ACADEMIC PERSONNEL REVIEW PROCESS
Logistics

- We are not recording; PPT will be available online and has a list of resources at the 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.
- Request feedback on your experience as assistant professor. Survey link will be provided in chat at end of session and also sent to you along with slides next week.
Academic Personnel Review Overview

**Department Review**
- Candidate submits information for review
- Department makes a recommendation
- Department Chair makes an independent recommendation (optional)
- Decides normal merits that have been delegated to Deans (CAP review waived)
- Makes a recommendation on promotions and non-delegated merits

**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
Review Timeline: Assistant Professor and Assistant Professor of Teaching

- **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 in the sixth year and no later than the 8\textsuperscript{th} year

Note: Files are submitted in the Fall of the year before the action

- Example: Files submitted in Fall 2024 have an effective date of July 1, 2025
Mid-Career Appraisal Timing

Evaluation of activity from hiring date up through September 30 of the 4\textsuperscript{th} year

Example: Hire date July 1, 2022 the activity reviewed would be from July 1, 2022- September 30, 2025.
ScholarSteps

- UCI’s online review system: [https://ap.uci.edu/scholarsteps/](https://ap.uci.edu/scholarsteps/)
Addendum Form, **AP-10**
- Important to fill out completely and accurately
- Updated AP-10: 6/2024
  - Section IV-C, Professional Recognition and Activity, Separated the sections for talks at UCI vs. other locations

**Curriculum Vitae (CV)**
- Publication numbers on the CV should also match the publication numbers on the AP-10

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

**Two forms of evidence for teaching evaluation**
- Student Evaluations
- One other: reflective teaching statement, peer evaluation from a colleague, or other evidence (most often reflective teaching statement)

**E-Copies of Publications/Creative Activities**
Change in Dean’s Delegated Files

- Files that will be dean delegated effective 2024-25 review cycle
  - All normal merit files
  - Any faculty member can elect to have their merit file be Campus Reviewed
    - Must make that decision before submitting file materials to the department

- Files that continue to be CAP reviewed
  - All promotion and advancement files
  - All mid-career Appraisal files
  - All acceleration files
  - All files in the review cycle following any reappointment only decision
Candidate Base File – Dean’s Delegated Review File

- Curriculum Vitae (CV) OR complete the Addendum form, AP-10
  - If submitting a CV
    - Highlight all new material since the last review period ended
    - Complete Teaching Addendum form, AP-10-DD
  - If submitting an AP-10:
    - Use updated AP-10 June 2024: Complete entire form

- Self Statement (not required)
  - Can include one reflective statement with short sections about significant contributions in review areas that may not be adequately evident from the CV/AP-10
  - Recommended length (< 2 pages total)

- Two forms of evidence for teaching effectiveness
  - Student Evaluations
  - One other: reflective teaching statement (most common), peer evaluation from a colleague, or other evidence

- E-Copies of Publications/Creative Activities
Dean Delegated File Turns into an Acceleration File

File starts as a dean delegated merit, but dean proposes an acceleration

- Dean would discuss with chair
- If faculty member wants to be considered for an acceleration
  - Faculty member would prepare a full CAP reviewed file with complete AP-10 and reflective statements
- Department would take a new vote and prepare a new letter
Mid-Career Appraisal

- Requires full CAP review file format (AP-10, etc)

- Review of progress toward promotion: identifies strengths and weaknesses
  - Often recommends actions for individual and department

- Four possible outcomes
  - Positive – rare, no areas for improvement identified
  - Provisional Positive – most common, some improvements needed
  - Guarded – significant improvements needed
  - Negative – concerns in multiple areas
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)**
  - This is the only action where additional information can be added after Sept 30 addendum end date
  - Candidate has a right to see the department letter and vote and redacted external letters and may choose to respond
    - No response required – responses relatively rare
  - 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 graduate/postdoctoral mentor, current collaborators
    - APP 3-60-B External Letters
    - Conflict of Interest – Frequently Asked Questions

- Candidate and department generate two independent lists of names of potential reviewers
  - Any name that appears on both is marked as Department
  - Reviewers must have position at/above rank being promoted to

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

- **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**
    - Applies only to assistant rank faculty who fall under provision of [APM 133](#)
    - Faculty must have started their appointment on or prior to **June 30, 2022**
    - Details at [https://ap.uci.edu/covid19/](https://ap.uci.edu/covid19/) (COVID-19 FAQs for Academics #5)

- **Reappointments with/without merit must still occur every 2 years**

- **Can choose to go for MCA or promotion at normative time, even if STC certification form submitted**
Further COVID-19 Impact and Strike Impact
(Applicable to Assistant rank faculty hired prior to Fall 2022)

- **Student Teaching Evaluations**
  - *Option to exclude* from review: Winter 2020 through Fall 2020 evaluations during COVID-19. Can choose to include.
  - *Mandatory inclusion*: Prior to Winter 2020 and from Winter 2021 on.
  - *Watermark*: for classes taught from Winter 2021 through Fall 2021 with “COVID-19” and for Academic Employee Strike in Fall 2022.
    - Recommend addressing any issues in reflective teaching statement if appropriate.

- **Guidance for Review of Academic Personnel Affected by the Academic Employee Strike**
Academic Personnel Resources

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

**Academic Personnel Manual** (APM) – systemwide policies
- APM-200, Appointment and Promotion
- APM-210, Review and Appraisal Committees
- APM-220, Professor Series
- APM-285, Lecturer with Security of Employment Series

**Academic Personnel Procedures** (APP) – UCI policies
- APP 3-40: Types of Action
- APP 3-50, Assistant Professors - Special Considerations
- APP 3-60, Merit and Promotion File Documentation for Academic Senate

**Additional Information for Faculty**
- Faculty Guidance on Preparing Files https://ap.uci.edu/faculty/guidance/
- CAP FAQ
- Family Friendly Resources
- APP 7-30, Reasonable Accommodations
- COVID-19 Resources
- Follow your online file’s progress: ScholarSteps
Survey:

https://uci.questionpro.com/a/TakeSurvey?tt=BmY9b0l46X0ECHrPeIW9eQ%3D%3D
## Normal Time at Step

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<tr>
<th>Rank and Step</th>
<th>Normal Years at Step</th>
<th>Notes</th>
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<tr>
<td>Assistant Professor (All Steps)</td>
<td>2 Years</td>
<td>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.</td>
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<td>Assistant Professor of Teaching/Assistant Clinical Professor of Law (All Steps)</td>
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<tr>
<td>Associate Professor (Steps 1 – 3)</td>
<td>3 Years</td>
<td>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.</td>
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<tr>
<td>Associate Professor of Teaching/Associate Clinical Professor of Law (Steps 1 – 3)</td>
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<tr>
<td>Professor (Steps 4 – 5)</td>
<td>3 Years Norm</td>
<td>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.</td>
</tr>
<tr>
<td>Associate Professor of Teaching/Associate Clinical Professor of Law (Steps 4 – 5)</td>
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<tr>
<td>Professor (Steps 1 – 4)</td>
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<tr>
<td>Professor of Teaching/Clinical Professor of Law (Steps 1 – 4)</td>
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<tr>
<td>Professor (Steps 5 – 8)</td>
<td>3 Years Norm</td>
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<tr>
<td>Professor of Teaching/Full Clinical Professor of Law (Steps 5 – 8)</td>
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<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>
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<tr>
<td>Professor of Teaching/Clinical Professor of Law (Above Scale)</td>
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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

Candidate submits information for review

Department makes a recommendation

Department Chair makes an independent recommendation (optional)

Dean

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

Dean makes a recommendation on promotions and non-delegated merits

Academic Personnel reviews dossier for completeness

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

Ad hoc review committee (optional). Nominated by the Council on Academic Personnel; 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

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 or Vice Provost

Decides appointments, merits, and advancements

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

Recommends to Chancellor on promotions and non-reappointments

Chancellor

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.
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, 2022
Next merit is effective July 1, 2024

Review Period: October 1, 2021 – September 30, 2023
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, 2022

End of Fourth Year: June 30, 2026

Review Period: July 1, 2022 – September 30, 2025
Promotion Review Period

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, 2021
- Promotion: Effective – July 1, 2027
- Review Period: July 1, 2021 – September 30, 2026
NOW AVAILABLE

2024 Academic Senate Annual Election Results

https://senate.uci.edu/senate-election/

The Irvine Division of the Academic Senate represents the Irvine faculty in the shared governance of the University of California. The Academic Senate is empowered by the Regents to determine academic policy, set conditions for admission and granting of degrees, advise the Chancellor on the campus budget, authorize and supervise courses and curricula, and advise the administration on faculty appointments and promotions.

Announcements

May 2 Divisional Senate Assembly Meeting

Current Issues

Guidance and Communications on the UAW

Systemwide Issues

2022 Systemwide UC Faculty Survey
Faculty Success Program

As part of our institutional membership in the National Center for Faculty Development and Diversity, campus faculty may participate in the Faculty Success Program at a discounted tuition rate.

The Faculty Success Program provides participants with a supportive community committed to accelerating productivity and advancing career goals. UC faculty have benefited from the Faculty Success Program through:

- Setting achievable personal and professional goals
- Establishing a consistent, healthy, and sustainable daily writing routine
- Developing a publication profile that exceeds the institution’s promotion criteria
- Mastering best practices in academic time management
- Identifying areas of resistance and developing strategies to move through them
- Nourishing physical and emotional health
- Providing a supportive community to process challenges and celebrate successes

For more information about the Faculty Success Program and how it can benefit your career, please visit the National Center for Faculty Development and Diversity website.
Office of Inclusive Excellence Programs
https://inclusion.uci.edu/funding-programs/dcta/

Dependent Care Travel Awards

All qualifying academic senate members who are parents or primary caregivers of a child age 6 years or younger at the time of application are invited to apply for a Dependent Care Travel Award. These awards are designed to subsidize childcare costs associated with travel to a professional conference or research meeting. The awards may also be used for daycare costs incurred during an approved sabbatical leave that requires relocation.

Application

The application for Spring and Summer 2024 has just closed. For any questions or concerns, please email Josh Block at jablock@uci.edu.