

UCI Academic Personnel Procedures

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


Specifies the terms of appointment as well as the timing of the midcareer appraisal and the tenure review.

ACADEMIC SENATE TITLES

3-50. Assistant Professors - Special Considerations

A. EACH APPOINTMENT AND REAPPOINTMENT OF AN ASSISTANT PROFESSOR IS LIMITED TO A MAXIMUM TERM OF TWO YEARS

Highlights:

- [Tenure Review Process](#)
- [Eight Year Rule](#)
- [Stopping the Clock for Childrearing](#)
- [Policy Reference](#)
-  [print version](#)

Reappointment Review Process

Until an assistant professor has achieved promotion to tenure, a department chair must submit one of the following recommendations for each assistant professor who is serving the second year of appointment.

1. Reappointment with a Merit Increase

In a normal case, the expectation is that an assistant professor will make satisfactory progress toward tenure and that the department will therefore recommend a two-year reappointment with a merit increase.

NOTE: The department may wish to recognize exceptional achievement by recommending a merit increase for an assistant professor who is serving the first year of a two-year appointment. If this accelerated increase is approved, its effective date will mark the beginning of a new two-year appointment.

2. Reappointment without a Merit Increase

If progress toward tenure is minimally acceptable but not outstanding, the department may recommend a two-year reappointment without a merit increase.

3. Nonreappointment

In the case of an assistant professor who is not making minimally acceptable progress toward tenure, the department may recommend a terminal appointment.

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B. TOTAL UNIVERSITY SERVICE IN THE ASSISTANT PROFESSOR AND OTHER SPECIFIED TITLES MAY NOT EXCEED EIGHT YEARS

In the University of California system, in order to remain as a tenured member of the faculty, a person must earn promotion from assistant professor to associate professor before the end of eight years of service. (See [Appendix I](#) of this section for guidelines on determining years toward the eight-year limit.) In some cases, appointees can receive additional time on the clock for childrearing. This type of approved leave will extend the eight-year maximum limit.

It should be noted that appointees are not guaranteed eight years of employment. The eight-year limit refers to the maximum amount of time in which the University may offer appointment in restricted titles. Decisions about retention and advancement are based on careful reviews of the appointee's promise, progress and achievement. A review may result in a recommendation for nonreappointment earlier than the sixth year but not later than the seventh year because of the requirement to give a 12-month notice to the appointee.

Tenure Review Process

A department is required to conduct a formal appraisal of an assistant professor's standing in regard to promotion to tenure both at midcareer (in the third or fourth year of service under the eight-year rule) and at the time of the tenure review (normally in the sixth year). The following table illustrates the timing of the tenure review in a normal case under the eight-year rule:

Years Toward Tenure	Actions	Comments
First Year	Initial Appointment	
Second Year		
Third Year		
Fourth Year	Midcareer Appraisal	May occur earlier
Fifth Year		
Sixth Year	Normal Tenure Review	Postponement to seventh year possible
Seventh Year	If postponement is approved: mandatory Academic Year for Tenure Review to Begin	
Eighth Year		Reserved for notice (if necessary)

[Appendix II](#) in this section illustrates differences in the timing of the tenure review for an assistant professor appointed with a mid-year (other than July 1) effective date. See [Appendix III](#) for special timing of the tenure review for an assistant professor who has received a "childrearing extension."

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1. Midcareer Appraisal

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 Mid-Career Appraisal should be clearly labeled as "Positive," "Negative," or "Cautionary." 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:

- a. Teaching
- b. Research or creative work
- c. Professional competence and activity
- d. 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 Committee 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.

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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 Committee 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.

2. 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.

Postponement of the Tenure Review

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

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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.

Tenure Review

At the time of the tenure review (in the sixth or, with postponement, the seventh year), the department will submit one of the following recommendations:

a. Promotion

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.

b. Nonreappointment

If the department determines that the assistant professor's record does not meet the university's criteria for promotion to tenure, the department should recommend nonreappointment, or a one-year terminal appointment if this is necessary to provide notice.

NOTE: When a tenure review results in a recommendation for nonreappointment at any level, reviewers still need to follow the procedures to ensure fairness in the review of assistant professors set forth in [APM Policy 220-84](#) and in this manual ([APP 1-12](#)). It is essential that a recommendation for nonreappointment be as carefully and thoroughly documented as a recommendation for promotion.

Preliminary Assessment Procedure

In August, 1993, the campus was issued revised [APM Section 220-84-b](#) concerning preliminary assessment notification by the Executive Vice Chancellor in nonreappointment cases.

During a tenure review of an assistant professor (or a comparable review for an assistant professor in residence, assistant professor of clinical X, or assistant adjunct professor), if the Executive Vice Chancellor's preliminary assessment is for nonreappointment, the department chair and the candidate will be notified in writing and will have an opportunity to respond after receiving access to extra departmental documents in the review file.

Under this policy, intact copies of the dean's letter and the CAP

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report, plus redacted copies of the chair's letter and any *ad hoc* report, will be sent to the candidate via the dean's office at the time of the preliminary assessment. In addition, a copy of the department letter and redacted copies of outside letters will be provided to the candidate if he or she did not request such access at the time of the department review. Candidates will be given *five working days* to submit any additional materials to their chairs. Policy allows the candidate to respond directly to the Executive Vice Chancellor if he or she chooses, but the response will be returned to the department for advice. This response, together with additional recommendations from the department and dean, will be returned to the Committee on Academic Personnel for final review.

References - University Policy

- o Reference: [APM Policy 220-17](#), Effective Service Dates
- o Reference: [APM Policy 133](#), Limit on Total Period of Service with Certain Academic Titles

APPENDIX I

HOW TO DETERMINE YEARS TOWARD THE EIGHT- YEAR RULE

Years of service toward the eight- year limit are calculated from the beginning of the first complete quarter of service (see [APM Policy 133-17](#) for complete details). Some special considerations for figuring years of service are:

- A.** Service in acting professor and visiting professor titles **counts** toward the eight-year limit.
- B.** Normally, appointments at any percent of time (including 0%, or Without Salary) count toward the eight- year limit. See APM Policy 133 for exceptions.
- C.** A break in service does not invalidate the counting of service prior to the break.
- D.** Periods of service on any campus of the University of California in any combination of the titles listed in APM Policy 133 count toward the eight-year limit.
- E.** Applicability of periods of leave toward the eight- year limit:
 - 1.** Periods of leave, whether with or without salary, will be included as service toward the eight- year period unless the Chancellor, after consultation with the Committee on Academic Personnel but prior to

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approval of the leave, determines that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career. (On this campus approved leave due to illness is normally excluded.)

2. Any childbearing or parental leave which is equal to or exceeds one quarter is automatically excluded from service toward the eight-year limit. The maximum time which may be excluded for one or more of these leaves is one academic year (3 quarters for a 9-month academic appointee and 4 quarters for an 11-month fiscal year academic appointee) for each event of birth or adoption.

3. Exclusion of one or two quarters will not necessarily affect the timing of the tenure or promotion review, since these reviews are conducted on an academic-year basis.

F. An assistant professor who is responsible for 50 percent or more of the care of a [newborn child or a child under age five newly placed for adoption or foster care](#) is eligible to request that their tenure clock be stopped for up to one year for each event of birth or placement, provided that all the time off the clock totals no more than two years in the probationary period. This request must be made within two years of the birth or placement of the child and exercised before July 1 of the academic year in which a promotion review is to occur (no later than the second half of the actual fifth year). See APP 3-50, Appendix III.

APPENDIX II

SPECIAL TIMING OF THE TENURE REVIEW FOR MID-YEAR APPOINTEES

Service toward the eight-year limit for 9-month appointees is counted in quarter units (three quarters = one year). When total service includes a fraction of a year, the total should normally be rounded in years of service for review purposes. As an example, an assistant professor hired spring quarter, 2006, would normally be reviewed for tenure in the 2011-2012 academic year (the sixth year). This timing is necessary in order to provide a period for the review and to allow for a full year's notice in the event of nonreappointment.

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The following table illustrates the timing of reviews for a 9-month academic year appointee with a mid-year appointment effective at the beginning of Winter Quarter:

Academic Years of Service	Months Toward Tenure	Actions	Comments
First Year (partial)	Winter and Spring only - Quarters 1, 2	Initial Appointment	
Second Year	Quarters 3, 4, 5		
Third Year	Quarters 6, 7, 8,		
Fourth Year	Quarters 9, 10, 11	Midcareer Appraisal	May occur earlier
Fifth Year	Quarters 12, 13, 14		
Sixth Year	Quarters 15, 16, 17	Normal Tenure Review	Postponement to seventh year possible
Seventh Year	Quarters 18, 19, 20	If postponement is approved: mandatory Academic Year for Tenure Review to Begin	
Eighth Year	Quarters 21, 22, 23		Quarters 22 and 23 must be reserved for notice (if necessary)
Ninth Year (partial)	Fall only - Quarter 24		Quarter 24 available for notice (if necessary)
Table I			
Mid-year Appointments (9-Month - Winter Quarter)			

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quarter:

Academic Years of Service	Months Toward Tenure	Actions	Comments
(partial)	Spring only - Quarter 1	Initial Appointment	
First Year	Quarters 2, 3, 4		
Second Year	Quarters 5, 6, 7		
Third Year	Quarters 8, 9, 10		
Fourth Year	Quarters 11, 12, 13	Midcareer Appraisal	May occur earlier
Fifth Year	Quarters 14, 15, 16		
Sixth Year	Quarters 17, 18, 19	Normal Tenure Review	Postponement to seventh year possible
Seventh Year	Quarters 20, 21, 22	If postponement is approved: mandatory Academic Year for Tenure Review to Begin	Quarter 22 must be reserved for notice (if necessary)
Eighth Year (partial)	Fall and Winter only - Quarters 23, 24		Quarters 23 and 24 available for notice (if necessary)

**Table II
Mid-year Appointments (9-month - Spring Quarter)**

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Service toward the eight- year limit for 11- month fiscal year appointees is counted in 12 monthly units. When total service includes a fraction of a year, the total should normally be rounded upward in determining years of service for review purposes. Thus, any period from 61 months through 72 months should be counted as six years for such purposes.

The following table illustrates the timing of reviews for an 11- month fiscal year appointee with a mid- year appointment effective at the beginning of spring quarter (April 1):

Academic Years of Service	Months Toward Tenure	Actions	Comments
(partial)	Spring Quarter only - Months 1 - 3	Initial Appointment	
First Year	Months 4 - 15		
Second Year	Months 16 - 27		
Third Year	Months 28 - 39		
Fourth Year	Months 40 - 51	Midcareer Appraisal	May occur earlier
Fifth Year	Months 52 - 63		
Sixth Year	Months 64 - 75	Normal Tenure Review	Postponement to seventh year possible
Seventh Year	Months 76 - 87	If postponement is approved: mandatory Academic Year for Tenure Review to Begin	Months 85-87 must be reserved for notice (if necessary)
Eighth Year (partial)	Summer, Fall, Winter Quarters only - Months 88 - 96		Months 88-96 available for notice (if necessary)

**Table III
Mid-year Appointments (11-month - Spring Quarter)**

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The following table may be used as a worksheet to plan the timing of reviews for an 11- month fiscal year appointee with a mid- year appointment different from the case illustrated above:

Academic Years of Service	Months toward Tenure	Actions	Comments
(partial)	Months____ to ____	Initial Appointment	
First Year	Months____ to ____		
Second Year	Months____ to ____		
Third Year	Months____ to ____		
Fourth Year	Months____ to ____	Midcareer Appraisal	May occur earlier
Fifth Year	Months____ to ____		
Sixth Year	Months____ to ____	Normal Tenure Review	Postponement to seventh year possible
Seventh Year	Months____ to ____	If postponement is approved: mandatory Academic Year for Tenure Review to Begin	
Eighth Year	Months____ to ____		Quarter/s ____ must be reserved for notice (if necessary)
Ninth Year (partial)	Months____ to ____		Quarter/s____available for notice (if necessary)

**Table IV
Mid-year Appointments (11-month)**

APPENDIX III

SPECIAL TIMING OF THE TENURE REVIEW FOR FACULTY WITH CHILDREARING EXTENSIONS

Assistant professors have the right, under certain circumstances provided for in policy [APM 133-17-h](#), to request a stop the clock during the pre-tenure review time (the probationary period).

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Requesting a "Stop the Clock"

An assistant professor who is responsible for 50 percent or more of the care of a [newborn child or a child under age five newly placed for adoption or foster care](#) is eligible to request that their tenure clock be stopped for up to one year for each event of birth or placement, provided that all the time off the clock totals no more than two years in the probationary period. This request must be made within two years of the birth or placement of the child and **exercised** before July 1 of the academic year in which a promotion review is to occur (**no later than the second-half of the actual fifth year**). To apply for a Stop the Clock, complete the Childrearing Stop the Clock Request/Certification (Form [UCI-AP-92](#)).

Exercising the "Stop the Clock"

Some assistant professors who have been granted the option to "Stop the Clock" for the care of a child may never exercise it. Others may wish to exercise the option as the time for the tenure review approaches.

- If an assistant professor who has been granted the right for a stop the clock wishes to exercise the stoppage of his/her tenure clock, he/she must inform the chair in writing **no later than the second half of his/his actual fifth year**. This written request must also be forwarded to the appropriate dean's office and the Office of Academic Personnel before the end of the second half of his/her actual fifth year. From that point forward, the sixth academic year will be treated as if it were the fifth academic year. In other words, this candidate will now be considered for tenure during his/her actual seventh academic year rather than during his actual sixth year.
- A request for a stoppage of the tenure clock may **not** be made after the actual sixth year has begun.
- A stop the clock will not be granted for a faculty member who has 50% or more childrearing responsibilities for a child when that child is born or adopted **during** the year of the tenure or promotion review.
- In addition, if the conditions described in the paragraphs above are met, the candidate may request Postponement of the Tenure review until the actual eighth academic year. This Postponement of Tenure review is not guaranteed. See APP 3-50 on the "Postponement of the Tenure Review" for appropriate guidelines and procedures to follow.

*** The child may be the appointee's child or that of the appointee's spouse or domestic partner.**