OVERVIEW
THE UCI ACADEMIC PERSONNEL REVIEW PROCESS
A Workshop for Assistant Professors Assistant Professors of Clinical _, Assistant Professors In Residence, Acting Professors of Law, and Lecturers with Potential Security of Employment
University Club
Tuesday, May 14, 2013 • 7:45 – 9:00 a.m.

WELCOME AND INTRODUCTIONS – Vice Provost Herb Killackey

THE ACADEMIC PERSONNEL REVIEW PROCESS

The Role of the Candidate
The Role of the Chair and Department
The Role of the Council on Academic Personnel — CAP’s Frequently Asked Questions (FAQs)

ADVICE FOR ASSISTANT PROFESSORS

Midcareer Appraisal
Mentors, Equity Advisors, and the Advancement and Promotion Handbook
Teaching, Learning & Technology Center
Family Friendly Policies – Stopping the Clock to Care for a Child or Children

QUESTIONS & ANSWERS – Vice Provost Herb Killackey, Professor Alan Terricciano (Chair, Council on Academic Personnel), Associate Vice Provost Douglas Haynes (Associate Professor and Advance Director)
UCI ADVANCE — Assistant Professor Workshop Survey (Please complete before you leave the workshop)


♦ Academic Personnel Review Process Flow Chart and Overview
♦ CAP’s Frequently Asked Questions (FAQ) and FAQ Criteria for Mid-Career Appraisal and Tenure
♦ Review Process
  Midcareer and Promotion timelines and explanation
  Special Considerations for Assistant Professors in the Academic Personnel Review Process
  Family Accommodation Policies – APP 3-50 Appendix III & APP 7-12
♦ “Family Friendly” Web Resources, Instructions, and Checklist
♦ University of California Policies, Procedures, and Websites
♦ Advancement and Promotion at Irvine — Handbook cover page
  (Interactive web version available on the AP website)
♦ UCI ADVANCE — Program Overview
♦ UCI ADVANCE — Equity Advisor Contact List
♦ UCI ADVANCE — Assistant Professor Workshop Survey
Candidate submits information for review

Department makes a recommendation

Department Chair makes independent recommendation (optional)

Dean

Dean makes recommendation on promotions & non-delegated merits

Office of Academic Personnel reviews dossier for completeness

Council on Academic Personnel (elected by the 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.

Executive Vice Chancellor & Provost/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.

Recommends to Chancellor on promotions and non-reappointments

Chancellor

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Recommends to Chancellor on promotions and non-reappointments

Chancellor

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

Ad hoc review committee (optional). Nominated by the CAP; approved and appointed by the Executive Vice Chancellor and Provost. May be called for promotions, non-reappointments, advancement to above scale, major acceleration, and tenured appointments.

Appointments, merits, and advancements
## Academic Series Overview

<table>
<thead>
<tr>
<th>Series</th>
<th>Ladder Rank</th>
<th>Academic Senate</th>
<th>Faculty</th>
<th>Eligible/Tenure/SOE</th>
<th>8 Year Limit</th>
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<td>Visiting Professor</td>
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<td>Project Scientist **</td>
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<td>Specialist</td>
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<td>Postdoctoral Scholars</td>
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<td>5 years</td>
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* The combined years as Lecturer PSOE and the years in the title of Lecturer/Sr. Lecturer may not exceed a total of eight years of service. (See APM 133)

** The combined years as Assistant Project Scientist and the years in the title of Assistant Researcher may not exceed a total of eight years of service. (See APM 311-17)
MyDATA – An Online Database for Faculty Information

MyData is an online faculty database that assists faculty in tracking teaching, research and service activities. Once a faculty member’s data is entered into the system, s/he can extract it to produce a Review Profile which replaces the University Biography and Addendum forms used in an academic review. In addition, it can produce a variety of reports including but not limited to: NIH/NSF Biosketches, faculty CV’s and feed web pages.

Faculty may access the database by visiting the Office of Academic Personnel homepage at http://mydata.ap.uci.edu. You may login to myData using your UCINET ID and password.

The immediate focus of the project is to gather CV information for Senate Faculty who will undergo a review for the upcoming academic review cycle.

- Department staff will forward copies of faculty CVs to a Data Analyst in the Office of Academic Personnel at myData@uci.edu.
- As the data is uploaded and proofed by the Data Analyst, department staff are notified and provided with a Review Profile. *
- Department staff will notify faculty that their information is accessible. Faculty will need to verify all information for accuracy.
- A Review Profile can be generated and used for each review cycle.

After the data has been uploaded, faculty will be expected to use the database to maintain and track their activities.

The Office of Academic Personnel will continue to initially upload faculty CVs into the database, until all faculty have been entered.

If you have questions, please see your department Manager. Individual or system tutorials can also be arranged by your manager.

* Faculty are welcome to navigate through the system and enter their information into the database if they choose to do so.
September 21, 2012

ACADEMIC DEANS
VICE CHANCELLOR FOR RESEARCH

RE: Annual Progress Report for Academic Personnel Actions
2012-13 Review Cycle

This memo is the "Annual Call" for merits, promotions, midcareer appraisals, and all other academic personnel actions to be effective July 1, 2013. Annual Progress Reports are attached for each department to review, annotate, and return to Academic Personnel no later than Tuesday, October 16, 2012.

Please work with your chairs to meet the deadlines listed below, especially for tenure cases. Please note that postponement of tenure files require significant documentation—those cases are subject to an earlier deadline of November 1. Guidelines for postponement of the tenure review are located in the Academic Personnel Procedures, Section 3-50 (APP 3-50, located at: http://www.ap.uci.edu/APP/3-50_asst.html

Campus Deadlines for the 2012-13 Academic Review Cycle:

**November 1**
Postponement of Tenure Review

**December 3**
Merits, including one-year accelerations
No Actions
Reappointments
Midcareer Appraisals
Fifth Year Reviews

**February 1**
Promotions
Nonreappointments
Advancements to Professor VI
Above Scale actions
Accelerations of two or more years
All other actions, including non-Senate actions

Deans should set deadlines for their units that allow them sufficient time to review cases before forwarding the files to Academic Personnel.

Guidelines outlining this process are located in the Academic Personnel Procedures, Section 3-30 (APP 3-30, located at: http://www.ap.uci.edu/APP/3-30_chair.html) If you have any questions regarding the Annual Progress Report, please contact Academic Personnel.

Herbert P. Killacky
Vice Provost

Attachments
The Council on Academic Personnel (CAP) is a standing committee of the Academic Senate of UCI. It is a faculty body that makes recommendations to the Administration regarding appointments, promotions and merit increases.

Resources on the CAP webpage include a list of Frequently Asked Questions (FAQ) which are grouped into the five sections:

A. ACADEMIC PERSONNEL STANDARDS AND CRITERIA | FAQs 1-13
B. THE PERSONNEL REVIEW PROCESS | FAQS 14-27
C. WHAT IS REVIEWED; CONTENTS OF THE DOSSIER: | FAQS 28-48
D. COUNCIL ON ACADEMIC PERSONNEL PROCEDURES | FAQS 49-62
E. CRITERIA FOR OTHER SERIES | FAQS 63-68

Frequently asked questions criteria for Tenure and Mid-Career Appraisal can also be found under FAQ #9 and 16:

9. What are the criteria for tenure? If an assistant professor completes a major project earlier than expected, e.g., turns the dissertation into a book within a year, is acceleration to tenure appropriate?

CAP expects a tenure file to describe a career of a person whose accomplishments match those of an associate professor (see Question #1 above). These include the publication of doctoral work, a start on a second, independent project, renewal of initial funding according to disciplinary norms (e.g., in many of the sciences), and external evidence of visibility in the profession. Reasonable experience in teaching, professional activity, and university service are expected.

Evidence of formal acceptance of books, journal articles and book chapters is essential if the works are not available in published form at the time of the tenure review.

For fields in which book publication is the norm for tenure, a completed book manuscript does not carry nearly as much weight as one that has been fully peer-reviewed and evaluated. A provisional contract does not carry nearly as much weight as evidence that a book manuscript is in its final form, formally accepted for publication, and in production. If a book is primarily a revision of the dissertation, peer reviewed evidence of a second, independent project is expected. Published reviews in professional journals provide incontrovertible evidence of a book’s significance and impact.

Assistant professors are sometimes advanced to tenure in less than six years, especially if they are hired at an advanced step.
16. What does CAP look for in a mid-career appraisal? Some assistant professors become discouraged with a cautionary vote on their mid-career appraisal; what does “cautionary” really mean?

The purpose of the mid-career appraisal is to inform an assistant professor in a thorough and formal way about her or his prospects for tenure on the basis of the accomplishment so far. It is a crucial document and one of the most effective instruments in the UC personnel system.

The mid-career appraisal thus serves a very different function from the departmental letter for a merit increase and should not simply re-state the case made for a merit increase.

Of utmost importance are rigorous evaluation and complete candor. If there are weaknesses in the candidate's career to date, a department's natural reluctance to cause pain can do much more harm than good to the candidate and the university. CAP very often rejects mid-career appraisals that withhold severe judgment out of a misguided sense of kindness.

The most common weakness in an assistant professor's early career is a lack of strenuous effort toward research publication. The University of California is a research university, and provides generous resources and time for research. A relatively thin publication record (or its equivalent in the arts) cannot be lightly passed over.

Fields vary in their expectations for tenure, and mid-career appraisals reflect this. In general, however, positive mid-career accomplishments show evidence of research independent from doctoral work, of research projects that promise leadership in the field, and peer-reviewed evidence that research will continue once tenure is granted. In the sciences, the award of grants for research is a prominent piece of evidence that the research program is valid, although grants do not in themselves substitute for lack of published scholarship.

CAP tends to evaluate MCA's more strictly than departments. CAP uses all three ratings, positive, cautionary, and negative. A positive MCA from CAP usually means that if the candidate simply continues what he or she has been doing for another few years, the case for tenure will be strong. A cautionary indicates that there are some areas that should be improved to make a strong tenure case. Cautionary MCAs from CAP are quite common. A Cautionary MCA is intended to be helpful rather than threatening, by encouraging the candidate to take steps to increase their chances for a smooth transition to tenure. A negative MCA indicates that a candidate is not on track for tenure, and major improvements are needed.

Letters from outside referees are not required for a mid-career appraisal, but can be included at the option of the department.
Midcareer Appraisal - All appointees undergo some form of performance evaluation. An appraisal is a formal evaluation, which is made in order to arrive at a preliminary assessment of the candidate’s prospect for eventual promotion as well as to identify appointees whose records of performance and achievement are below the level of excellence expected. For the timing of this appraisal, see APM - 220-83 and campus procedures.

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 midcareer 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 Council 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.

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 Council 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.
Postponement of the 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. 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 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.

DEADLINE FOR SUBMISSION TO ACADEMIC PERSONNEL — November 1st.

Promotion to Tenure - 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.

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Promotion Review Period of an Assistant Professor

- Review period begins from initial appointment as an Assistant Professor
- Curriculum Vitae & Addenda dates are through September 30th of the review year
- Initial appointment effective July 1, 2010
- Promotion to be effective July 1, 2016
- Review Period includes July 1, 2010 – September 30, 2015
# Summary of University of California Access to Records Policy

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<th>Type of Record</th>
<th>Classification</th>
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<td>Statistical Teaching Evaluations</td>
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<td>Vote to be disclosed in department letter</td>
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<td>Request from CAP for Additional Information or in response to tentative</td>
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<td>Additional Information submitted by Department or by Chair on behalf of the</td>
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<td>Chancellor or Designee’s Final Decision</td>
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<td>Receives copy after the final decision</td>
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**DURING THE COUNCIL ON ACADEMIC PERSONNEL’S REVIEW**

- **Chair’s Personal Letter**
  - Confidential
  - May receive redacted copy after the final decision

- **Dean’s Letter**
  - Non-Confidential
  - May receive intact copy after the final decision

**AFTER THE COUNCIL ON ACADEMIC PERSONNEL’S RECOMMENDATION**

- **Chair’s Personal Letter**
  - Confidential
  - May receive redacted copy after the final decision

- **Dean’s Letter**
  - Non-Confidential
  - May receive copy intact after the final decision

- **Chancellor or Designee’s Final Decision**
  - Non-Confidential
  - Receives copy after the final decision
CHAIR’S GUIDE FOR ACADEMIC PERSONNEL REVIEWS

This checklist was prepared as an aid for chairs in complying with Academic Personnel Manual (APM) Policy 220-80-c.

Section I  Notifying Candidate

☒ Inform candidate of eligibility for advancement or other mandatory review.
☒ Inform candidate of criteria for advancement as set forth in APM Policy 210.
☒ Inform candidate of the nature of the review process as set forth in APM Policies 210 and 220 and in the supplementary Academic Personnel Procedures (APP) Sections 1-12.
☒ Inform candidate of the University’s policies regarding academic personnel records as set forth in APM Policy 160 and in APP Sections 1-11.
☒ Ask candidate to supply all pertinent information and materials relevant to criteria for advancement by a specified deadline.
☒ Ask candidate to suggest (perhaps 3 to 5) names of persons who could be solicited for letters of evaluation if needed, and allow candidate to set forth in writing the names of persons who, in the view of the candidate, for reasons set forth, might not objectively evaluate the candidate’s qualifications or performance.

Section II  Developing a Recommendation

☒ Where required, solicit confidential extramural letters of recommendation (promotions, major accelerations, advancements to Professor, Step VI and to Above Scale).
☒ Assemble, in accordance with instructions set forth in the APP Section 3-60, all pertinent information; such as, Vitae, Addendum, Review Profile, publications, teaching evaluations, solicited letters, candidate’s statement, etc.
☒ Provide candidate an opportunity to inspect all non-confidential documents to be included in the personnel review file.
☒ Provide candidate an oral or, if requested, a redacted copy of the confidential letters of evaluation to be included in the file.
☒ Allow candidate an opportunity to include a written statement in response to or commenting upon material in the file.
☒ After completion of the steps above, consult with department members, making certain to extend to all eligible colleagues the voting rights established by Senate By-Law 55 and approved department voting procedures (See APP Section 1-14).
☒ Write a letter setting forth the departmental recommendation in compliance with APM Policy 220-80-c, and APP Section 3-60. This letter may be written by a departmental subcommittee.
☒ Make draft letter available to voting members or a departmental committee for review.

Section III  Forwarding Materials

☒ Inform candidate orally or, upon request, provide the candidate with a copy of the department letter including the vote.
☒ Inform candidate of the right to make a written statement or comment upon the departmental recommendation.
☒ Obtain a certification statement (Form UCI-AP-50) from the candidate that the non-confidential materials in the review file have been inspected and any redacted copies of the confidential materials have been provided.
☒ Inspect packet to ensure that all materials are included and that the dossier conforms to the appropriate form.
Section III  |  Forwarding Materials - Continued

- Inspect packet to ensure that all materials are included and that the dossier conforms to the appropriate form.
- Add Chair’s personal recommendation, if desired. The Chair may include a recommendation on the case that is independent of the department recommendation. Normally, this recommendation will constitute the vote of the Chair, who may have participated in the departmental discussion but not voted in the department.
- Forward materials to Dean’s Office.

After materials have been forwarded by the Dean’s Office, the following 3 sections clarify the possible types of subsequent departmental input

Section IV  |  Additional Information Requested by Reviewers

- Memo will be forwarded to the Department (through the Dean’s Office) from the Office of Academic Personnel soliciting additional information (e.g., publications, additional letters of evaluation, etc.).
- The Department will collect the information requested by reviewers and comment on the new material. This letter may be written by a departmental subcommittee or the Chair on behalf of the Department.
- The candidate will have an opportunity to access and respond to the new material governed by APM 220-80-d, -e, -h, and -i.
- Obtain a “Certification Statement for Additional Information Added to the Academic Review” (Form UCI-AP-50A) from the candidate indicating that the non-confidential materials in the review file have been inspected and all redacted copies of the confidential materials have been provided, if requested by the candidate.
- The Chair may add a personal statement (optional – does not replace required response from the Department or Chair’s response on behalf of the Department)
- The Departmental letter, the additional information, any response by the candidate, the signed UCI-AP-50A form, and the Chair’s personal statement (if provided) will be forwarded to the Dean’s Office for review. The Dean’s response and the additional materials will be forwarded to the Office of Academic Personnel.

Section V  |  Tentative decision by reviewers prior to the final decision

The tentative decision, when it differs from that of prior levels of review, affords the Department an opportunity to clarify matters, to correct mistakes, or to emphasize overlooked aspects of review. The tentative decision is sometimes reversed in the review of the response to the tentative decision. If during the course of the review, a recommendation is made which is different from the department recommendation, a notification will go back to the level of disagreement.

- If the level of disagreement is at the Department level, a memo will be forwarded from the Office of Academic Personnel to the Department (through the Dean’s office) requesting a response to the tentative decision.
- Additional information may be submitted on behalf of, or, by the candidate.
- The Chair is responsible for ensuring that the candidate is informed of the Department response, including any additional information that is added to the file.
- The candidate shall be afforded the opportunity to make a written response for inclusion in the personnel review file. This may include updates to the vitae or addendum, submission of publications requested by reviewers, personal statements, etc.
- Obtain a “Certification Statement for Additional Information Added to the Academic Review” (Form UCI-AP-50A) from the candidate indicating the non-confidential materials in the review file have been inspected and all redacted copies of the confidential materials have been provided, if requested by the candidate.
Section V  Tentative decision by reviewers prior to the final decision - Continued

☐ The Chair may add a personal statement (optional – does not replace required response from the Department or Chair’s response on behalf of the Department)

☐ The Departmental response, any additional information, any response by the candidate, the signed UCI-AP-50A form and the Chair’s personal statement (if provided) will be forwarded to the Dean’s Office for review. The Dean’s response and the additional materials will be forwarded to the Office of Academic Personnel.

Section VI  Preliminary Negative Assessment during a Tenure Review or non-reappointment of an Assistant Professor, Assistant Professor in Residence, or Assistant Professor of Clinical X

☐ The Dean, Chair, and candidate are notified of the preliminary assessment in writing by the Vice Provost.

☐ The Dean, Chair, and candidate shall be provided redacted copies of all confidential and non-confidential materials added to the candidate’s review file after the departmental recommendation.

☐ After receipt of the notice of preliminary assessment, the candidate will have five days to respond to the department and will have the opportunity to provide, in writing, any additional information and documentation. The Chair, after appropriate consultation within the department, shall have the opportunity to respond in writing and to provide additional information and documentation on behalf of the department. In addition, the candidate will have the opportunity to review additional information submitted on his/her behalf by the department.

☐ The “Certification Statement for Additional Information Added to Academic Review” (Form UCI-AP-50A) must be completed by the candidate for any subsequent additions to their personnel review file (e.g., publications, additional letters of evaluation, responses to tentative decisions by the departments, etc.).

☐ The Chair may add a personal statement (optional – does not replace required response from the Department or Chair’s response on behalf of the Department)

☐ The Departmental response, any additional information, the signed UCI-AP-50A form and the Chair’s personal statement (if provided), will be forwarded to the Dean’s Office for review. The Dean’s response with the materials will be forwarded to the Office of Academic Personnel.

Note: For faculty with split appointments between two departments, the same procedures apply, but both the home and the split School/Department must respond and/or acknowledge the additional information that is provided either by the candidate or Department.
Assistant professors have the right, under certain circumstances provided for in policy APM 133-17-h, to initiate a stop the clock during the pre-tenure review time (the probationary period).

**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 provide notification for their tenure clock to 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 notification of intent to “Stop the Clock” must be made within two years of the birth or placement of the child and before July 1 of the academic year in which a promotion review is to occur. To initiate a Stop the Clock, complete the Childrearing Stop the Clock Certification Form (UCI-AP-92).

- “Stop the Clock” is not a leave; it is a stoppage of the tenure clock and will automatically defer a mid-career appraisal and/or promotion review by one year. Mothers and fathers, adoptive or natural, who have 50% or more responsibility for care of an infant or newly adopted child under the age of five are eligible to initiate a Stop the Clock. Please note, assistant professors still have the option to still submit a Mid-Career Appraisal and/or promotion to tenure review during its normal time.

- Any faculty member at the Assistant level, who falls under the provisions of APM 133, and is not currently undergoing review for advancement to tenure, may initiate a stoppage of the tenure clock on the limitation of service as provided in these policies.

- In order to automatically defer a Mid-Career Appraisal, the notification to “Stop the Clock” must be submitted by the end of the faculty member’s third year (by June 30). If the notification to “Stop the Clock” is submitted after the Mid-Career Appraisal, the notification of intent to “Stop the Clock” must be made before July 1 of the academic year in which a tenure or promotion review is to occur. Also, a Stop the Clock will not be granted for a faculty member who has primary responsibility for a young child when that child is born or adopted during the year of the tenure or promotion review.

- **NOTES:** (1) Quarters "off the clock" due to a combination of Childbearing Leave, Parental Leave, and/or Primary Childrearing Responsibility may not exceed one year for each event of childbirth or adoption. (2) Because the review cycle is conducted in terms of full, not partial, years, and partial years count toward the next full year, exclusion of one or two quarters for an academic year appointee or up to three quarters for a fiscal year appointee will not necessarily affect the timing of the tenure or promotion review.

* The child may be the appointee's child or that of the appointee's spouse or domestic partner.
A. DEFINITIONS
The new Family Friendly Childbearing and Childrearing Policies describe four categories of parental care as they affect salary, University duties, and time on the clock for assistant professors (see Appendix I).

1. Childbearing Leave
   - Childbearing Leave is granted for the purpose of childbirth and recovery. It usually lasts about six weeks but may be extended due to medical reasons (APM Policies 133-17-g, 760-25).
   - During a childbearing leave, no duties shall be required by the University [APM 760-25-a].
   - In the quarter of a childbearing leave, there must be full relief from teaching duties [APM 760-28-a].
   - If eligible for Family and Medical Leave (FML), up to 12 workweeks of the childbearing leave will run concurrently with FML [APM 760-25-d].
   - Central funding for the purpose of providing ladder rank faculty teaching replacement is allocated to the affected academic department.

2. Active Service-Modified Duties
   - This is not a leave; the appointee remains in service to the University, but with modified duties. For most appointees, this means a period in which the faculty member does not teach.
   - Partial or full relief from teaching should not result in the assignment of additional teaching duties before or after the Active Service-Modified Duties quarter in order to offset the teaching relief.
   - Eligibility for a period of active service-modified duties shall normally extend from 3 months prior to 12 months following the birth or adoption of a child and may be granted to any academic appointee who has 50% or more responsibility for the child.
   - The total period of Childbearing Leave plus Active Service-Modified Duties for a birth mother (who has a full-time appointment of at least one full academic year) may not exceed two quarters for each birth. If she gives birth during the summer she is eligible for a total period of active service-modified duties of two quarters.
   - All other eligible academic appointees are eligible for a total period of Childbearing Leave plus Active Service-Modified Duties of one quarter. (APM Policy 760-28).
   - Central funding for the purpose of providing ladder rank faculty teaching replacement is allocated to the affected academic department.

3. Parental Leave
   - Parental Leave is leave without salary granted for the purpose of child care.
   - Normally, this leave combined with Childbearing Leave and/or Active Service-Modified Duties may not exceed one year for each birth or adoption (APM Policies 133-17-g, 760-27, and 760-35).
   - If eligible for Family and Medical Leave (FML), up to 12 workweeks of the parental leave will run concurrently with FML [APM 760-27-b].
4. Stopping the clock for the care of a child or children

- This is not a leave; it is a stoppage of the tenure clock (or probationary period) and will automatically defer a mid-career appraisal and/or tenure or promotion review by one year. This applies to eligible titles for purposes of childrearing.

- Eligible mothers and fathers, adoptive or natural, who have 50% or more responsibility for care of an infant or newly adopted child under the age of five are eligible to initiate a Stop the Clock.

- An academic appointee must provide notification of intent to stop the clock within two years of the birth or adoption of the child.

- Any faculty member, who falls under the provisions of APM 133, may initiate a stoppage of the tenure clock (or probationary period) on the limitation of service as provided in these policies. Please note, once a “Stop the Clock” has been acknowledged, faculty have the option to still submit a Mid-Career Appraisal and/or promotion review during its normal time.

- In order to automatically defer a Mid-Career Appraisal, the notification to “Stop the Clock” must be submitted by the end of the faculty member’s third year (by June 30). If the notification to “Stop the Clock” is submitted after the Mid-Career Appraisal, the notification of intent to “Stop the Clock” must be made before July 1 of the academic year in which a tenure or promotion review is to occur. Also, a Stop the Clock will not be granted for a faculty member who has primary responsibility for a young child when that child is born or adopted during the year of the tenure or promotion review.

- NOTES: (1) Quarters "off the clock" due to a combination of Childbearing Leave, Parental Leave, and/or Primary Childrearing Responsibility may not exceed one year for each event of childbirth or adoption. (2) Because the review cycle is conducted in terms of full, not partial, years, and partial years count toward the next full year, exclusion of one or two quarters for an academic year appointee or up to three quarters for a fiscal year appointee will not necessarily affect the timing of the tenure or promotion review.

B. PROCEDURES

All forms should be forwarded, with appropriate signatures, to the Office of Academic Personnel.

1. Childbearing Leave

Academic appointees applying for Childbearing Leave should complete:

- Leave of Absence form. (Form UCI-AP 76)
- FMLA forms, if eligible
- Request for Funding for Ladder-Rank Faculty Teaching Release (Form UCI-AP-93)

2. Active Service - Modified Duties

Academic appointees who wish to request Active Service-Modified Duties should discuss the proposed duties with the department chair, then complete:

- Modified Duties Request/Certification (Form UCI-AP-91).
- Request for Funding for Ladder-Rank Faculty Teaching Release (Form UCI-AP-93)
3. Parental Leave
Academic appointees who wish to apply for Parental Leave should complete the Leave of Absence form (Form UCI-AP 76) marking "Other" as the type of leave and specifying "Parental Leave" as the purpose of the leave. Parental leaves should be requested at least three months in advance, if possible. If eligible, FML forms should accompany the leave form.

4. Stopping the Clock
Academic appointees who would like to provide notification of intent to "Stop the Clock" due to primary childcare responsibility should complete the Childrearing Stop the Clock Certification (Form UCI-AP-92). Refer to APP 3-50, Appendix III for a more detailed explanation of the Stop the Clock process.

Family Friendly Web Resources:
UCI-AP-90 Instructions for Completion of "Family Friendly" forms
UCI-AP-94 "Family Friendly" Checklist for Academic Appointees

References - University Policy
APM 133, Limitation on Total Period of Service with Certain Academic Titles
APM 710, Leaves of Absence/Sick Leave (including Childbearing Leave)
APM 760, Leaves of Absence/Parental Leave and Family Leave

Appendix I

SUMMARY OF CHILDBEARING AND CHILDMITREARING LEAVE POLICY

<table>
<thead>
<tr>
<th>Type</th>
<th>Pay Status</th>
<th>University Duties</th>
<th>Time to Count Toward Sabbatical If Employee Is Eligible</th>
<th>Time to Count Toward 8-yr. Clock*</th>
<th>Duration/ Limitations</th>
<th>Primary (50% or more) Responsibility Required</th>
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<tbody>
<tr>
<td>Childbearing Leave</td>
<td>May be with or without salary</td>
<td>None</td>
<td>See APM 760-35-d</td>
<td>No, if leave equal to or greater than one quarter, time is automatically excluded</td>
<td>Normally up to 6 weeks</td>
<td>No</td>
</tr>
<tr>
<td>Active Service - Modified Duties</td>
<td>Normal salary</td>
<td>Modified</td>
<td>Yes</td>
<td>Yes</td>
<td>Combined total of Act. Serv./Mod. Duties plus Childbearing not to exceed 2 qtrs. for each birth or adoption</td>
<td>Yes</td>
</tr>
<tr>
<td>Parental Leave</td>
<td>Without salary</td>
<td>None</td>
<td>No</td>
<td>No, if leave equal to or greater than one quarter, time is automatically excluded</td>
<td>Up to 1 year (see APM-760-35b(1))</td>
<td>No</td>
</tr>
<tr>
<td>Childrearing Stop the Clock</td>
<td>Normal salary</td>
<td>Normal duties</td>
<td>Yes</td>
<td>Maximum of two years total extension</td>
<td>This, combined with any of the above exclusions/ extensions, may not exceed one year for each birth or adoption</td>
<td>Yes</td>
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</tbody>
</table>

*NOTE: Periods less than one full year may not affect the tenure/promotion review date.
Family Friendly Web Resources

Government Resources:
The Family and Medical Leave Act (FMLA) - U.S. Department of Labor

UC System-Wide Resources:
Family Friendly Policies for Faculty and Other Academic Appointees – University of California Office of the President

The UC Faculty Family Friendly Edge – an initiative designed to develop and implement a comprehensive package of innovative work-family policies and programs for ladder-rank faculty in the UC system.

UC Families – provides family resources on UC campuses, UC-wide policy and benefits information, and archives of past advice and discussions. The new online UC Families Newsletter is a resource for faculty, staff and students at UC campuses who are balancing academic goals or careers with family life.

Academic Personnel Manual (APM) 715 – Leaves of Absence/Family and Medical Leave


UC Irvine Resources:
UC Irvine Academic Personnel Website

UC Irvine Academic Personnel Procedures (APP)
Assistant Professors - Special Considerations in the Academic Personnel review process (APP 3-50)
Childbearing and Childrearing (APP 7-12)

UC Irvine Academic Personnel Forms
Leave of Absence Form (UCI-AP-76)
Instructions for Completion of “Family Friendly” Forms (UCI-AP-90)
Active Service/Modified Duties Request/Certification Form (UCI-AP-91)
Childrearing Stop the Clock Certification Form (UCI-AP-92)
Request for Funding for Ladder Rank Faculty Teaching Release For Birth or Adoption of Child(ren) (UCI-AP-93)
Family Friendly Checklist for Academic Appointees (UCI-AP-94)
University of California and UCI Policies, Procedures, and Websites

A. Systemwide Policies and Procedures

Academic Personnel Manual (APM)
Website:  http://www.ucop.edu/academic-personnel/academic-personnel-policy/index.html

1. APM 245 – Department Chairs
   Guidelines of the duties and responsibilities of the Department Chair as the leader and administrative head of the Department.

2. APM 220 – Professor Series
   A starting point for policies on appointments and promotions of Regular Ranks faculty. APM 220-18, Salary, clarifies the UC criteria for advancement to Professor, Step VI, and Professor, Above Scale.

3. APM 210 – Review and Appraisal Committees
   General review criteria for teaching, research, professional activity, and service. Chairs are responsible for submitting review of faculty teaching with merit and promotion files.

4. APM 035 – Affirmative Action and Nondiscrimination in Employment
   Contains UC policy on nondiscrimination, sexual harassment complaints, and affirmative action.

5. APM 160 – Academic Personnel Records/Maintenance of, Access to, and Opportunity to Request Amendment of
   Defines “confidential academic review records” and who has access to those records.

6. APM 025 – Conflict of Commitment and Outside Activities of Faculty Members
   Guidelines for the compensated and uncompensated outside professional and non-professional activities of faculty, along with annual reporting guidelines.

7. APM 015 – The Faculty Code of Conduct
   Sets forth professional rights of faculty, both general ethical principles for faculty and examples of unacceptable faculty conduct, and rules and recommendations for the enforcement of the Faculty Code.

8. APM 016 – University Policy on Faculty Conduct and the Administration of Discipline
   General policy regarding faculty discipline. It specifies the penalties that may be imposed for violations of the Faculty Code of Conduct, what types of faculty behaviors are covered under the Faculty Code, and which academic appointees are governed by the Faculty Code.

9. APM 150 – Non-Senate Academic Appointees/Corrective Action and Dismissal
   Standards and procedures for instituting corrective action or dismissal of a non-Senate academic employee (who is not covered by a collective bargaining agreement) in the case of misconduct, unsatisfactory work performance, or dereliction of academic duty.

10. APM 140 – Non-Senate Academic Appointees/Grievances
    Provides non-Senate academic appointees the opportunity to present grievances.
11. **APM 190 – Selected Presidential Policies**
   Selected University of California policies having Universitywide application to faculty, students, and/or staff.
   A. [Whistleblower Policy](#)
   B. [Whistleblower Protection Policy](#)
   C. [Integrity in Research](#)
   D. [Substance Abuse](#)
   E. [Travel to Scholarly Meetings and Field Research Travel](#)
   F. [Faculty Recruitment Allowance Program](#)
   G. [Use of Non-19900 Fund Sources to Support Ladder-Rank faculty](#)
   H. [Retirement Contributions on Academic Appointee Summer Salary](#)
   I. [Endowed Chairs and Professorships](#)

**B. UCI Policies and Procedures**

**Academic Personnel Procedures Manual (APP)**

Website: [http://www.ap.uci.edu/](http://www.ap.uci.edu/)

1. **APP, Section 3 – Appointment and Review, Academic Senate Titles**
   - [APP 3-10 – Appointment Policies](#)
   - [APP 3-20 – Appointment File Documentation for Academic Senate Titles](#)
   - [APP 3-30 – Responsibility of the Department Chair in the Academic Personnel Review Process for Academic Senate Titles](#)
   - [APP 3-40 – Types of Actions for Academic Senate Titles](#)
   - [APP 3-50 – Assistant Professors—Special Considerations in the Review Process](#)

   Guidelines for the responsibilities of the Department Chair in the review process and describes the different types of review outcomes and file documentation.

2. **APP, Section 2 – Recruitment Guidelines for Senate and Non-Senate Faculty**
   - [APP 2-10 – General Recruitment Guidelines](#)
   - [APP 2-30 – Non-Senate Recruitment Guidelines](#)
   - [APP 2-40 – Non-Senate Recruitment Procedures](#)

   Explains the process to be used for recruitments in order to follow our policies on affirmative action and equal employment opportunity.

3. **APP 1-14 – Departmental Voting Procedures**

   Summarizes the Academic Senate Bylaw governing faculty voting rights in departments and indicates the importance of the faculty vote in the academic personnel review process.

4. **APP 1-12 – Academic Personnel Review Process**

   Provides guidelines to be followed by the chair, candidate, and department to assure fairness in the review process.
C. UCI Academic Personnel Policies and Websites

UCI Academic Personnel Website

UCI Academic Personnel Review Process

Chairs Guide for Personnel Reviews, UCI-AP-15

Council on Academic Personnel (CAP)
- Notes on CAP’s Evaluation Procedures
- CAP’s Frequently Asked Questions & Responses
- CAP Comments on Letters of Solicitation

Academic Delegations

Advancement and Promotion Handbook
The UCI ADVANCE Program carries out the campus commitment to faculty and graduate student gender equity and diversity in all eleven Schools including the department of Education. Originally funded by a NSF Institutional Transformation award in 2001, UCI has seen significant gains in the presence of women in STEM fields. Based on the success of the Equity Advisor model, Executive Vice Chancellor and Provost Michael R. Gottfredson institutionalized UCI ADVANCE and extended its mission to include faculty diversity in July 2006. Beginning in fall quarter 2010, the UCI ADVANCE Program expanded its mission to include graduate equity and diversity. Building on a decade of experience to advance an inclusive faculty culture, this expanded mission represents a logical extension of our proven Equity Advisor model. Indeed, today’s graduate students not only represent the pipeline of the future faculty, but also are integral to UCI’s enduring reputation for excellence and achievement. In the future as in the past, a culture of inclusion is fundamental to American higher education and its continued global leadership in expanding the frontiers of knowledge.

**Equity Advisor: Monitoring and Promoting Gender Equity and Diversity**

**Faculty**
- Participate in recruitment process
- Coordinate career advising
- Monitor salary equity, workload and climate
- Serve as confidential resource about inequity

**Graduate Students**
- Promote diversity in recruitment
- Raise awareness about career development programming
- Solicit in-put about and share climate survey results
- Disseminate mentoring best practices to build and sustain an inclusive school and campus culture

**Campus Institutional Transformation Programming**
- Annual Equity and Diversity Institute for Chairs, Equity Advisors and DECADE Mentors
- Quarterly Institutional Transformation Seminar Series
- Search Committee Presentations
- Faculty Advancement Forums
- UC President’s Postdoctoral Fellowship Workshops
- Dependent Care Travel Awards Program
- DECADE Faculty Mentor Program

**Continuing Campus Initiatives**
- Implement recommendations of the UC President’s Task Force for Faculty Diversity
- Coordinate campus Scholarship on Diversity FTE Call and Program
- Realizing $16M of fundraising priorities in Shaping the Future campaign
- Coordinate faculty hiring incentive associated with UC President’s Postdoctoral Fellowship Program
- UC Irvine Chancellor’s ADVANCE Postdoctoral Fellowship

UCI ADVANCE Program 5/2013
# UCI ADVANCE Program for Equity and Diversity Contact List

<table>
<thead>
<tr>
<th>Program Administration</th>
<th>Unit</th>
<th>Title</th>
<th>Phone Ext:</th>
<th>E-mail:</th>
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<tbody>
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## Equity Advisors

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<th>Title</th>
<th>Phone Ext:</th>
<th>E-mail:</th>
<th>ZC:</th>
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<td>5800</td>
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<td><a href="mailto:ajschaka@uci.edu">ajschaka@uci.edu</a></td>
<td>2025</td>
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<tr>
<td>Zuzanna Siwy</td>
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<td>Professor</td>
<td>48290</td>
<td><a href="mailto:sziwy@uci.edu">sziwy@uci.edu</a></td>
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<tr>
<td>Jodi Quas</td>
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<td>7085</td>
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<tr>
<td>Judy Stepan-Norris</td>
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<td>Associate Professor</td>
<td>46043</td>
<td><a href="mailto:jstepann@uci.edu">jstepann@uci.edu</a></td>
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## ADVANCE Term Chairs

<table>
<thead>
<tr>
<th>Name</th>
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<th>Title</th>
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<tbody>
<tr>
<td>Chuu-lian Terng</td>
<td>Physical Sciences</td>
<td>Professor</td>
<td>46592</td>
<td><a href="mailto:cterng@math.uci.edu">cterng@math.uci.edu</a></td>
<td>3875</td>
</tr>
<tr>
<td>Ellen Druffel</td>
<td>Physical Sciences</td>
<td>Professor</td>
<td>42116, 43272</td>
<td><a href="mailto:edruffel@uci.edu">edruffel@uci.edu</a></td>
<td>3100</td>
</tr>
</tbody>
</table>

Updated: 12/3/2012
In order to enhance our commitment to your career success, the UCI ADVANCE Program for Faculty Equity & Diversity, would like to learn more of your experience with career development resources and opportunities at the University of California, Irvine.

Gender:  
- Female
- Male
- Decline to state

What is your academic position?
- Acting Professor of Law
- Assistant Professor
- Associate Professor in Residence
- Assistant Professor of Clinical
- Lecturer with PSOE
- __________________________

Please indicate from the list below the school/program in which your principal appointment is housed.
- Arts
- Biological Sciences
- Business
- Education
- Engineering
- Humanities
- ICS
- Law
- School of Medicine
- Nursing Science
- Pharmaceutical Sciences
- Physical Sciences
- Public Health
- Social Ecology
- Social Sciences

Have you received your mid-career appraisal?
- Yes ___________ Year
- No
- Currently under review during 2011-2012

I. Career Advising Development and Support

Please indicate the range of career advising provided by your department chair, director and/or equity advisor?

1. During your meeting with your department chair, program director and/or equity advisor did you and he/she:
   a. discuss the promotion process and your current progress
   - Yes  
   - No
   b. review your mid-career appraisal and inform you of your career resources
   - Yes  
   - No
   c. inform you about the Career Development Program  
   - Family Friendly Accommodation Policies and Procedures
   - ADVANCE Dependent Care Travel Program
   d. encourage you to attend the CAP School Forum, Fall or Spring Tenure Workshops

2. Please indicate what kind of assistance/advice you have received from your department, program and/or equity advisor to manage your career, i.e., research, teaching, service, and work-life balance. (Check all that apply.)

<table>
<thead>
<tr>
<th>Teaching</th>
<th>Research</th>
<th>Academic Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Development</td>
<td>Research Assistant Support</td>
<td>Dossier Preparation</td>
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<td>Mid Quarter Course Assessment</td>
<td>Research Editing Assistance</td>
<td>Merit/Tenure Procedures</td>
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<tr>
<td>TA Support</td>
<td>Research Publication Advice</td>
<td>Family Friendly Policies</td>
</tr>
<tr>
<td>Assistance with Student Advising</td>
<td>Grant Opportunities &amp; Management</td>
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<td></td>
<td>Research Forums to Present Work</td>
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</tr>
<tr>
<td>OTHER</td>
<td>OTHER __________________________</td>
<td>OTHER ____________</td>
</tr>
</tbody>
</table>

Comments:

________________________________________________________________________________________

________________________________________________________________________________________
II. Work Life Balance Resources for Faculty

Please indicate your awareness of the following “Family Friendly” accommodation policies:

Childbearing and Parental Leaves: □ Yes □ No
Active Service/Modified Duties (ASMD): □ Yes □ No
Tenure Clock Extension (Stopping the Clock): □ Yes □ No
ADVANCE Dependent Care Travel Awards: □ Yes □ No

III. Please Indicate your Level of Familiarity about these Campus Resources for Faculty Research, Teaching, and Wellness:

(Very High Familiarity = 4, Somewhat Familiar = 3, Not very familiar = 2, Not familiar at all = 1.)

☐ Academic Personnel
☐ ADVANCE Program
☐ Faculty and Staff Counseling for Faculty Equity and Diversity
☐ Human Resources/Benefits
☐ International Center
☐ Office of Research
☐ Center for Teaching and Learning
☐ Office of Equal Opportunity and Diversity

IV. Resources for Career Success: Future Workshops

Please rank the top five topics below for follow-up workshops. (5 being the highest priority, etc.)

☐ Childcare Resources
☐ Managing Your Benefits
☐ Family Accommodation Policies and Resources (“Use it or Lose It”)
☐ Grant Support and Resources (“Securing and Managing Grants”)
☐ Honors and Awards Workshop (“Receiving the Recognition You Deserve”)
☐ Publication Workshop (“Getting Published”)
☐ Navigating Promotion (“Assistant to Associate Professors”)
☐ Research Support for STEM and non-STEM faculty
☐ Teaching Excellence Resources (“Teaching Matters”)

OTHER

PLEASE INDICATE YOUR PREFERRED TIME TO ATTEND CAREER DEVELOPMENT PROGRAMS:

☐ Early Morning (Before 8 am)
☐ Noontime (11:45 am — 1:45 pm)
☐ Afternoon (3:00 pm — 5:00 pm)
☐ Evening (5:00 pm — 7:00 pm)
☐ Other

For questions or comments, please contact:
Douglas M. Haynes
Associate Vice Provost for Equity & Diversity, Associate Professor and Director, UCI ADVANCE Program for Equity and Diversity
Telephone: 949-824-2798 • E-mail: advancedirector@uci.edu