ACADEMIC PERSONNEL REVIEW PROCESS
### Review Cycle Calendar

#### Campus Deadlines for the 2014-15 Academic Review Cycle

<table>
<thead>
<tr>
<th>Date</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>November 3</strong></td>
<td>• Postponement of Tenure Review</td>
</tr>
</tbody>
</table>
| **December 1** | • Merits  
  • No Actions  
  • Reappointments  
  • Midcareer Appraisals  
  • Fifth Year Reviews |
| **February 2** | • Promotions  
  • Nonreappointments  
  • Advancements to Professor VI  
  • Above Scale actions  
  • Accelerations of two or more years  
  • All other actions, including non-Senate actions |
Late Files

Files received after February 2 may not be effective July 1, 2015

This will not affect mandatory review files
Academic Personnel Review Process

1. **Candidate submits information for review**
2. **Department makes a recommendation**
   - **Department Chair makes an independent recommendation (optional)**
3. **Dean**
   - **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
     - **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**
4. **Provost and Executive Vice Chancellor or Vice Provost**
   - **If EVC & Provost'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**
5. **Recommends to Chancellor on promotions and non-reappointments**
6. **Chancellor**
7. **Decides normal merits that have been delegated to Deans (CAP review waived)**
8. **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**
9. **Decides appointments, merits, and advancements**
**Academic Personnel Review Process**

### 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 (elected by Academic Senate) makes a recommendation

### Provost and Executive Vice Chancellor or Vice Provost

- Decides appointments, merits and advancements
- Recommends to Chancellor on promotions and non-reappointments

### Dean Review

- Decides normal merits that have been delegated to Deans (CAP review waived)
- Makes a recommendation on promotions and non-delegated merits

### Chancellor
Postponement and Midcareer

- **Postponement of Tenure Files**
  - Due Nov 1 - requests must be accompanied by the candidate’s full merit or reappointment file

- **Midcareer Appraisal Files**
  - Files should be clearly labeled as “Positive”, “Negative” or “Cautionary”—department faculty should vote on each candidate’s appraisal as Positive-Cautionary-Negative, with the designation that receives the majority of votes put forward
  - Should occur during the third or fourth year, unless candidate has submitted notification to “Stop the Clock”
  - In order to automatically defer a Midcareer Appraisal, the process to “Stop the Clock” must be submitted by the end of the faculty member’s third year (by June 30)
Streamlining Merits

- AP-25 form used for all Dean Delegated Merit Actions and Normal Merit actions reviewed by CAP (Not for Advancements to Step VI, Above Scale Actions, and Accelerated Merits)

- Dean’s written evaluation no longer required; Chair’s independent letter not required

- Contributions promoting diversity and equal opportunity should also be noted here

- Delegation has expanded to include normal merits for faculty at the Full Professor rank to Steps II, III, and V

- Deans will continue to have delegated authority for alternate normal merit increases to Professor, Step VII, Step VIII, and Step IX

- Deans also retain the authority to make decisions that are different from the department’s recommendation (i.e., No Action) on a dean delegated merit action

- For Dean’s Delegated actions only: Statistical summaries of teaching are no longer required. Voting: breakdown by rank is optional. Teaching evaluations & publications are available at the department level and can be provided upon request.
myData – Review Profile

Online faculty database which assists faculty to track teaching, research and service activities.

- Senate faculty are required to submit a Review Profile report (in place of the addendum) with their dossier.

- Dossiers submitted to the Office Academic Personnel with an addendum will be returned to the faculty and only accepted when it is replaced with a Review Profile.
Main menu items have been re-ordered/renamed to better match the Review Profile.

<table>
<thead>
<tr>
<th>Previous screen title</th>
<th>New screen title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awards and Honors</td>
<td>Honors and Awards</td>
</tr>
<tr>
<td>Directed Student Learning</td>
<td>Graduate &amp; Undergraduate Students Supervised</td>
</tr>
<tr>
<td>External Professional Employment</td>
<td>Previous Employment</td>
</tr>
<tr>
<td>Faculty Development Activities Attended</td>
<td>Postgraduate Training</td>
</tr>
<tr>
<td>Intellectual Property</td>
<td>Patents/Copyrights</td>
</tr>
<tr>
<td>Licensures and Certifications</td>
<td>Licenses or Permits</td>
</tr>
<tr>
<td>Outside Professional Activities/Consulting</td>
<td>Consulting/Outside Professional Activities</td>
</tr>
<tr>
<td>Professional Articles About You</td>
<td>Professional Articles About You/Published Reviews of your Work</td>
</tr>
<tr>
<td>Public</td>
<td>Community</td>
</tr>
<tr>
<td>Scheduled Teaching</td>
<td>Courses Taught</td>
</tr>
<tr>
<td>University</td>
<td>University/University System-Wide</td>
</tr>
</tbody>
</table>
myData – Upcoming Enhancements

- Marking fields in myData that are essential in preparing a Review Profile – these are suggested fields
- Automatic upload of teaching data (courses taught) into myData
  - Note: Teaching data refers to the courses taught

Additional Information

- Additional information about myData can be found: http://www.ap.uci.edu/myData/index.html
AP Review

A system which routes academic personnel files electronically.

- Routes the file electronically, from uploading file preparation documents to final decision notification
- Enables candidates and all reviewers to review the file in a bundled PDF online (via secure login), with bookmark functionality to locate documents easily
- Provides system generated email notifications to users, prompting them to take action
- Creates and processes Candidate certifications electronically
- Creates a transparent tracking system of the movement of the file
- Provides access to records
AP Review

AP review is mandatory for all Senate Dean Delegated merits.

The Vice Provost has now extended AP Review to be mandatory for the following actions:

- All CAP reviewed actions in the Assistant Professor (or Sr./LPSOE) series, excluding appointments and promotions
- All CAP reviewed actions in the Associate Professor (or LSOE) series, excluding appointments and promotions
- All CAP reviewed actions in the Full Professor series (or Sr./LSOE), excluding appointments, promotions and advancements
AP Review

Types of files that can be processed in AP Review

Only ladder rank faculty and some SOM non-senate files will be accepted (School of Medicine may process Health Sciences Clinical Professor series, Clinical X and In Residence series if they meet the criteria). These are actions proposed by the Department as a result of the departmental vote:

- Accelerated Merits of less than 3 years (with no outside letters)
- Normal Merits
- Dean Delegated Merits
- No Change (formerly called No Action)
- Above-Scale Merits
Merit Review Period

Merit for an Assistant Professor

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

Example:

Last merit was effective July 1, 2013
Next merit is effective July 1, 2015

Review Period: October 1, 2012 – September 30, 2014
Mid-Career Appraisal Review Period

Mid-Career Appraisal for an Assistant Professor

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

Example:

- Hire date: July 1, 2012
- End of Fourth Year: July 1, 2016
- Review Period: July 1, 2012 – September 30, 2015
Promotion Review Period

Promotion of an Assistant Professor

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

Example:

Initial Appointment: Effective – July 1, 2012

Promotion: Effective – July 1, 2018

Review Period: July 1, 2012 – September 30, 2017
Tips

- **Use** your Chair’s Guide (UCI-AP-15) and Chair’s Resource Guide
- **Check** that the letter of solicitation requests the appropriate information
- **Utilize** UC reviewers for all Professor, Step VI, and Advancement to Above Scale actions
- **Provide** all referees with the same information – updated curriculum vitae, publications, etc.
- **Solicit** letters early – beginning of summer
- **Watch** for publication and other documentation cut-off dates (September 30th) on all cases EXCEPT promotions to Associate Professor rank. In these cases, reviewers will consider all evidence up to the final decision
- **Identify** faculty who wish to postpone promotion review and have file ready to forward in September, but no later than November 1
- **Indicate** the proposed action on the Action Summary Form based on the department’s recommendation (action supported by a majority of faculty)
• **Academic Review Cycle** – This section addresses types of actions and offers guidelines for compiling the dossier. Details such as time at step, accelerations, and additional advice are located here.

• **Academic Review Process** – Guidelines for the Review Process to assist Chairs and faculty are located here.

• **CAP – Frequently Asked Questions (FAQ)**
Academic Personnel Online Resources

(www.ap.uci.edu)

- Chair’s Guide to Administrative Resources on the Web
- Academic Personnel Online Systems:
  - myData
  - Recruit
  - Review
- Academic Personnel Forms
Websites

- UCI Advance Program – http://advance.uci.edu/
- Office of Equal Opportunity and Diversity (OEOD) – www.eod.uci.edu
- RECRUIT – https://recruit.ap.uci.edu
- UCI Academic employment website – www.eod.uci.edu/ads
- Higher Education Resource Center (HERC) – www.socalherc.org
- President’s Postdoctoral Fellowship Program – www.ucop.edu/acadadv/ppfp/welcome.html
- Mortgage Origination Program Loans (MOP) – www.ucop.edu/facil/olp
- Irvine Campus Housing Authority (ICHA) – www.icha.uci.edu
Jean-Luc Gaudiot

Professor
Department of Electrical Engineering and Computer Science
The Henry Samueli School of Engineering

Chair
Council on Academic Personnel
Council Members

Jean–Luc Gaudiot
Chair, Engineering

Miles Coolidge
Arts

Charles Glabe
Biological Sciences

Jone Pearce
Business

Rajagopalan (Raja) Radhakrishnan
Humanities

David Redmiles
Information and Computer Sciences

Bryant Garth
Law

Richard Robertson
Medicine/Basic Sciences

Don Forthal
Medicine/Clinical Sciences

Alice Silverberg
Physical Sciences

Martha Feldman
Social Ecology

Virginia Richards
Social Sciences

Hans Ulrich Bernard
At-Large/Public Health

Senate Analyst – Cecilia Gonzalez
What is CAP Looking For?

- **Facts**
  - “The average teaching effectiveness evaluation for this course was 3.3/4”
  - “The candidate received the 2009 Pat Smith award.”

- **Context**
  - “This course is our most difficult to teach, “weed-out” course. The candidate revamped the course completely, and this is the highest score for the course in the last 10 years.”
  - “This award is the highest honor in the candidate’s field, and he/she is the first winner in UC history. It has been awarded to a single individual annually since 1975.”

- **Analysis**
  - “I consider the candidate to be one of the department’s most valued teachers.”
  - “This award is the main justification for this acceleration, combined with excellent research and teaching and very good service.”
CAP Seeks to Balance Two Goals — Efficiency of Process and Integrity of Review

- The better files are prepared, the fewer the requests from CAP for additional information.
- Limit the number of candidate letters requested; the department does not need to contact everyone on the candidate’s list.
- When a file is returned with a tentative decision asking if there is “further information,” please note that “further information" is not restatement, re-emphasis, re-contextualization, or elaboration of information already in the file. Further information should be substantively different from what was in the original file. Feel free to respond with a simple statement that “no new information is available.”
- Accelerations should not be justified solely on research productivity. Explain how teaching and service during the review period are worthy of an acceleration.
Avoiding the Dreaded BTS ("Back to School")
And Improving Documentation

- When a BTS occurs, there is a lack of necessary documentation in the file.
- The department letter should provide a full evaluation of research, as well as a detailed account of teaching and service activities.
- The department letter should also provide an independent analysis. Don’t quote from external letters at length (CAP reads them).
- Explain the candidate's contribution in collaborative work or assess it independently.
- Evaluate the quality of the publishing media or performance venues.
- If creative work is in a language other than English, include information about the content and importance of the work from someone other than the candidate.
- Department-nominated external letters from reviewers independent from the candidate have the most impact. Having several of these is essential for tenure and promotion cases. Independent UC letters are key for step VI and Above Scale.
- Avoid having internal letters (such as the chair’s letter or the department letter) written by collaborators of the candidate.
How many letters?

- **Minimum** number of *analytical, independent* letters:
  - 3…Appointment Asst I-III (letters do not need to be independent)
  - 5-7…Promotions to Assoc, Full
  - 3-4…Promotion to VI (more for an appt)
  - 5-6…Promotion to A/S (more for an appt)

- Independence relaxed at low levels, emphasized at higher levels.

- If you get non-analytical letters or declines, please seek more.

- Some UC writers for VI and A/S because these are UC specific.
Questions?
Thank you for attending!