to September 30th of the fourth year

Example:

- Hire date: July 1, 2020
- End of Fourth Year: June 30, 2024
- Review Period: July 1, 2020 – September 30, 2023
Promotion of Mid-Career Appraisal for an Assistant Professor/Assistant Professor of Teaching

- Review period begins from initial appointment as Assistant Professor/Assistant Professor of Teaching
- Curriculum Vitae & Addenda/Review Profile dates are through September 30 of the review year

Example:

Initial Appointment: Effective – July 1, 2020

Review Period: July 1, 2020 – September 30, 2025

Promotion: Effective – July 1, 2026
Welcome to the Office of Academic Personnel

Diane K. O’Dowd
HHMI Professor
Developmental and Cell Biology
Vice Provost, Academic Personnel

Quicklinks
COVID-19 Guidance for Academics
Academic Review Files - Faculty Guidance

What’s New
Student Evaluations of Teaching — COVID-19 Watermark Update

Events & Reminders
Junior Faculty Academic Personnel Review Process
May 17, 2022 @ 9:00 am - 10:30 am
Academic Senate Website
(www.senate.uci.edu)

In accordance with UC Irvine’s COVID-19 response, all Academic Senate staff are currently conducting business remotely and may be reached via email.

INFORMATION AVAILABLE

Academic Senate Communications on COVID-19

https://senate.uci.edu/academic-senate-communications-on-covid-19/
ADVANCE Program for Equity and Diversity

An Equity Advisor is a senior faculty member, appointed as Faculty Assistant to the Dean in their respective schools. Equity Advisors participate in faculty recruiting by approving search strategies and raising awareness of Best Practices. Additionally, they organize faculty development programs, with both formal and informal mentoring, and address individual issues raised by women and underrepresented minority faculty.

Equity Advisors, together with the ADVANCE Program Director and Manager, form APAC, the Advance Program Advising Committee. APAC meets monthly to discuss current and best practices to promote faculty diversity and inclusion across campus.