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I. Preface

The information in this handbook supplements the following resources:

**The University of California Faculty Handbook**

The University of California Systemwide Resource “The University of California Faculty Handbook.” The *Handbook* is for faculty members of the University of California. It is written primarily for ladder rank faculty, but many sections will be applicable to non-Senate faculty and other academic appointees. The *Handbook* does not replace the underlying written policies of the University, including memoranda of understanding with collective bargaining agents, but rather will provide faculty members with summary information as well as a guide to where official policies and more detailed information can be found. The handbook is accessible at:

[http://www.ucop.edu/acadpersonnel/handbook/](http://www.ucop.edu/acadpersonnel/handbook/)

**Chair’s Resource Guide**

In addition, the “Department Chair’s Guide to Administrative Resources” is a useful document that provides faculty in leadership positions with a three-part directory of web reference sources The main guide is accessible at: [http://www.ap.uci.edu/Guides/chair/chair_guide_cov.html](http://www.ap.uci.edu/Guides/chair/chair_guide_cov.html). The three categories of information are:

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| IX.  | Environmental and Safety Administration |
| X.   | Facilities Administration |
| XI.  | Systemwide and Regents Policies |

**Appendices**

| I.  | Administrative Campus Contacts |

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**nePH@UCIrvine**
II. Introduction to the Program in Public Health

Department of Population Health & Disease Prevention

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Undergraduate Director

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Academic Area Coordinator

Guiyun Yan  Guiyuny@uci.edu  824-0175
Academic Area Coordinator

Zuzana Bic  ZBic@uci.edu  824-3216
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ADVANCE EQUITY ADVISOR

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Chief for Operations
Institutes and Centers

California Instituted for Hazards Research
Lisa Grant Ludwig, Co-Director

Chao Family Comprehensive Cancer Center
Frank Meyskens, Director
Lari Wenzel, Leader, Program in Outreach and Cancer Control
Hans-Ulrich Bernard, Co-Leader, Carcinogenesis Research Program

Environment Institute
Dele Ogunseitan, Steering Committee Member

Global Health Framework Program
Guiyun Yan, Director

Health Policy Research Institute
Dana Mukamel, Senior Fellow

Institute for Clinical and Translational Science
Dele Ogunseitan, Director of Research Education, Training and Career Development

Research and Education in Green Materials
Dele Ogunseitan, Director

Urban Water Research Institute
Dele Ogunseitan, Steering Committee Member
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III. Campuswide Offices

Chancellor                                  Michael Drake
Executive Vice Chancellor and Provost (EVC) Michael R. Gottfredson
Vice Chancellor for Research                John Hemminger
Vice Provost for Academic Planning          Michael P. Clark
Vice Provost for Academic Personnel         Herbert Killackey
Dean of Graduate Studies                    Frances Leslie
Dean of Undergraduate Education             Sharon Salinger

Office of Academic Personnel
The office of the Academic Personnel is the administrative unit responsible for making decisions on all appointments, merits, and promotions. It operates under the authority of the Chancellor and the Executive Vice Chancellor (EVC).

The most important reference is the webpage of the Office of Academic Personnel: http://www.ap.uci.edu/.

This webpage contains detailed information about appointment process, policies and procedures, academic review cycle, and salary. It also contains relevant forms and the manuals that rule academic personnel actions.

See more information in this Handbook under “Advancement and Promotion at UCI”

Council on Academic Personnel (CAP) – Academic Senate, Irvine Division

CAP is the Academic Senate unit that reviews personnel cases. As such, it is the Faculty body responsible for making recommendations on appointments, some merits, and all promotion cases to the Office of Academic Personnel.

CAP’s links in the Academic Senate webpage (http://www.senate.uci.edu/) address some of the most common questions concerning advancement and promotion at Irvine.

See more information in this Handbook under "Advancement and Promotion at UCI."
Office of Research

The webpage of RGS is: http://www.rgs.uci.edu/. It contains information about funding resources, integrity in research, conference support, conflict of interest, research protection, etc.
See more information in this Handbook under "Research."

Human Research Protection Program

Office of Research Administration (ORA) Institutional Review Board (IRB)

Zot code 7600
Telephone: (949) 824-4768
Fax: (949) 824-1465

The IRB is responsible for reviewing all human subjects research and ensuring compliance with federal regulations. All the information about protocols and their submission as well as tutorials is online. A good place to start is: http://www.rgs.uci.edu/ora/rp/hrpp/.
See also more information in this Handbook under "Research."

Graduate Division
http://www.research.uci.edu/

Division of Undergraduate Education
http://www.due.uci.edu/

Instructional Resources Center

The most relevant information is available at: http://www.irc.uci.edu/. It contains information on classroom support services, teaching enhancement services, instructional technology, programs, workshops, etc.
See also more information in this Handbook under "Teaching."

Electronic Educational Environment (EEE)

The Electronic Educational Environment Web site, known as EEE, is a home-grown course management system built to serve instructors and students at the University of California, Irvine.

Through the website http://www.eee.uci.edu faculty have access to various tools, such as class rosters, schedule of classes, course mailing lists, course Web sites, on-line NoteBoards, class
DropBoxes, a GradeBook and much more.

**Office of the Registrar**

The website is: http://www.reg.uci.edu/.

One of the links in this site is FACNET, Faculty Access Network, an information system designed to give faculty easy access to information resources offered by the Office of the Registrar. This information includes The Electronic Educational Environment (EEE: https://eee.uci.edu/) and WebGrades.

At UC Irvine, all grades are submitted electronically though Webgrades. On the FACNET webpage, faculty members have access to all the information and tutorials on how to submit grades electronically.

**Libraries**

*Langson Library Reference Desk*  824-4976
Public health, arts, humanities, social sciences, government information, education, business, and management.

*Science Library Reference Desk*  824-3705
Public health, Engineering, medicine, biological, physical and computer sciences.

**Public Health Librarian**

Julia Gelfand
jgelfand@uci.edu

For additional information, see the list of all Library Subject Librarians including Special Collections, Government Information and Multidisciplinary areas like Women Studies, Cultural Studies and Ethnic Studies: http://www.lib.uci.edu/libraries/contact/sublib.html.

More information on Subject Guides that the Subject Librarians develop to introduce the Library resources can be found at: http://www.lib.uci.edu/online/subject/subject.php.
Course Reserves

Ned Raggett
Day Supervisor, Langson Library Reserves
nraggett@uci.edu 824-1769

http://antpac.lib.uci.edu/screens/search_reserves.html

Interlibrary Loans
824-6839
Langson Library 2nd Floor (lobby level)

Document Delivery
dds@uci.edu 824-4364
Langson Library 2nd Floor (lobby level)

ADVANCE Program

ADVANCE is a NSF sponsored program aimed at increasing equity and diversity at UCI. Its goals are: to increase the recruitment of women and minorities, provide a network of support and guidance through tenure, monitor progress by collecting and analyzing data about equity, promote networking and mentoring activities for tenured women and minorities to ensure that they develop to their fullest potential, including facilitating nominations for awards at the local, national, and international levels. To accomplish these goals, the ADVANCE program has two Equity Advisors at each School.

For Public Health, the Equity Advisor is Lari Wenzel (LWenzel@uci.edu)

Relevant information about the program and about issues for faculty, equity, off-scale salary adjustments, resources, strategic planning, etc. can be found at: http://advance.uci.edu/

See also more information in this Handbook under "Strategic Planning."

Office of Equal Opportunity and Diversity (OEOD)

The UCI Office of Equal Opportunity and Diversity is responsible for the University's compliance with federal and state laws and University policies and procedures regarding discrimination, retaliation, and sexual harassment. OEOD works to promote and integrate the principles of equal opportunity, affirmative action, nondiscrimination, and excellence through diversity at UCI.

The web page is: http://www.eod.uci.edu/. It contains the copy of the main Nondiscrimination Policies and the list of services provided by OEOD.
Inquiries regarding the University's nondiscrimination and affirmative action policies may be directed to:

Kirsten K. Quanbeck, Director  
Office of Equal Opportunity and Diversity  
4500 Berkeley Place  
Irvine, CA 92697-1130  
Phone: (949) 824-5594  
Email: eod@uci.edu

Benefits

Benefits Office  824-5197, 824-7135  
For a list of Benefits representatives and contacts in the Benefits office, visit http://snap.uci.edu/
IV. Advancement and Promotion at UCI

The Academic Personnel Manual of the University of California presents rules guiding the process of advancement and promotion at the University of California, Irvine. This and other relevant manuals and policies are available online on the Office of Academic Personnel’s webpage:

http://www.ap.uci.edu/

Publications and links of special interest available at this site are:

1. Academic Personnel Manual (APM) of the University of California.

2. Academic Personnel Procedures Manual (APP) of the University of California, Irvine

The Academic Personnel Procedures manual (APP) contains campus procedures for implementing academic personnel policies. These procedures are intended to supplement the policies set forth in the University of California Academic Personnel Manual (APM), and they must always be used in conjunction with that manual. It is found at http://www.ap.uci.edu/APP/index.html


The FAQs were last revised in July 2004 and are included as an Appendix of this Handbook.


5. Transcript of the 2011 workshop for Assistant Professors presenting an overview of the UCI academic personnel review process (see appendix).

6. Another important reference is the publication Advancement and Promotion at Irvine – 2003. It describes the process of advancement and promotion at the University of California, Irvine, and is intended to highlight more informally than the Academic Personnel Manual key aspects of procedures. It includes summaries of University policies and provides advice about strategies for advancement and promotion, especially for the tenure review. The original version of this publication is from 1990. Herb Killackey, Associate Executive Vice Chancellor, Academic Affairs and the Office of Academic Personnel prepared revised and updated 2003
The most important form to be produced at every personnel review (either merit or promotion) is the “Addendum to the Biography” (Form AP – 10). All information about faculty activities and production must be included in the Addendum. This form will be made available in electronic format by departments to all faculty at the time of reviews. It is also included in the Appendix of this Handbook. The transition to electronic databases and review procedures demands that faculty members record their accomplishments through the new myData portal (http://www.ap.uci.edu/myData/index.html).

Childbearing Exclusion and Modified Duties

The University policies on childbearing and childrearing are described in the APM. These policies allow natural mothers about six weeks of childbearing leave, which may be followed by several weeks of “modified (University) duties.” Natural fathers and adoptive parents of either sex can also exercise the “modified duties” option. (“Modified duties” is not a leave; the faculty member 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.)

Another part of this policy permits a faculty member who has primary responsibility for the care of an infant or newly adopted child under age five to request an extension of up to one year of the eight-year maximum service allowed in those titles with limitations on service (APM Policy 133-17-h). Such requests must be made within two years of the birth or adoption of the child. The policy allows an assistant professor who has recently become a parent to continue working while stopping the "eight-year clock." These extensions may have the effect of lengthening the amount of time in the "probationary period" during which they are candidates for promotions to tenure. This policy attempts to take into account the difficulty junior faculty members have in teaching and doing research while raising young children. In 1998, APM133-17 was revised to allow for stopping the tenure clock more than once, provided the total time off equals no more than two years.

The policies on childbearing leaves and exclusions and all relevant definitions can be found at: http://www.ap.uci.edu/APP/7-10_leaves.html.
V. Strategic Planning

The ADVANCE program is committed to promote the advancement of faculty at UCI, especially assistant professors. To this end, Equity Advisor Lari Wenzel works with other advisors to develop a program on Strategic Planning. Its main purpose is to assist faculty in strategizing and planning their advancement in the UCI system. At this moment, this program has three components.

**Orientation and Navigation**

The objective is to provide information that will assist faculty in planning their careers, facilitate their everyday tasks of teaching, research and service; and assist in the preparation of personnel cases. This Handbook and the orientation meetings for new faculty are part of this initiative.

Periodically, the Equity Advisors will forward to faculty references of literature that they find may help to achieve goals including research, teaching, service, and record keeping. The Program in Public Health is committed to circulating information on grants and funding opportunities. Periodically, all faculty receive email communications from the Office of Contracts and Grants with fellowship and funding announcements (FundOpp: http://research.uci.edu/funding/databases.htm).

Assistant professors should note the opportunities available to regarding Career Development Awards. These awards are given annually on a competitive basis to eligible tenure track faculty on campus and consist either of a course release or research funds. Deadlines for applications are announced each Fall. More information is available at: http://www.ap.uci.edu/programs/index.html.

The ADVANCE webpage (http://advance.uci.edu/) is also an important source of information. In the Appendix of this Handbook there is a list of readings posted on this webpage.

**Mentoring**

The primary goal of this program is to provide support and guidance for Assistant Professors in planning for advancement and making the right career choices to get tenure at UCI. The program is also open to Associate Professors and Professors who may be seeking advice about how to move ahead in their careers. The idea is that the mentors become a significant source of reference and information for the faculty. It is also hoped that the program will foster friendship between senior and junior faculty within the School. Contacts between junior faculty and mentors are made in two ways. The junior faculty member seeking mentoring can initiate contact. The names of participating mentors are listed below. All junior faculty are encouraged to contact any of them. If they don't know whom to contact, they will have the option of...
contacting one of the ADVANCE Equity advisors for the School to be paired up with an appropriate mentor.

A member of the mentor pool may also initiate contact. Typically, every year a mentor will invite either for lunch or coffee all assistant professors in the School.

We anticipate that most mentoring will occur between Assistant Professors and mentors in the same research area in the Program. However, this is not required, and mentors can be selected from other units outside the Program.

**Current Mentors in Public Health**

Hans-Ulrich Bernard  
Oladele Ogunseitan  
Shari Stern  
Lari Wenzel  
Guiyun Yan

**Workshops**

The Program is planning to hold a series of workshops to assist faculty in crucial areas of research and teaching. These workshops should be flexible and may be created any time there is a demand or need.
VI. Resources – Research

Program Level

All faculty members in the program have access to Research and Travel funds typically provided annually by the Academic Senate (Council on Research, Computing and Library Resources) to support pilot projects and data collection travel expenses. Priority is given to pre-tenure faculty and projects that are likely to lead to long-term extramural funding. The Committee on Research, Computing and Library Resources, currently chaired by Professor Guiyun Yan (Guiyun@uci.edu) manages the funds. The Senate funds are occasionally supplemented by research overhead return funds allocated to the program by central administration. Each faculty member receives a portion of the overhead return funds based on their extramural grant activity in the previous year. The portion returned to the department is used primarily to support activities that can lead to new research programs.

The Program also matches funds provided by the Office of Research to support faculty desktop computing initiatives.

Assistance for Contracts and Grants

John Rupp NJRupp@uci.edu

John is the source of all knowledge concerning grant preparation and funding opportunities, including actions that require Institutional Review Board (IRB) procedures regarding human subjects for research or research with animals.

Campus level

The webpage of the Office of Research RGS is: http://www.research.uci.edu/. The site contains information about funding resources, integrity in research, conference support, conflict of interest, funding sources, and research protection.

Intramural Funding includes links to: Bridge Funding; Conference & Workshop Support; Multi-Investigator Faculty Research Grants; Single Investigator Innovation Grants; Cultural Diversity Studies Faculty Research Grants.

The site also contains links to the Faculty Career Development Awards announcement, to the Faculty Desktop Computing Initiative, to UC Funding, and to Research Units.
Human Subjects for Research

Federal regulations require that all proposed human research studies undergo review by the Institutional Review Board (IRB). The IRB is responsible for reviewing all human subjects research and ensuring compliance with federal regulations. The primary role of the IRB is to protect the safety and welfare of human subjects.

Specifically, the IRB must assure that:

* risks to subjects are minimized;
* risks to subjects are reasonable in relation to anticipated benefits;
* selection of subjects is equitable;
* informed consent is sought from each prospective subject or the subject's legally authorized representative;
* informed consent is appropriately documented;
* adequate provisions for monitoring data collection are in place to ensure the safety of subjects; and
* when appropriate, adequate provisions are in place to protect the privacy of subjects and to maintain the confidentiality of data.


There are three IRB committees at UCI: two review biomedical research and the third reviews social/behavioral research. Each committee is composed of scientists, non-scientists, and community members with varying backgrounds to promote complete and adequate review of human subjects research conducted at UCI. All the information about how to submit protocols, as well as the required forms and mandatory tutorials are online.

Statement from Julia Gelfand:

“The University of California, Irvine (UCI) Libraries has strong subject coverage of public health literature in all curricular and research areas currently offered by the Program of Public Health. The Library collection contains extensive journal holdings and conference proceedings with fulltext access where the scope spans all relevant subject areas. They include medicine, nursing, allied health, the social and behavioral sciences, demography, health economics and management, environmental sciences, history of science and medicine, urban and rural studies, and reflects the many interdisciplinary intersections of global health, disease prevention and health disparities.

The Irvine campus is part of the California Digital Library (CDL), and shares an online catalog, MELVYL with the other 9 campuses that compose the University of California and is now driven by WorldCat Local which offers direct access to a global collection of resources. The opportunity to participate in interlibrary lending and borrowing activities across the campuses complements our access. The monograph or book collection is also rapidly growing in eBooks. In addition, there is a substantial reference collection, a growing media and film collection, extensive working papers, technical reports from nonprofit organizations and government information holdings from local, county, state, regional, federal and international agencies and jurisdictions. Recently, greater attention has been focused on geographical and spatial information, and data sets.

Library staff is organized to offer extensive outreach and liaison services through its subject librarians and the Program in Public Health has a subject librarian who maintains a Subject Guide for Public Health (http://libguides.lib.uci.edu/publichealth) and is heavily involved in library instruction with students at all levels from BS to MPH and works closely with the faculty in their instruction, information literacy and research programs.

Increasingly, the provision of library and information services is being conducted with digital resources. These options include, Ask-a-Librarian (http://www.lib.uci.edu/services/library-services.html), the UCI Libraries chat and email reference service, research consultations, and support to student groups and academic programs. UCI faculty, staff and students can access all library services from on and off-campus 24/7. The UCI Libraries website (http://www.lib.uci.edu) is actively maintained to provide access, and assistance. Faculty and graduate students can utilize the Document Delivery Service for copying by recharge and free delivery of materials from the print collection on a 3x/week schedule. The Program in Public Health has demonstrated a growing interest in Scholarly Communications activities.
VII. Resources – Teaching

Program Level

The Student Affairs Office is in charge of allocating Teaching Assistantships (TAs). Each quarter, faculty who are teaching courses that qualify to have TAs should fill a form to request specific preferences. When a class does not qualify to have a TA, it may qualify to have a Reader. Combination of TA and Readers may also be allocated to courses depending on the workload.

Campus level

The Teaching, Learning and Technology Center (TLTC) provides a variety of services and information on classroom support services, teaching enhancement services, instructional technology, programs, workshops, etc. is available at: http://www.tltc.uci.edu/index.html.

TLTC also makes available online a Teaching Resource Guides (http://www.tltc.uci.edu/resources.html). This site currently lists seven video guides, and additional resources provide information on: UCI Student Profile; Learning to Teach; Designing Courses for Student Learning; Course Formats; Assignments, Syllabus, etc. What Does Good Teaching Look Like?; Using Technology as an Instructional Resource; Grading; Giving Feedback: What Students Need to Know; Diversity: In the Classroom and Campus Policies; Academic Dishonesty; and Sexual Harassment policy. Additional information is found at the (EEE) website at: http://www.eee.uci.edu, including orientation package and workshops targeted at new faculty.
VIII. Resources - Service

As a growing program, there are several opportunities to engage in influential service activities to further develop the Program in Public Health at UC Irvine, and to contribute to the campus, the community and the professions. The Academic Senate also provides several opportunities for faculty members to contribute service the shared Governance principle of the University. Each year, the Senate Office sends out solicitation form for faculty to declare their interest in providing service. The Academic Senate Committee on Committees (CoC) nominates candidates to serve on various councils or to stand for election to the Office of the Chair-elect, the CoC, and the Council on Academic Personnel. CoC also nominates faculty members to serve on various ad hoc committees that function throughout the academic year, for example, on search committees for Deans and other Administrators (http://www.senate.uci.edu/).

The standing committees of the Program are as follows.

Committee on Curricula

**Composition:** The curriculum committee shall consist of five faculty members, student advising officers, and representatives of the student body. The faculty members will represent expertise in curriculum matters at the undergraduate level, and for the concentrations within the graduate program. Members are appointed to serve renewable five-year terms.

**Charge:** To review and recommend to the faculty all matters involving the undergraduate and graduate curricula. The Curriculum Committee is a standing committee in the program, consisting of faculty members, student representatives, and staff counselors. The committee functions to review and oversee curricular issues and to make recommendations to the faculty where faculty endorsement by vote is required prior to sending proposals to the Academic Senate Council on Educational Policy or Graduate Council. The committee also reviews requests for new courses or modifications in existing courses and course evaluations. The committee reviews substantial modifications to class sizes, course scheduling, learning objectives, emphasis areas, and guidelines for teaching assistants. The curriculum committee meets several times throughout the year, and most frequently in the Fall quarter.

**Current Membership:** Dr. Brandon Brown (Chair) Sharon Stern (former Chair), Dr. Cynthia Lakon, Dr. Lari Wenzel, Dr. Jun Wu, Dr. David Timberlake, and staff representatives, Liza Krassner, Stephanie Leonard, Susan Rattigan, Stephanie Uiga, Cindy Wolff. Student representatives provide input as needed during discussion of changes to the catalogue description of the curricula. Members are appointed to serve renewable five-year terms.

Committee on Student Admissions, Performance Standards, and Welfare

**Composition:** The Student admissions, performance standards, and welfare committee shall
consist of the faculty director of the undergraduate program, the graduate program, and of student experience in public health. The committee membership will also include staff members from the student advising office, and representatives of the student body. Members are appointed to serve renewable five-year terms.

**Charge:** To review and recommend to the faculty all matters relating to the criteria for admission of graduate students, and freshman and transfer students into the public health majors. The committee also reviews and makes recommendations to the faculty on matters involving change of majors from other academic units to public health. The committee reviews and makes recommendations on minimum standards for students to remain in good standing in the program, on probation, students on contracts, dismissals and student appeals. The committee also serves as the portal for requests and recommendations for improving student welfare and morale. The committee meets at least quarterly.

**Current Membership:** Dr. Lisa Ludwig (Chair), Dr. Zuzana Bic, Dr. Sharon Stern, Dr. Brandon Brown, and staff representatives Liza Krassner, Stephanie Uiga, Sandy Miller, Stephanie Leonard, and Cindy Wolff.

**Committee on Faculty Recruitment and Retention**

**Composition:** This ad hoc committee’s responsibilities are on as needed basis, depending on faculty FTE allocation from the Office of the Provost, and retention issues that may arise during the course of the year. The committee shall consist of at least one tenured professor and one pre-tenure professor, and one member in the lecturer series. The committee also includes the administrative staff member responsible for academic personnel. Members are appointed on ad hoc basis.

**Charge:** The committee serves to review and make recommendations to the faculty on recruitment efforts for faculty in the professorial series and in the lecturer series. The composition of the committee depends in part on the topic area in which recruitment focuses. The committee ensures that all faculty searches are conducted according to university policies.

**Current Membership:** Dr. Hans-Ulrich Bernard (Chair), Dr. Lari Wenzel, Dr. Scott Bartell, Dr. Zuzana Bic, and staff representative Delsa Langford.

**Committee on Research, Facilities and Library Resources**

**Composition:** The research, facilities and library resources committees shall consist of four faculty members, including at least one tenured member. Staff members of the committee shall include those responsible for academic affairs and facilities and academic personnel.

**Charge:** To review and make recommendations to the faculty on resources, facilities for research, teaching, and libraries. These resources include laboratories, computing infrastructure, and budget issue

**Current Membership:** Dr. Guiyun Yan (Chair), Dr. Tim-Allen Bruckner, Dr. Jun Wu, Dr. David Timberlake, and staff representatives Liza Krassner and Delsa Langford.
IX. Appendices

1. 2011 Tenure Workshop

2. Advancement and Promotion at Irvine – 2003

3. Addendum to the Biography (Form AP-10)
OVERVIEW
THE UCI ACADEMIC PERSONNEL REVIEW PROCESS
A Workshop for Assistant Professors
University Club
Thursday, May 5, 2011

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 Tenure Handbook
Teaching, Learning & Technology Center
Family Friendly Policies – Revised Campus Policy on Stopping the Clock to Care for a Child or Children

QUESTIONS & ANSWERS – Vice Provost Herb Killackey, Professor Steven White (Chair, Council on Academic Personnel), Professor Douglas Haynes (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 — Tenure 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

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

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# 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><strong>Teaching Titles</strong></td>
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<td>Lecturer/Sr. Lecturer (Unit 18)</td>
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<td><strong>Research Titles</strong></td>
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<tr>
<td>Professional Researcher **</td>
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<tr>
<td>Project Scientist **</td>
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<td>Specialist</td>
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<td>Postgraduate Scholars</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: faculty CV’s and feed web pages.

The Schools currently participating in the programs include:

- Claire Trevor School of the Arts
- Biological Sciences
- Paul Merage School of Business
- Henry Samueli School of Engineering
- Humanities
- Bren School of ICS
- Law
- School of Medicine
- Social Ecology
- Social Sciences
- Physical Sciences

Faculty may access the database by visiting the Office of Academic Personnel homepage at [http://mydata.ap.uci.edu](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 Assistant and Associate Professors who are in the participating schools and who will undergo a review for the upcoming academic review cycle. As time permits, information for Full Professors under review will be entered as well.

- Department staff will forward copies of faculty CVs to Temo Gomex (cgomex@uci.edu), Data Analyst in the Office of Academic Personnel.
- 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 Affairs will continue to update the database each review cycle, 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 welcomed to navigate through the system and enter their information into the database if they choose to do so.*
ACADEMIC DEANS
VICE CHANCELLOR FOR RESEARCH

RE: Annual Progress Report for Academic Personnel Actions
2010-11 Review Cycle

This memo is the "Annual Call" for merits, promotions, midcareer appraisals, and all other academic personnel actions to be effective July 1, 2011. Annual Progress Reports are attached for each department to review, annotate, and return to Academic Personnel no later than **Monday, October 18, 2010**.

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](http://www.ap.uci.edu/APP/3-50_asst.html)).

**Campus Deadlines for the 2010-11 Academic Review Cycle:**

- **November 1**
  - Postponement of Tenure Review

- **December 1**
  - 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](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. Killackey
Vice Provost

Attachments
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?

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.

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.

Mid-Career Appraisal Review Period for an Assistant Professor

- From initial appointment at UCI (July 1, 2008) to September 30th (2011) of the fourth year
- End of Fourth Year – June 30, 2012

<table>
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<th>Hire Date:</th>
<th>End of Fourth Year:</th>
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<tbody>
<tr>
<td>July 1, 2008</td>
<td>June 30, 2012</td>
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</table>

Review Period: July 1, 2008 – September 30, 2011
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.

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, 2008
- Promotion to be effective July 1, 2014
- Review Period includes July 1, 2008 – September 30, 2013
## Summary of University of California Access to Records Policy

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<th>Type of Record</th>
<th>Classification</th>
<th>Access Policy</th>
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<td>Confidential</td>
<td>May receive redacted copies (1) before departmental recommendation or (2) after the final decision</td>
</tr>
<tr>
<td><strong>Description of Qualifications of Outside Letter Writers (AP-11)</strong></td>
<td>Confidential</td>
<td>No Access</td>
</tr>
<tr>
<td><strong>Internal or External Unsolicited Student/Colleague Letters Requested by Candidate (usually not by formal letter)</strong></td>
<td>Non-Confidential</td>
<td>May receive copy intact</td>
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<td><strong>Department Letter</strong></td>
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<td>May receive copy intact</td>
</tr>
<tr>
<td><strong>Statistical Teaching Evaluations</strong></td>
<td>Non-Confidential</td>
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</tr>
<tr>
<td><strong>Department Vote</strong></td>
<td>Non-Confidential</td>
<td>Vote to be disclosed in department letter</td>
</tr>
<tr>
<td><strong>Candidate Certifies Access Rights have been granted (AP-50)</strong></td>
<td>Non-Confidential and Confidential</td>
<td>May receive a copy of the departmental letter and vote May receive a copy of redacted confidential material May request opportunity to respond</td>
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<td><strong>AFTER THE DEPARTMENTAL RECOMMENDATION</strong></td>
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<td>Chair’s Personal Letter</td>
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<tr>
<td>Dean’s Letter</td>
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<td>Chancellor’s Ad Hoc Committee Report</td>
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<td>Request from CAP for Additional Information or in response to tentative recommendation</td>
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<td>May receive copy and has opportunity to respond</td>
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<td>Additional Outside Letters of Evaluation Solicited by School (may be needed for further review)</td>
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<td>May receive redacted copies (1) before departmental recommendation or (2) after the final decision</td>
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<td><strong>Description of Qualifications of Outside Letter Writers (AP-11)</strong></td>
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<td>No Access</td>
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<td><strong>Department Letter response to request from CAP</strong></td>
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<td>May receive copy intact</td>
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<td>Chair’s Personal Letter</td>
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<td>Dean’s Letter</td>
<td>Non-Confidential</td>
<td>May receive copy intact after the final decision</td>
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<td>Council on Academic Personnel Report</td>
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<td>Other Administrators’ Recommendation Letters</td>
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<td>Chair’s Personal Letter</td>
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<tr>
<td>Chancellor or Designee’s Final Decision</td>
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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.

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* 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

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**Appendix I**

### SUMMARY OF CHILDBEARING AND CHILDMITRARING 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>
</tr>
</thead>
<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>
</tr>
</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)
A. **Systemwide Policies and Procedures**

**Academic Personnel Manual (APM)**

**Website:** [http://www.ucop.edu/acadadv/acadpers/apm/welcome.html](http://www.ucop.edu/acadadv/acadpers/apm/welcome.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.

**Chair’s Resource Guide**

Website: [http://www.ap.uci.edu/Guides/chair/chair_guide_cov.html](http://www.ap.uci.edu/Guides/chair/chair_guide_cov.html)

1. **Part 1, Section I – Academic Issues and Faculty Affairs**
   Contains links to information such as Consulting by Faculty, Family Leave Policies, and Housing Loans for Faculty.

2. **Part 1, Section III – Research Administration**
   Features links to information such as the Human Subjects Committee, Copyright Issues, Conflict of Interest, and Patent Policies.

3. **Part 2, Section VI – Human Resources Administration**
   Features links such as Disability Services, Mediation Program, Faculty and Staff Assistance Program, Human Resources Benefits – At Your Service, and Workplace Violence Prevention and Response.

4. **Part 3 – Business and Finance Administration, Computing & Communications, Facilities and Safety Issues**
   Contains links such as campus policies on Travel and Entertainment, E-mail Policy, and Environmental Health and Safety.

5. **Appendix**
   Contains a list of administrative campus contacts in areas such as Conflict Management, Disclosure of Records, and Media Relations.
C. UCI Academic Personnel Policies and Websites

UCI Academic Personnel Website

Chair's Resource Guide

UCI Academic Personnel Review Process

- Academic Personnel Review Process (APP 1-12)
- Types of Review Actions (APP 3-40)

UCI Academic Personnel Procedures (APP)

- Responsibility of the Chair in the Academic Personnel Review Process (APP 3-30)
- Assistant Professors – Special Considerations in the Academic Personnel Review Process (APP 3-50)
- Merit and Promotion File Documentation for Academic Senate Titles (APP 3-60)
- Departmental Voting Procedures (APP 1-14)
- Outside Professional Activities Report (APP 1-15)

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

Deans Delegated Merits

Tenure Handbook
ADVANCEMENT AND

PROMOTION

AT IRVINE

A Handbook of
Advice for Tenure-Track
and
Tenured Faculty

Published by the

OFFICE OF ACADEMIC PERSONNEL
UNIVERSITY OF CALIFORNIA, IRVINE

2008
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 input 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 (2007-2010)

**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

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# UCI ADVANCE Program
## for Faculty 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>
<th>ZC:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Herb Killackey</td>
<td>Administration</td>
<td>Vice Provost</td>
<td>47371</td>
<td><a href="mailto:hkillack@uci.edu">hkillack@uci.edu</a></td>
<td>1000</td>
</tr>
<tr>
<td>Doug Haynes</td>
<td>Administration</td>
<td>Director</td>
<td>42798, 46341</td>
<td><a href="mailto:advancedirector@uci.edu">advancedirector@uci.edu</a></td>
<td>1000</td>
</tr>
<tr>
<td>Dina Jankowski</td>
<td>Administration</td>
<td>Coordinator</td>
<td>49635</td>
<td><a href="mailto:djankows@uci.edu">djankows@uci.edu</a></td>
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<tr>
<th>Equity Advisors</th>
<th>School of Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Simon Leung</td>
<td>Arts Professor</td>
</tr>
<tr>
<td>Daphne Lei</td>
<td>Arts Associate Professor</td>
</tr>
<tr>
<td>Dave Gardiner</td>
<td>Biological Sciences Professor</td>
</tr>
<tr>
<td>Kitt Carpenter</td>
<td>Business Associate Professor</td>
</tr>
<tr>
<td>Gil Conchas</td>
<td>Education Associate Professor</td>
</tr>
<tr>
<td>Nancy Da Silva</td>
<td>Engineering Professor</td>
</tr>
<tr>
<td>Martha Mecartney</td>
<td>Engineering Professor</td>
</tr>
<tr>
<td>Heidi Tinsman</td>
<td>Humanities Associate Professor</td>
</tr>
<tr>
<td>Gloria Mark</td>
<td>ICS Professor</td>
</tr>
<tr>
<td>Douglas Haynes</td>
<td>School of Law Associate Professor</td>
</tr>
<tr>
<td>Lari Wenzel</td>
<td>SOM/HS Professor</td>
</tr>
<tr>
<td>David Kirkby</td>
<td>Physical Sciences Professor</td>
</tr>
<tr>
<td>A. J. Shaka</td>
<td>Physical Sciences Professor</td>
</tr>
<tr>
<td>Carroll S. Seron</td>
<td>Social Ecology Professor</td>
</tr>
<tr>
<td>Kent Johnson</td>
<td>Social Sciences Associate Professor</td>
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</tbody>
</table>

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<tr>
<th>ADVANCE Term Chairs</th>
</tr>
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<tbody>
<tr>
<td>Chuu-lian Terng</td>
</tr>
<tr>
<td>Ellen Druffel</td>
</tr>
</tbody>
</table>

Updated: April 15, 2011
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?

□ Assistant Professor □ Assistant Professor in Residence □ Assistant Professor of Clinical X
□ □ □

Please indicate from the list below the school in which your principal appointment is housed.

□ Arts □ Biological Sciences □ HSSoE
□ Education □ College of Health Sciences □ Humanities
□ School of Medicine □ Physical Sciences □ Computer Science
□ Social Sciences □ Law

Have you received your mid-career appraisal?

□ Yes ___________ Year □ No □ Currently under review during 2010-2011

I. Career Advising Development and Support

Please indicate the range of career advising provided by your department chair or director.

1. During your meeting with your department chair or program director 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 or the □ 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 or program 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>
</tr>
<tr>
<td>□ Mid Quarter Course Assessment</td>
<td>□ Research Editing Assistance</td>
<td>□ Merit/Tenure Procedures</td>
</tr>
<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>
<td></td>
</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 Awareness about these Campus Resources for Faculty Research, Teaching, and Wellness:

- 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 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 Professor and Director, UCI ADVANCE Program for Faculty Equity and Diversity Telephone: 949-824-2798 e-mail: advancedirector@uci.edu
ADVANCEMENT
AND
PROMOTION
AT
IRVINE
2003
A Handbook of
ADVICE FOR TENURE-TRACK AND TENURED FACULTY

Rooted in education, enriched by diversity
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ADVANCEMENT AND PROMOTION AT IRVINE

This document describes the process of advancement and promotion at the University of California, Irvine, and is intended to highlight more informally than the Academic Personnel Manual key aspects of procedures. It includes summaries of University policies and provides advice about strategies for advancement and promotion.

Part I consists of five sections which give advice to assistant professors on the following topics: (1) the tenure review process, (2) professional development tasks critical for tenure preparation, (3) record-keeping about accomplishments, (4) whom to go to for help, and (5) advice to chairs and others about mentoring junior faculty. Part II consists of advice for associate professors on the following topics: (1) merits and promotions and (2) research and professional growth. Part III discusses constraints faced by women and minority faculty members.

PART I: ADVICE FOR TENURE-TRACK FACULTY

A. THE TENURE PROCESS

Tenure Process

The tenure process actually begins at the time of your initial hiring as an assistant professor. Your carefully reviewed and approved appointment reflects a judgment that, in principle, you are tenurable at some point in the future. Since continued employment, merit increases, and promotions depend on your performance, it is important to know the expectations of you that are held by your department and the University. The University's policies and procedures relating to the professor series can be found in Section 220 of the Academic Personnel Manual (APM), which is available online at www.ucop.edu/acadadv/acadpers/apm/welcome.html. Policies and procedures specific to the Irvine campus can be found in the UCI Academic Personnel Procedures Manual (APP), available at www.ap.uci.edu. In addition to reading the policies that apply to all faculty, you should talk to the chair of your department and to your colleagues about the expectations for achieving promotion to tenure in your academic discipline.

As an assistant professor, you will be reviewed every two years for reappointment and merit (or step) increases. You should be aware of the possibility that your appointment could be terminated at any one of these two-year reviews. However, you cannot be terminated without a review. If you are reappointed without a merit increase, take this very seriously. It is an indication that you need to improve. Find out what areas your department review committee considers to need improvement and then work on them. These problem areas should be carefully enunciated by the department – if not, ask for specifics.
Normally, you will be reviewed for tenure in your sixth year; however, you may ask to be reviewed sooner, if you feel you are ready for promotion due to previous academic positions or accelerated progress. You also may request postponement of your tenure review to the seventh year if you have significant work in progress that will be completed within a year but not in time to be included in a sixth-year review. The schedule for your tenure review also may be altered in the event that you request a delay due to childbirth/childcare. See APP 3-50 for details.

Midcareer Appraisal

A critical review point prior to the actual tenure review is the midcareer appraisal, which normally occurs in your third or fourth year of appointment. It typically coincides with a review for a merit increase. These two reviews are separate but overlapping: the merit review covers new work done since your last merit increase, while the midcareer appraisal is an evaluation of your entire career at UCI and its promise. The purpose of the midcareer appraisal is to help you and your department identify strengths and weaknesses before it is too late to improve the record. In a few cases, the outcome of a midcareer appraisal may be non-reappointment, but more typically the candidate is reappointed with advice about facets of performance that need improvement. If weaknesses are identified, you should use this occasion to determine what the causes are, and how they can best be addressed prior to the tenure review. Overall, the midcareer appraisal provides a good chance for the department to get to know your record, and can provide a constructive point of departure for collegial conversations you may not have had before.

It is important to put the midcareer appraisal in perspective. Sometimes, early productivity will have slowed down, and the midcareer review may be an opportunity to alert your department to circumstances that may have temporarily inhibited your productivity. A less-than-positive "midcareer" appraisal (after essentially only two or three years of new work and so early in one's career) can be daunting. However, the midcareer appraisal gives you information about specific strengths and weaknesses that you can work to address in the time that remains, thereby giving you the opportunity to improve your overall record by the tenure review.

Tenure Review

There are five levels of faculty peers and faculty administrators who will review your case for promotion to tenure, in the following order:

- Your department
- Your department chair
- Your dean
• The Council on Academic Personnel (CAP) and an optional campus Ad Hoc Review Committee
• The Executive Vice Chancellor and the Chancellor

1. Departmental Review

The first and most important level of review is your department. Your merit increases, like your initial appointment, your midcareer appraisal, and your promotions, depend not only on decisions made within your department, but on the presentation of your work that the department chooses to send forward for review at higher levels. Your department discusses your review file, votes on a recommendation, and prepares a department report that sets out your case for subsequent review levels. While the department is charged with writing an analytical report that reflects their critical judgment of your case, it selects information; it emphasizes; and, it uses rhetoric that can have an impact on the eventual outcome. Departments have a strong voice in academic personnel decisions.

The departmental review can involve an assessment by a committee in your department that evaluates and reports on your work. Usually, the report is discussed (without you present) by voting members of the department, followed by possible modifications to the report, and a subsequent vote. Tenured faculty in your department have the right to vote on promotions, and some departments extend this vote to untenured faculty as well (Senate Bylaw 55). The vote is reported in the file and forwarded with the departmental letter to subsequent reviewers.

What to Submit for Your Tenure File

There is a strict schedule for submission of personnel recommendations to the administration for review. Therefore, you must submit your own materials on time. It is important to determine who (you or support staff) gives the materials you prepare to your departmental review committee. Be sure to check that all the materials you prepare for the committee, and for the outside reviewers, go forward.

a. Your Self-Statement

The self-statement is a carefully developed statement of your research and publication record, awards and honors, teaching, professional and administrative activities, and University and public service (listed here in their approximate order of importance in your tenure review). This document may be an important part of the tenure process in your department. It is an opportunity for you to analyze and describe the progression of your research, emphasize its unique contributions to your particular field, and highlight future directions.

Not all departments require faculty to provide self-statements, but you may submit a self-statement as part of your dossier, whether or not your chair requests it. Given that the criteria for evaluation vary somewhat from department to department, you should discuss these criteria with friendly mentors or advisors early on in your career. Then you will know where you should be publishing, and the realistic weighting of
the various formal criteria as they are used in your department. This knowledge will help you present your work.

b. Documents for Your Department

For your tenure review by the department, you may submit names of outside referees who have stature in your field and who you believe to be well qualified to evaluate your work; an updated curriculum vitae; a description of your research, teaching, professional activities, and service in as much detail as possible; and a complete set of work you would like to have evaluated, covering your entire career. You may wish to include a Teaching Portfolio, as well. This would include, among other things, your philosophy of teaching, instructional innovations, and your contributions to the teaching culture in general. See the Academic Senate Website (www.senate.uci.edu) for more information on Teaching Portfolios.

Your department will ask you to complete two forms: the Biography for Academic Personnel (Form UCI-AP-9) and the Addendum to the Biography (Form UCI-AP-10). The Addendum outlines the activities (teaching, research and creative activity, professional competence and activity, and committee and administrative service) that reviewers expect to see documented in the file and provides space for you to list these activities for the review period. For normal reviews, the Addendum should cover activities only since the last review. However, for promotion to tenure, the Addendum should document activities since your appointment as an assistant professor. You can find the Addendum form online at www.ap.uci.edu. CAP considers that a carefully prepared, accurate Addendum is crucial to the review process. CAP finds that poorly prepared, inaccurate Addendum forms require additional effort at higher levels of review – often resulting in requests for clarification back to the department – and can detract from your case.

c. Documents for Outside Reviewers

For the outside reviewers, you should prepare packets of your work, including an updated curriculum vitae and a statement of your research development and directions. In contrast to the Addendum, the format and items in your curriculum vitae are your choice. Your chair should forward those packets to outside reviewers along with a letter requesting an evaluation of your work. It is vitally important that the outside reviewers have at hand copies of your work to facilitate their evaluation. You should check that these packets are complete and up-to-date, and that they are actually sent with the solicitation letters. A good chair informs outside reviewers that the University is seeking comparative assessments and makes sure that reviewers will have comprehensive documentation of your work. You may also submit names to the chair of persons you believe would be appropriate or inappropriate evaluators. In cases where you believe someone would be inappropriate, give a reason. Departments will most likely avoid contacting reviewers you believe to be inappropriate; however, those reviewers are not automatically disqualified. In suggesting referees, remember that faculty peers and administrators involved in the
tenure review will want evaluations from **persons with expertise in your field but who are not closely identified with you.** For example, former mentors and former or present collaborators may not be regarded as objective evaluators. The department will pick outside evaluators both from your list of suggested referees and from their own, independently generated list. Because the identity of the letter writers is strictly confidential, you will not be told which letter writers were selected.

After the external letters have been received and before the departmental recommendation is determined, you should have the opportunity to request redacted copies of letters from outside reviewers. You may want to provide a written statement in response to the letters, which will be included in your review file.

**If You Have Problems with the Departmental Review**

Before your case leaves the department, you may request a copy of the department letter disclosing the vote and opinion of the faculty. If, after reading the department letter, you feel that aspects of your work have been misrepresented, misunderstood, or omitted, you may respond in a written statement that will accompany the materials sent forward to subsequent review levels. Sometimes chairs allow this opportunity for feedback and candidate rebuttal or clarification immediately following the departmental meeting and prior to the actual vote. Again, departments and chairs vary in how they handle these procedures. Nevertheless, your written response becomes part of the dossier and goes forward to the dean and CAP.

If you believe special problems exist in your case, you should notify either your dean, the Director of the Office of Equal Opportunity and Diversity, or the Associate Executive Vice Chancellor for Academic Personnel. Potential problems may include prejudice on the part of the chair, conflicts due to internal departmental politics (e.g., competition over space, graduate students, or other resources), or hostility because you have refused a sexual advance, etc. It is important to handle such problems professionally, and this can be done with the help of one of the administrators listed above.

A full set of your materials should be sent forward with the departmental letter and the chair's letter. You have the right to see the departmental checklist of the materials included in the dossier, the right to inspect the non-confidential records in your file, and the right to request redacted copies of the confidential material, as stated above. Candidates should not hesitate to exercise these rights.

Finally, you will be asked to sign a “Certification Statement for Academic Personnel Reviews” to indicate that you have received all your rights in the process. If you believe you have not been afforded all the rights outlined on the Certification Statement, you should indicate so on the form and discuss the omissions with your chair.

**2. Your Department Chair**
The chair of the department plays a critical role in the implementation of the review process. The chair has responsibility for explaining the tenure review process to you before it begins. Once the review is underway, the chair has ultimate responsibility for the department letter that explains your case to subsequent reviewers. Finally, the chair may write a separate letter expressing his or her own opinion on the case. The chair’s separate letter is confidential. While the Academic Personnel Manual (APM) and the UCI Academic Personnel Procedures Manual (APP) outline a standard set of procedures and criteria, their application varies widely from unit to unit. Departments vary in the degree to which the faculty member under review participates in the preparation of the case, in the criteria for evaluation, and in the actual procedures of the review. Talk to your chair about all these aspects of your tenure review.

If changes to your record occur during the course of your review and prior to the final decision, you should keep your chair informed. For example, you should give your chair new letters of acceptance for publications, and also notices of grant funding, prizes, honors, and awards since the submission of the original file. Reports of new research or creative activity may be submitted during the course of the review for tenure cases, though not for other types of reviews.

3. Your Dean

Your materials are sent by the chair of your department to the dean of your school, who adds his or her own letter of evaluation to the file. The dean may appraise and interpret the departmental vote (split votes often require explanation) on the basis of his or her knowledge of department politics and external factors.

4. Council on Academic Personnel

The dean sends your dossier to the Office of Academic Personnel, where it is reviewed to ensure that the requisite information is present in the file. From Academic Personnel, the dossier is sent forward to CAP, an elected Senate committee of faculty whose charge includes review of appointments, promotions, and non-reappointments. CAP provides another level of peer review beyond the department, bringing a campuswide perspective to promotions and encouraging the application of common standards across the campus. CAP takes into account the standards and criteria of the department as well as the quality of the department’s analysis and evaluation. The deliberations of this committee are confidential, although you may obtain a copy of the CAP report at the close of the review. Many CAP procedures, policies, and criteria are in CAP’s Frequently Asked Questions (CAP FAQ) document, which is on the Senate Website at www.senate.uci.edu. For example, one question answered in the CAP FAQ is “What does CAP look for in a midcareer appraisal?”

Optional Campus Ad Hoc Review Committee

For new tenured appointments, promotions, non-reappointments, advancement to Professor Step VI, and accelerations of more than two years, a campus ad hoc review
committee may be chosen consisting of UC faculty who are in fields pertinent to the candidate’s field. In these cases, the report and recommendation of the ad hoc review committee is considered by CAP. However, in most cases, CAP acts as its own review committee.

The campus ad hoc review committee may be a crucial factor in the outcome of your case. Its basic task is one of evaluation – have you met the expectations inherent in the decision to hire you? This committee reviews your entire case. Thus, it is important that you prepare your materials with an eye toward this audience as well as the departmental audience. Keep in mind that some of these committee members will have only marginal expertise in your field and will be looking for clear guidelines both from you and from outside reviewers as to the significance of your scholarly contributions. The Council on Academic Personnel nominates the membership of the ad hoc committee, which is confidential, but you can have some influence on its composition by notifying your chair before the case leaves your department if there are any individuals who you feel have sufficient personal antipathy to you or your work as to be considered prejudiced. If you are in an unusual specialty, you could advise your chair as to the ranges of expertise and sources of persons appropriate to review your work. Your suggestions may or may not be followed, and the availability of faculty may constrain who can serve on the ad hoc review committee. You also may notify the dean or the Office of Academic Personnel should you feel that internal opposition exists from, for example, a hostile chair.

The ad hoc review committee writes its own report, which is forwarded to and then considered by CAP.

5. Executive Vice Chancellor and Chancellor

After reviewing all of the evidence, CAP votes and forwards its recommendation to the Executive Vice Chancellor. If CAP disagrees with the department's recommendation or if CAP needs more information, the Executive Vice Chancellor will write back to the department (with a copy sent to you) to communicate the discrepant recommendation and to ask whether further information exists that should be considered.

Materials not previously included in the dossier may be submitted at this point through your chair, as long as the additional information concerns work published or accepted or any other recognition or activity in the review period. Such information will be forwarded to CAP through the appropriate channels and, where sufficiently compelling, can result in a reversal of a tentative negative decision.

If the Executive Vice Chancellor agrees with CAP’s recommendation, the recommendation is forwarded to the Chancellor for the final decision. If the Executive Vice Chancellor disagrees with CAP's recommendation, it may be sent back to CAP for reconsideration. In advising the Chancellor, the Executive Vice Chancellor can reject the advice of the Council on Academic Personnel, although CAP's recommendation is most often upheld. Thus, the tenure decision is typically a faculty-derived decision rather than an administrative one. Final decision-making power resides with the Chancellor.
In the case of a tenure review when the preliminary assessment is to deny the promotion, or in the case of non-reappointment or non-promotion of an assistant professor, the candidate has enhanced access to information in the file and an opportunity to comment at this point. In simple terms, the Chancellor's decision cannot be a negative one without the preliminary assessment notification process. If the Executive Vice Chancellor's preliminary assessment is for non-reappointment, both you and your department chair will have an opportunity to respond after receiving access to extra-departmental documents in your review file—intact copies of the dean's letter and CAP report, plus redacted copies of the chair's letter and any ad hoc report. These, plus a copy of the department letter and redacted copies of outside letters, will be sent to you via the dean's office at the time of the preliminary assessment, if you did not request them at the time of the departmental review.

You will then have 10 working days from the date you receive notice of the adverse preliminary assessment to provide a response to the issues raised during the review. You will be able to submit any additional materials to your chair, and your response, together with additional recommendations from your department and dean, will then be returned to CAP for final review. Your chair and the dean also may provide additional information for final consideration by CAP and the Executive Vice Chancellor.

**Access to Your Review File**

Access to your entire file is limited to the information that is made available at specified points of the review. As stated earlier, at the departmental level you may request redacted copies of outside reviewer letters as well as an intact copy of the departmental letter disclosing the vote. In addition, you may request a redacted copy of the departmental ad hoc committee report (if applicable) either before the departmental recommendation or after the Chancellor's final decision. After the final decision, you may request redacted copies of all confidential letters in your review file as well as intact copies of non-confidential materials.

**Can the Final Decision Be Appealed?**

The outcome of a tenure review is final and may not be appealed once the Chancellor has made a final decision. You should exercise your rights during the review process to provide written comments or additional materials when given the opportunity. If you believe that a procedural error occurred in the course of your tenure review which adversely affected the outcome, you may file a grievance with the Senate Committee on Privilege and Tenure.
B. RESEARCH AND PROFESSIONAL DEVELOPMENT

When you take up a new role in a social system, there is much to learn. You must gain access to the flow of information within the system, and you must juggle multiple responsibilities. The professorial role in a major research university includes research, teaching, and professional and public service, and in some cases, administration or applied activities such as clinical practice. Faced with multiple responsibilities, you must make daily decisions about how best to allocate your time and the aspects of organizational life in which you should become involved.

Making Research a Priority

The University structure is set up primarily around your teaching functions. Your daily life is most visibly organized around the academic calendar; that is, when instruction begins, when classes meet, and when grades are due. Yet your research accomplishments, not your teaching successes, over the course of each year are the primary basis for your evaluation and promotion to tenure. Evidence of a productive and creative mind will be sought in your published research. In fields such as art, dance, music, literature, and drama, distinguished creation will receive consideration equivalent to that accorded to distinction attained in research. For promotion to tenure, there must be evidence that you are continuously and effectively engaged in research or creative activity of high quality and significance.

Despite this reality, one common mistake is to let your teaching functions organize your daily life and to fit in your research and writing on the side. The more productive approach (and an essential aspect of your preparation for tenure) is to organize your year around your own research and scholarly activities. Develop an overall five-year plan for your own scholarly development, with each year devoted to a subset of the overall goals. Reassess this plan for its feasibility every year. Plan for what you want to accomplish by the midcareer appraisal and, further, for what you need to have completed by the time of tenure evaluation. Successful plans include the following:

1. Develop your agenda not only around quarters and courses but around the best times to collect data, to attend conferences and submit grants, and to write. For example, if you are faced with particularly heavy teaching responsibilities one quarter, determine how you can use your time weekly to collect data or to do your library research so that when more open blocks of time become available you are ready to begin writing. As you approach the tenure review, you may wish to ask your chair for a lighter teaching load. This might entail teaching fewer courses in a given year, courses that involve less preparation, or courses with smaller enrollments. Consider repeating courses you have already taught, rather than developing new ones, the year or two prior to the tenure review.
(2) Protect blocks of time each week to work on your own research activities. Do not give them up under any circumstances. For example, in scheduling student appointments, keep an appropriate number of hours open for students, but do not deviate from the schedule. Some people work best in whole-day blocks of time; others find mornings or afternoons the best time to write. Schedule classes, meetings, and appointments with these considerations in mind, making sure you earmark sufficient, high-quality time for your own scholarly activities. Do not use these precious blocks of time to read your email, answer correspondence, or finish lectures or other work that has spilled over into the time allotted for your research. Guard your research time as you would actual appointment times that cannot be broken.

(3) Plan for some leave time in order to maximize your opportunities to write. Apply for a grant with some release time from teaching, or for a faculty Career Development Award that would allow you time off from teaching or a summer free to write or pursue your research. If such funding is not available to you, draw on your sabbatical time before tenure or even consider a leave without pay, if you can manage it financially. Such leaves ensure an uninterrupted period in which to complete a body of work. Be careful, though, about taking too much time off or accepting visiting appointments at other institutions. You will not get credit for teaching at an institution other than UCI, and it is important to have a presence among your departmental colleagues, since their opinions will be basic to the success of your tenure review.

By actively designating appropriate time for your research, and by developing a five-year plan, you can build a research program that has both room and time to grow.

Developing a Scholarly Program

Your scholarly contributions will be evaluated for evidence of growth, impact on the field (e.g., work that opens new lines of investigation), and future promise. Often, that means your work needs to be programmatic or progressive—it is expected to unfold, with one contribution leading to another. Hence, you will be faced continuously with choices about what to do next. Each discipline varies in terms of what kind of scholarly contribution it most values (whether it is a book or journal article) and whether it is empirical or theoretical work. Your colleagues can advise you about these criteria of achievement, and you must choose wisely about shaping the direction and scope of your scholarly activities. If books are required, you write articles at your peril, and vice versa. Similarly, publication of your dissertation is a mandatory first step in some fields, but is considered less critical in others. Tenure review is based on new work after you have been hired. So, it is essential that there be clear evidence of your UCI-based research program.

Several rules probably hold true across disciplines. Publication of popular books and textbooks does not count heavily in your tenure review. The writing of a textbook can be
viewed as a teaching activity, but it is unlikely to be regarded as scholarship, unless colleagues' letters attest to the textbook's scholarly contribution. Ask for such letters if you have written a textbook and you believe that it makes such a contribution. Work that is too narrow in scope might be considered during the review process to be repetitive and/or insufficient to constitute an important contribution. Work that is too broad or reflects too many unrelated interests, in contrast, may be seen as dabbling or lacking focus or a set of themes. Work done in collaboration with someone else (in particular someone senior to you) is difficult for reviewers to evaluate, and questions might be raised about the nature of your independent contribution. Therefore, it may be important to complete some singly authored papers in order to establish your independence.

Extramural Funding

In the sciences, once a research emphasis has been established, grants are necessary to help provide financial support to conduct the research, and such support provides an opportunity to devote a concentrated block of your time to research. This is critical in the building of a viable research program. The ability to attain competitive grants is also a mark of your development as a scholar in the sciences. Talk to a faculty mentor and one or more trusted department colleagues about the expectations in your field/department for attaining national grant funding before tenure or promotion.

Your senior colleagues are your best source of information. Run your ideas by them. Solicit their feedback on drafts of your grant proposals.

The Research and Graduate Studies (RGS) Website at www.rgs.uci.edu presents up-to-date information on sources of intramural and extramural funding. In addition, intramural (campus-based) funding is available to school Research Committees for competitive awards for basic and applied research, and for conference and workshop support. The RGS Website also publishes information on UC fellowships, grants, and awards, and posts downloadable forms and application deadlines for the most-used funding sources.

Preparing for Publication

There are choices to be made about when to publish, what to publish, and where to publish. Your colleagues can be very helpful about the criteria of achievement in the field and about the reputation of journals. Colleagues can also provide helpful advice on drafts of your papers before you submit them.

It is important to publish your work as promptly as you can so that wide groups of scholars can learn about it, cite it, and provide constructive feedback which will help you shape your future work. Do not wait until a book is completely finished before
earmarking a piece (perhaps a pilot piece) for professional communication. In that way, you begin the process of building visibility, and you keep the door open for important criticism to which you may need to respond in your work. On the other hand, avoid publishing too many small, incomplete pieces of your work that by themselves are insignificant.

If you are working in a science field, you should be sure to approach publication of your research results properly. First, the research itself should be either completed or have reached a point that makes a logical stage for reporting. Multiple small papers or case reports increase the quantity of publications listed in your curriculum vitae, but may detract from the overall quality of your achievement. Once the results of your work are available and worth reporting, you must make several decisions. The paper should be well written and reviewed internally by experts who can provide helpful feedback prior to submission to a journal. Everyone who participated in the research should have an opportunity to examine and review the manuscript before it is sent to a journal. Co-authors should be listed in sequence according to the conventions of your discipline. Faculty members who have read the paper but have not participated in the research should not be included as co-authors.

Prepare your work for the most respected publications in the field. Do not settle for journals or publishers of poor quality, since their prestige influences the assessment of your reputation. In fields where journal publication is important, invited chapters do not count as much as articles in refereed journals, because chapters usually do not undergo the rigorous peer review that journals require. Publication of popular books and textbooks may generate independent income, but these may not count heavily in your tenure review. As mentioned before, the writing of textbooks is viewed as a teaching activity, not a research effort, unless respected professionals can attest to your textbook’s scholarly contributions. You must consider carefully whether writing a chapter is a better use of your time than preparing a journal submission. As noted earlier, conference proceedings are generally not weighted as heavily as chapters or articles in peer-reviewed journals. However, exceptions exist in some fields, such as information and computer science, where conference proceedings may be peer-reviewed.

Furthermore, in choosing the journal for publication, you need to make thoughtful decisions about the particular audience you want your work to reach. If your work is interdisciplinary or has implications for multiple subfields within your discipline, or if it has applied implications (for teachers, as an example), you might want to have some papers that address each of these audiences.

Finally, your manuscript needs to be in good shape (in format as well as substance) before submitting it for publication in order lessen the time it is under review and to make sure it is appropriate for the particular journal you have are targeting. Your colleagues can really help you with this. On the other hand, extreme perfectionism that needlessly delays submission is not a wise use of time given that most journal reviewers ask for some revisions by the author.
Building Relationships: Increasing Your Visibility as a Scholar

It is important to remember that a strong record of research and teaching will be given much greater weight than will successful networking when it comes time for promotion or tenure review. Nonetheless, relationships with departmental and campus colleagues can be important sources of information, support, and intellectual exchange, and relationships with professional colleagues outside of the university help to establish one’s visibility as a scholar. These different realms of relationship-building are discussed below.

Within Your Department

It is important to get to know your departmental colleagues. When the department votes on your promotion, their familiarity with you and with your work will be vital. That familiarity should not just be based on their taking the time to read your work. Rather, if they have the sense of you as a lively, responsive, thinking scholar, they will be much more able to take a favorable stance in reading the departmental review committee's report.

How can you get to know your colleagues? Talk to them about their recent work. Ask their advice about the directions you are taking in your own work. If your department has a colloquium or brown bag series, volunteer to give a presentation, especially if you can use this occasion as a “dry run” for an upcoming presentation at a professional meeting. Serve on departmental committees, but do not do so at the sacrifice of your first priority – research. Co-teach with a more experienced colleague; you will learn from each other (but be sure you have an independent teaching and writing record). If you would like a colleague to read an early draft of a paper, first pick someone who is known for friendly and constructive criticism, and then try to lighten the burden by asking for quite specific help (e.g., “I’d especially like your comments on pages 5-9”).

Often mentorship will be of great value to you early in your career. If you would like a mentor, you should discuss this with your department chair or your dean and ask them to help facilitate access to appropriate mentoring.

You should talk at least annually to your chair, as well as to your colleagues, about important professional choices and about the criteria for promotion and “normal” productivity, although creating such opportunities for discussion is more difficult than you may first assume. You need to keep the chair informed about your accomplishments – the research you are doing, the professional meetings you are attending, the papers submitted, and the invitations received. Keep in mind the important role that the chair plays in the tenure review process. In a sense, you are the person who can best help the chair put together a convincing case on your behalf.

Within the Campus Community
It is important to get to know your colleagues outside of your department, particularly those who do work that is relevant to your own. Not only can they provide additional advice and feedback about your work, but they also can help make you and your work more widely known on campus (e.g., by inviting you to give a talk in their department or area, by recommending you to be a member of an important committee). Moreover, they are likely to be among the pool of outside faculty who will be asked to serve on your *ad hoc* committee. It is important to remember that, in the tenure review, the departmental vote is not the only vote. The review and vote by the *ad hoc* committee may be crucial to the final outcome.

For an untenured faculty member, department and school committee service is important and useful. Working on an Academic Senate committee is also a good way to get to know your colleagues, but you must watch the time commitment carefully. Participation on one important Academic Senate committee is likely to be more helpful than is participation on several smaller, less influential school or program committees. However, you must make careful decisions about committee service because it does not count as heavily in the tenure decision as scholarship. **Remember: you have the responsibility for monitoring your own workload.** It is not wise to accept any time-consuming service that detracts seriously from your teaching or research accomplishments before tenure. If you have any questions, you can consult your mentor, chair, or dean for advice.

**Within a National and International Network of Colleagues**

Assessment of your national and international reputation as a scholar is an important part of the tenure review process. Gaining such a reputation during the relatively short time period before the tenure review (typically five years) requires some careful planning. You can take active steps to increase the visibility of your work. Publication of your work in highly regarded journals is most clearly important. Send copies of your preprints and reprints to people whom you cite and who would be interested in your work. A published critical review of the research literature in your area can be helpful. Participation in conferences and other professional meetings also helps you establish professional contacts. The presentation of papers at these meetings (which require less lead time than journal publication) can help make your work more widely known. In general, however, conference papers are not weighted nearly as heavily in the tenure review process as are publications in refereed journals. Small meetings where you can engage in serious intellectual discussions with colleagues can often be more helpful than larger, more anonymous meetings with a national network of colleagues. You also may need to participate in establishing a national network of colleagues in your area if such a network does not already exist. Planning your own conference might facilitate the building of such a network, so long as the time devoted to such an activity does not compromise your research productivity.

Remember that in the tenure review assessment of your professional reputation, you will be asked to give your department chair a list of potential outside reviewers. These
reviewers should be senior faculty (full professors) at well-regarded universities, and it helps if you and your work are already known to them.
C. KEEPING RECORDS ABOUT YOUR ACCOMPLISHMENTS

You should keep ample records of your accomplishments from which you can draw documentation for merit increases and for promotions. Do not assume that your department is doing this for you. Be sure that the department has your full curriculum vitae, with a record of your professional career and publications that goes back to the start of your work, not just your University of California appointment. The curriculum vitae should not contain personal information that is irrelevant to your professional work.

Research and Professional Recognition

In addition to reporting your publications to your department, be prepared to include information on research colloquia to which you are invited, as this is an important indication of professional recognition. (Even if you decline, such invitations may be considered quite an honor.) Attending national and regional research conferences is critical in the development of your professional reputation. Giving presentations and organizing symposia at national meetings enhance your visibility. Poster presentations provide you with an excellent opportunity for meeting individuals working in your area. Keep a record of requests to speak; requests to contribute to books, special journal issues, and panels; requests that you serve on editorial boards as a consultant; requests to review books. Keep records of important citations, letters of praise, and reviews of your work. For some fields, it may be useful to check the Citation Index to find out how often your work is being cited and by whom. Receipt of grants and fellowships is also a good indicator of professional reputation.

Consider putting letters in your file from persons acknowledging your professional or service work, or suggest that the person be consulted by the department. Send your work to such people to keep them abreast of your new activities. If you receive a feeler about a job elsewhere, be sure to keep a complete record, including date and time and caller, even if you do not plan to proceed further. Remember that some members of your department and CAP may have a very difficult job assessing the importance of your work. They must rely heavily on professional indicators that show you are contributing to your field. Therefore, evidence of national or international recognition should be collected and retained at all stages of your career.

Drafts and Publications

For your midcareer appraisal, include not only published work but also your plans for the next four years. Work in press counts as published material and should always be included. Material not yet accepted for publication is never considered for merit increases or promotions; it is preferable to include published or accepted (forthcoming)
articles only. Your curriculum vitae may list work in progress, drafts, etc., but the official Addendum to the Biography normally should not.

When you are being considered for tenure, do not let anyone dissuade you from submitting all your scholarly published material for your review file, not just the most recent. Your entire career is being judged at this point.

Teaching

Although you are judged primarily in terms of your research and publications, excellence in teaching is also essential for promotion at UCI. The University’s Instructions to Appointment and Promotion Committees (APM 210) clearly states "superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions."

Teaching at UCI ranges from formal lectures in large classrooms to informal discussions with individual students and postdocs. It is important to document what and whom you teach, the quality of your teaching, any work on curriculum and course development, service on theses and orals committees, and contributions to textbooks.

If you are spending a great deal of time with students, consider how to reflect this activity in your record. Students who obtain graduate degrees under your supervision appear in the record; other students often do not. Joint publication with students may benefit both you and the student. Report student publications on your projects.

a. What and Whom You Teach

Your formal courses will be listed in your department’s records. Be sure that those records are accurate. If you co-teach, check that your name is included and you are credited for the course. If you teach laboratory or discussion sections yourself, have your name listed, not “Staff.” Keep your own file of individual tutoring and independent studies and research. Keep a good set of qualitative records to show your concern with teaching: course outlines, reading lists, extra instructional materials, evidence of your work in developing new courses and new methods, and work on textbooks. Keep a record of theses and orals committee participation (including undergraduate honors theses, master’s theses, oral qualifying examinations, doctoral dissertations); record your role in evaluating performance in graduate students’ performance on comprehensive examinations (under teaching or departmental service). Your department will not know about your extra-departmental service or about your service on other campuses, so keep a file of notices about such committees and a record of dates of completion of dissertations.
b. The Quality of Your Teaching

The quality of your teaching will be evaluated from the following data: student evaluations, students' letters, colleague's letters, achievements and professional status of former students, evidence of your concern for teaching, and the quality of theses and dissertations you have directed. Student evaluation of your formal course work is usually handled through your school. Depending upon the school in which you teach, you may have a say in which aspects of your teaching will be evaluated. Know your teaching strengths. For example, if your lectures are highly organized but not dynamic, be sure that your organizational ability is appropriately evaluated. If the effectiveness of your communication style is your strength, include that information as one aspect of your teaching that you wish to have evaluated.

Be sure that your students provide teaching evaluations. In some departments the students themselves distribute, collect, and deliver their evaluations to the department, and the department collates or summarizes the material. If you are a woman or minority, and you feel your student evaluations express hostility or bias because of your gender or race, you may consult with the Director of the Office of Equal Opportunity and Diversity, or with your department chair. Departments also can conduct a peer review of your teaching. Two ways to approach this are (1) to ask to give departmental colloquia in order to display your lecturing abilities and (2) to give guest lectures in your colleagues' classes.

If your initial teaching evaluations are disappointing, as they often are for new assistant professors, create a record that shows your efforts to improve your skills. Pay attention to the evaluations, particularly the written comments of students. Visit other classes; get help from colleagues known to be good teachers. You may want to go to the Instructional Resources Center (IRC) or visit their Website at [www.irc.uci.edu](http://www.irc.uci.edu). The IRC provides free, confidential consultations to help you to enhance your instructional skills and to improve student learning. IRC staff will help you to identify your strengths as a teacher, as well as problem areas and strategies for improvement. The IRC offers ongoing programs and workshops on many topics, including Problem Based Learning, as well as technology institutes. Your efforts will be rewarded by better student learning and by improved teaching evaluations.

Some courses – often at the graduate level – do not receive formal evaluation. If you feel that you are a much better teacher of graduate-level courses, be sure to solicit student evaluations from your students in those courses. Otherwise, this aspect of your teaching may never be documented. Your efforts in teaching are also documented by your handouts and course outlines. Be sure to keep a complete set of handouts in each of the courses you teach. These will document your concern for your teaching.

Student letters are also an important means of evaluating the quality of your teaching. If you are tutoring a student, be sure to ask the student if he or she has found your tutorials helpful. If so, make a note of it. Tell the student that you may ask him or
her for a letter for your promotion or merit at a later date. Know how you can reach
the student.

The achievements and professional status of students with whom you worked closely
can provide an indication of your excellence as a teacher and/or research mentor.
Keep a record of important awards received by undergraduate and/or students with
whom you worked closely. Information about the professional status (e.g., job
placements) of former graduate students who you trained often is included in your
record (in the Addendum to the Biography) during merit and promotion reviews, so it
is a good idea to keep this information up to date.

If you are an outstanding teacher, you may be nominated for one of the teaching
awards on campus, such as the Academic Senate’s Distinguished Assistant Professor
Award for Teaching. Inquire if your school gives annual teaching awards. For
example, the School of Physical Sciences gives annual awards in each department for
outstanding contributions to undergraduate teaching. Find out what the nomination
process is, and don’t be afraid to walk into the chair’s office and suggest yourself for
a teaching award.

c. Curriculum and Course Development

If you have spent time on curriculum development in your department, be sure that
there is some evidence of this in your records. You may need to ask your chair or
students to write about this work. If you have developed a new course or a new
method of teaching a subject, be sure to write about it in your self-statement.

d. Theses and Orals Committees

Keep a record of the names of the students, dates of their oral examinations, and dates
of graduation. Clearly identify your role: advisor, co-advisor, committee member
(i.e., reader), chair of exam committee, member of exam committee, etc.

e. Textbooks

Your experience in writing textbooks or chapters in published textbooks should be
documented. This provides evidence that you are lecturing to a broad base of
students.

Because departments vary considerably in the methods of evaluating teaching and in the
value placed upon teaching relative to other criteria, you should discuss the norms and
practices in your department with the chair or another advisor. Then, it’s a good idea to
submit, along with tangible evidence, a narrative of your teaching accomplishments to
integrate the various kinds of evidence and to highlight those accomplishments most
valued by your department.
Service

Keep careful records of all your committee, consultant, and public service work. If products resulted from your work, include these in your materials (e.g., in the development of a new program, include a program description). Solicit letters for your file concerning your contributions. Document any evidence of your impact and effectiveness. It is important to realize that you may be the only person keeping a record of these types of service. If you are a woman or a member of a minority group, you may find yourself overburdened with committee work. Should this occur, careful documentation of work you have already done may help you to decline further committee assignments. It is important that you have some service at this stage of your career, but not at the expense of your research or teaching responsibilities.
D. SOURCES OF HELP

Official Rules and Regulations

To learn your rights and privileges within the University, you should refer to the Academic Personnel Manual (APM), the UC Faculty Handbook, and the UCI Academic Personnel Procedures Manual (APP), all of which are readily available online through the Academic Personnel Website at www.ap.uci.edu. The Office of Academic Personnel also can provide you with information concerning your employment. If you wish to learn the status of your review at any time during the review process, talk with your department chair. The Office of Academic Personnel provides your school with frequent status reports of open cases during the review cycle.

If you receive an unfavorable review, your department chair will be informed by letter before a final decision is reached. The letter will ask for any new information that may alter the decision. Obviously, any changes of duties, new manuscripts or grants, and new teaching evaluations or accomplishments should be submitted at that time.

If you feel your case has been misrepresented after reading your copies of the departmental report and redacted outside letters, you have several channels of recourse open to you. If you believe that internal bias exists, talk to your chair, dean, or one of the resources listed below.

People

If you suspect unfair treatment, exhaust the channels for informal inquiry before trying formal complaints. People are inclined to be helpful on a voluntary basis but are more likely to become defensive when threatened with outside scrutiny. For many reasons, institutions are often hostile to outside investigation and can be very critical of those who go outside for help. The University is generally more responsive to people who begin with an internal complaint process. Therefore, you should be judicious in the order of your actions. The risk of both great expense and professional ostracism exists. Be sure to get good advice before making a formal complaint.

The following internal “people” channels are available:

1. Your chair
2. Your dean
3. The Faculty Equity Advisor and Community Equity Advisor for your school
4. Your school’s personnel analyst in the Dean’s Office or the Office of Academic Personnel
5. The Director of the Office of Equal Opportunity and Diversity
6. The University Ombudsman
7. The Senate Governance Committee on Privilege and Tenure

Each of the above can look into your file, correct errors and injustices, and advise you about other courses of action.

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Administrative Offices

If you decide to undertake a formal complaint, you can go to one or more of the following: the Office of Equal Opportunity and Diversity, the Senate Governance Committee on Privilege and Tenure, the U.S. Department of Education, the Office for Civil Rights section, or the courts. Some individuals have won court victories when substantiated with good data; however, the California Information Practices Act of 1977 makes access to some data very difficult.

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Remember Your Supporters

The day-to-day life of a faculty member can be very stressful, and it is important for you to retain your perspective. There may be times when your grant proposals are not being funded, your research program is stalled, your teaching evaluations are disappointing, and some journal editor has just asked you to do a few (thousand!) additional experiments before your paper can be accepted. As if this were not enough, your tenure clock keeps ticking, and there is little you can do to stop it. At such times it is hard to offer any consolation except to remind you that these types of problems are endemic to all university faculty. It is important to realize that there are a number of individuals and groups on campus who are interested in your advancement, promotion, and development as a faculty member:

- Senate Council on Academic Personnel – comprised of senior faculty members who devote a great deal of time to faculty promotion and issues relating to academic personnel
- Senate Council on Faculty Welfare, Rights, Responsibilities, and Diversity – concerned with issues and policies that are relevant to women and minority faculty members
- Senate Governance Committee on Privilege and Tenure – addresses faculty rights and privileges
- Faculty and Community Equity Advisors for your school – responsible for setting up support networks necessary to guide assistant professors through the tenure barrier and associate professors through promotion to full professor
- Associate Executive Vice Chancellor, Academic Affairs – the Office of Academic Personnel reports to this position and is devoted to serving the
faculty and ensuring that policies related to faculty are expeditiously and fairly implemented

The Office of Academic Personnel sponsors a variety of very useful faculty development activities, including a faculty orientation program each fall featuring presentations by the Chancellor, Executive Vice Chancellor, Associate Executive Vice Chancellor, and the Chair of the Council on Academic Personnel. These programs are highly recommended for all new faculty members.
E. FOSTERING THE DEVELOPMENT OF JUNIOR FACULTY – ADVICE TO CHAIRS AND OTHERS

Initial Counseling

- Make sure that you give new assistant professors explicit advice about record-keeping and about strategies related to promotion, given that they may lack informal contacts.
- Make clear what the standards of promotion are in your department.
- Show the new assistant professor the publication records (and with permission, the self-statements) of the most recently tenured associate professors in your department as a frame of reference.
- Make this *Advancement and Promotion at Irvine* guide available to new assistant professors.
- Allow new assistant professors to serve on midcareer review *ad hoc* (drafting) committees and/or tenure review committees to help demystify the process.

Mentors and Continued Advising

- Make sure that each new assistant professor has a specifically designated tenured professor to help guide the new appointee’s progress. Women and minorities often find themselves socially isolated and lacking informal advice about publishing, conferences, and research planning that is essential to progress.
- Inform new appointees about normal teaching loads, available assistance, available funds, and research facilities. In some departments these resources are seen as zero-sum and, hence, not to be shared with new faculty. In this case, the chair should take appropriate steps to remedy this problem when it has the potential to adversely affect the junior faculty member’s productivity.
- The chair should be sure to keep track of conferences for new faculty, where they publish, and so on.
- Chairs are particularly responsible for preventing assistant professors from being overloaded with administrative and committee work.
- Chairs do not have the right to censure research topics, rewrite papers, or interfere against the will of candidates.
- Advise women faculty that they have the right to paid childbearing leave, which may be followed by several weeks of "modified (University) duties." Women faculty also have the option of requesting additional unpaid parental leave granted for the purpose of child care. *The "modified duties" option is also available to natural fathers and adoptive parents of either sex.* See APM 760, Leaves of Absence/Childbearing Leave, Parental Leave, and Active Service-Modified Duties.
Advise assistant professors that they have the right, under certain circumstances provided for in academic personnel policy, to request an extension of their time before tenure review if they have been involved in childbearing since being hired (APM 133-17h).

Advice on Obtaining Grants and Awards

- Women and minority assistant professors should be encouraged to apply for faculty Career Development Awards.
- Assistant professors should be told how to obtain funds from the Research Committee and how to procure equipment through available University funds.
- Mentors should keep tabs on grant submissions, appropriate agencies, review content, etc.
- Chairs should assess the candidate’s grant activity for the possibility of proposing accelerated merits.

Using the Midcareer Appraisal Constructively

- Use the midcareer appraisal, like a student’s midterm exam, as a good time for pointing out problems to a candidate, but be careful about frightening a candidate who lacks self-confidence.
- Give supportive advice that encourages constructive change. Because of the isolation of women and minority assistant professors in many departments, they particularly need such encouragement to reassure them about their situation.
- Do not write glowing reviews for the midcareer appraisal unless the department can project its support at the tenure review. In some cases, midcareer reviews have been too positive and have failed to identify difficulties that could have been remedied if there had been adequate advising.
- Emphasize that criticisms and suggestions in the midcareer appraisal will be revisited in the tenure review.
- Show the candidate bibliographies of successful tenure cases in the department. These presumably set the standard. The files themselves are confidential but the bibliographies are not.

Advisors Beyond the Department

- Urge women and minority faculty members to meet their deans, their school’s Equity Advisors, and the Director of the Office of Equal Opportunity and Diversity. It is part of the responsibility of these people to be advisors to women and minority faculty and to be aware of resources they may need.
Counseling Faculty Through Difficult Reviews

- If a promotion case is at all controversial, encourage the candidate to request access to redacted copies of the confidential review records in the file and to request a copy of the department letter and vote. These must be made available within five days of the request so as not to delay the review.
- Be sure that the file contains no inappropriate material that could have influenced the outcome of the personnel review.
- Encourage candidates to verify their *Addendum to the Biography* (Form UCI AP-10) for completeness before signing, and encourage them to write a complete statement of their achievements to be included in the dossier. This self-statement will help the review committee understand the goals and pattern of a candidate's work.
- At the time of the promotion review, make sure that all relevant material is forwarded to outside reviewers and to subsequent review levels.
- Help the candidate construct the best list of outside reviewers, and make sure the department generates an independent list of appropriate outside reviewers. Send each referee a packet of material. Ask a staff member to call all those who do not respond fast enough, and keep records of the calls.
- Do not make assumptions about reasons for non-response, and make sure that others also do not.
- If any letter received contains inappropriate language, return the letter to the referee and ask that the letter be rewritten. All solicited letters have to be forwarded to the next level of review.
- Be sure the dean knows when your junior faculty, including women and minority faculty, have competing offers so that there is help preparing the best retention case possible.
PART II: ADVICE FOR TENURED FACULTY

You’ve made it over the tenure hurdle, and your colleagues have welcomed you as a permanent member of the department. What happens next?

A. MERITS AND PROMOTIONS

Post-Tenure Review

While the granting of tenure may be the most important decision affecting your career, the merit-based review system is an ongoing process that will occur every few years throughout your tenure at the University. Post-tenure review has only recently entered the national discussion, but at the University of California it is a well-established reality.

CAP sees the first merit review after tenure as an indicator of future progress, and so it will be especially important for you to keep up the momentum of your scholarly work after the tenure review. You will want to make good progress throughout the associate professor rank and on to full professor by way of a series of merit and promotion reviews.

Associate Professor Rank

For an associate professor, there are three normal steps – Step I, II, and III – each with a normal service period of two years before the next review. Thus, the normal period of service at the rank of associate professor is six years, after which time you should expect to be reviewed for promotion to full professor. The promotion review is similar in complexity to the tenure review.

Two additional steps, IV and V, may be used in certain cases for candidates who are not quite ready for promotion to full professor, but whose performance in research, creative activity, teaching and service is seen as meritorious. Steps IV and V are called “overlapping steps” because their salaries are virtually the same as Professor I and II. At one time, it was considered fairly normal for service at the overlapping steps to be counted as equivalent to service at the higher rank and to be promoted from Associate V directly to Professor III. However, CAP currently considers that, whatever the step the individual occupies at the associate level, normal promotion is to Professor, Step I. What this means is that a candidate could spend three years at Associate IV and three years at Associate V in addition to the normal six years at the associate rank, and then only be moved to Professor I at the time of promotion. For this reason, use of the overlapping steps is normally discouraged.
Full Professor Rank

For a full professor, there are nine steps. The first five steps have a normal period between reviews of three years. Beyond Step V, there is no normal period of merit review because there are additional, more stringent criteria for advancement. Advancement to Step VI requires great distinction and national or international recognition in scholarly achievement or in teaching. Advancement to Step VI, in terms of review, is similar to a review for promotion. Merit increases from Step VI to Step VII, Step VII to Step VIII, and Step VIII to Step IX usually will not occur after less than three years of service at the lower step, and will only be granted upon evidence of continuing achievement at the level required for advancement to Step VI. Advancement to an above-scale salary is reserved for scholars and teachers of the highest distinction whose work has been internationally recognized and acclaimed and whose teaching is excellent. This advancement review is also similar in process to a promotion review.

Career Review

If you think you may not be at the appropriate rank or step in relation to faculty of equal accomplishment, you may request a Career Review. The purpose of this review is to examine cases in which normal personnel actions from the initial hiring at UCI onward may have resulted in a rank or step not commensurate with the candidate’s overall achievement as assessed in the areas of research, teaching, professional activity, and service and in terms of the standards appropriate to the candidate’s field, specialization, and cohort. Additional information on Career Reviews is available on the Academic Personnel Website at www.ap.uci.edu.
B. RESEARCH AND PROFESSIONAL GROWTH

Keeping Research a Priority

It is important for your career that you set goals that will help you achieve promotion to full professor in a timely manner. Promotions and merit increases will be based primarily on your scholarly publication record, and therefore research should remain your priority. If you are in a department with many colleagues who receive accelerated merits, talk to your chair about the department’s criteria for both “normal” and “accelerated” advancement. Associate professors who are accelerated through the steps may achieve promotion to full professor earlier in their careers than others and may be looked upon as “rising stars.”

Continue to follow the good work habits you developed as an assistant professor—plan your academic schedule around your research agenda. Develop five-year plans. Use sabbatical leave opportunities wisely, combining them with grant or fellowship-supported leaves whenever possible.

Administrative Service – Pros and Cons

You will undoubtedly be asked to provide more department and campus service as an associate professor than you were as an assistant professor, when your time was somewhat protected. Service on departmental personnel committees and on campus ad hoc review committees will give you valuable insights into how the review process works. Service on administrative or Academic Senate committees will provide you with opportunities to network with faculty colleagues across the campus who you might not otherwise have the opportunity to meet. Service contributions are valuable to you and to the campus. However, they will drastically impact the time you can devote to your research and can slow down the rate at which you advance to full professor. Newly-tenured women and minority faculty need to be especially judicious about protecting their post-tenure research time.

If you have an interest in and talent for administrative service, you may be asked to take on a more time-consuming role, such as department chair or associate dean. Effective leadership is an important contribution to the University, and it may provide attractive rewards in the form of stipends or other additional pay. However, you should remember that merits and promotions are based primarily on scholarly achievement, and so you will need to protect your time for research. While APM 245-11, “Criteria for Evaluation Leadership and Service in the Academic Personnel Process,” indicates that reviewers will give credit for effective leadership up to the level of Professor, Step V, and that they will allow for reduced activity in teaching and/or research, the fact remains that good service
will not make up for poor performance in teaching or research. **Reviewers will expect to see substantial scholarly achievement for promotion.**

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**Developing a National and International Reputation**

In addition to maintaining an active research agenda, promotion to full professor and beyond is based upon developing a national and international reputation in your field.

National reputation is generally built on the originality and quality of research. It can be further enhanced by learning to be a well-organized, clear, and persuasive lecturer in your research field. Service on editorial boards, site-visiting teams, study sections, and consensus conferences takes time and effort, but such activities represent valuable contributions that help the profession as well as the individual. Be generous with your time when called upon to work for scientific societies in your field of endeavor. The education of young colleagues and their professional success constitute very important ingredients of your reputation.

International reputation is probably the most difficult to achieve and takes the longest time. It is based on national reputation, on the training of foreign research fellows, attendance at international meetings, service on international committees, and lectures and paper presentations at international meetings. When reached, it is the ultimate addition to your own prestige and to that of your department.
C. FOSTERING THE DEVELOPMENT OF MIDCAREER TENURED FACULTY – ADVICE TO CHAIRS AND OTHERS

Recognizing Faculty Achievements

- Find ways to recognize and convey appreciation for the ongoing achievements of midcareer tenured faculty. This can include pursuing nominations for university and national awards, as well as announcing/publicizing faculty achievements in faculty meetings and university publications.
- Consider the development of a nominations committee in the department to insure that opportunities for faculty recognition (at all ranks) are identified and strong nomination packages prepared.

Maintaining Salary and Resource Equity

- Faculty morale and retention can be enhanced by active efforts to avoid disparities in faculty salaries and resources. Inequities can be minimized through regular review of salaries, merit raises, teaching workloads, office and research space, committee service, nominations for awards, and opportunities for departmental leadership roles.
- Consider initiating proactive salary adjustments to redress inequities, rather than waiting for faculty members to become frustrated or to seek outside offers, thereby risking their loss to another institution.

Continued Advising

- Mid-career tenured faculty sometimes can benefit from advice and guidance about their career development. This is particularly true of individuals whose advancement from associate to full professor has become delayed as the result of reduced productivity. Make yourself available to meet with such individuals to discuss causes of the reduced productivity and ways to revitalize their scholarly activities. Providing a small amount of departmental seed funding or linking the faculty members to shared research facilities or sources of bridge funding to support new work may be effective. It may be useful in some cases to identify senior faculty members with active research programs who are willing to provide informal (and sympathetic) mentoring.
Developing Leadership within the Department

- Consider rotating the membership and leadership of important departmental committees at appropriate intervals so that faculty members have an opportunity to learn about different aspects of the department’s functioning. Rotating committee membership fosters the development of leadership potential within the department, insures that the committees benefit regularly from fresh ideas and perspectives, and reduces the probability that particular faculty members will feel excluded or devalued.
PART III: SPECIAL ISSUES FACING WOMEN AND MINORITY FACULTY

The promotion system in large research universities is designed for highly ambitious researchers who are attentive to the criteria for achievement in their professions. In the past, this career pattern has been predicated upon the availability of a partner to support career development, freedom from the tasks of childrearing to ensure uninterrupted periods of work, and freedom to make geographical moves to obtain the finest training opportunities and appropriate advancements. If you are a woman faculty member, you may face a variety of challenges in these areas as you negotiate your place in the still predominantly male academic world.

Ethnic minorities, both male and female, find themselves attempting to penetrate a traditional system of values and ideals that have long been the fountainhead of bonding among men of dominant social categories in higher education. Membership in academic departments can place such high expectations on the minority faculty member that anything other than superior performance can be perceived as failure. Appointment to faculty committees can take a tremendous toll, especially if you are committed to making your voice heard in a still predominantly non-diverse academy.

The following are some of the constraints that women and minority faculty members face when they try to fit into this work world. Included as well are a variety of options that are available to negotiate some of these constraints.

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Role Models

Women and minority faculty learn the role of a university professor in a world of predominantly white male colleagues. In many fields and in most university settings, it is rare to find full professors, deans, chancellors, and journal editors who are women and minorities. The small numbers of women and minorities in academic departments can place a spotlight on them and their performance, straining their interaction with white male colleagues, contributing to misperceptions by others of their accomplishments, and serving to isolate them professionally and emotionally. The relative absence of other women and minorities in leadership positions lessens the opportunities for the modeling of productive behaviors and reduces the chances to have professional opportunities passed on to younger generations of women and minority faculty.

Given this reality, minorities and women have different opportunities than do their white male colleagues for professional development in their fields. Often, information about grants or the politics of a department or opportunities for participation in professional activities are passed on to younger colleagues in informal settings to which minorities and women have less access. Through lack of power and through lack of access to the
occasions in which power is shared, they are offered differential opportunities for participation in the academic world.

Make a specific project of contacting and getting to know other faculty, especially those senior to you, who are in your field. These people frequently will have advice on both departmental and scholarly strategies and are often in a position to represent you (to recommend you for conferences, lectures, awards, etc.) in contexts in which you are not directly involved. Learn about equitable expectations and opportunities in your department by inquiring about the methods and criteria for allocating support facilities, research space, teaching assistants, graduate-student researchers, research committee funds, and teaching and committee loads. Contact the Faculty Equity Advisor and the Community Equity Advisor in your school for information about networking and additional opportunities.

Extra Professional Demands

Women and minority faculty tend to be in very high demand. They are invited to serve on many committees, particularly since pressure sometimes exists to diversify committee membership. They are asked to give many talks and to teach certain courses, all because there is a need to have their perspective represented. There is also pressure from the community for involvement and expertise. These community demands can be very time consuming, especially for minority faculty members, who can find themselves easily diverted from research by requests for consultation, expert testimony, participation on community boards, etc. In addition, women tend to be particularly responsive to requests for advising and service. Over-commitments to all these activities limit research development and the opportunity for promotion. Given this extra demand and their own responsiveness to it, women and minority faculty need to work harder to ensure uninterrupted periods for research and writing.

Teaching loads need to be reconsidered – not only how many courses you teach, but which courses. It is fair to request a reduced load from your chair, particularly if it is close to tenure time. The accommodations that can be granted by your chair will depend somewhat on the size of your department, so it may be politic first to inquire of your chair as to what is considered reasonable and what has been the general practice in this regard. It is important to teach some graduate courses where you have access to graduate students who could become involved in your work and increase your research productivity.

You can also ask for relief from committee assignments and advising functions. Do not let yourself be drawn too much into doing your department’s administrative work or even into University administration before you have tenure. If you find yourself being the token woman or minority member, discuss this with your chair and consider turning down some invitations. To add extra clout to your response of “no,” get your department chair to decline the invitation on your behalf. If you are asked to serve on a national
committee and want to do it (national committees provide evidence of a national reputation), you might get the department to trade that for department service. Any time you are asked to serve on a committee, be sure to bargain for the conditions you need.

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**Differential Treatment**

Many women become painfully aware that their status as a numerical minority and as a female affects how they are perceived. As women, their comments and actions are sometimes subtly and often unintentionally interpreted differently than are the behaviors of men. What might be viewed as “assertive” behavior in men may be interpreted as “aggressive” when exhibited by women. Collegial exchange between women faculty members may be interpreted as “gossip” or an organized “caucus.” A woman’s failure to behave in an expected “feminine” way (e.g., being supportive and nurturing of others) may be viewed in negative terms as being “selfish” and “out for oneself” – a quality that might, given different labels, be valued in male colleagues.

Ethnic minority faculty members, both male and female, also can experience many forms of differential treatment that undermine their self-confidence and make them feel like uninvited guests at a private club. They may be perceived by other faculty members as “affirmative action” hires, and thus judged (albeit erroneously) as less qualified and less competent than other colleagues. They may be excluded from informal and formal social activities, where much important information is shared. They may not be invited to collaborate on research projects or to teach doctoral seminars that will advance their careers. Finally, they may be expected to deal with all of the issues related to minority students and affirmative action, leaving their majority colleagues to handle “more important” matters. Students are also more likely to challenge and question the competence of minority faculty members, both in the classroom and in academic committees. These patterns of differential treatment may be subtle or blatant, but their presence creates anxiety, dampens morale, and impairs the performance of women and minority faculty members.

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**Geographical Constraints Affecting Women**

Historically, women who have a spouse/partner are more likely than men to be geographically bound to the area in which they live. Given the needs of two careers, they may not be as free to explore and accept important training opportunities, to collect data at away-from-home research sites, to expand their national and international relationships through sabbaticals, and to actively consider job moves. Women faculty are also less likely to receive outside job offers because of presumed lack of mobility. Yet evaluations of scholarship are heavily swayed by what geographical freedom can buy. In light of the difficulties inherent in two-career moves, women may avoid thinking about options that involve a geographical move, however short-term. Thus they might not pursue a job
offer that would demonstrate outside interest in their scholarly accomplishments. Nevertheless, outside interest can be critical in determining the level of appointment and in obtaining merit increases. Individuals who do not explore these outside opportunities may not be in as competitive a position as they could have been at promotion time. Thus, do not avoid pursuing outside interest, but do so judiciously, as the criteria for what defines a “competitive outside offer” often vary. Outside interest from prestigious institutions should be documented and brought to your chair's attention.

Childrearing vs. Career Needs

The intense period of early career development often coincides with the time when, for psychological and biological reasons, a young faculty member might like to start a family or might already be engaged in the care of young children. Hence, having children and "making it in a career" are sometimes on a collision course for women or for single parents of either sex who play active roles in child rearing.

The University asks for total allegiance and for virtually the full-time commitment of those engaged in career development, leaving family responsibilities very much in second place. While this must change, the change is slow in coming. Also, the difficulties of early careers are compounded by a promotion process requiring you to prove yourself within a specific time period. Historically, the eight-year time limit was introduced by universities in response to criticism that it was unfair to keep a faculty member employed at a junior level without either promotion or dismissal. Unfortunately, pregnancy and childbirth, and the ongoing responsibilities of raising children and managing an intensely demanding academic job, make the five-years before tenure review (and the three-years before the midcareer appraisal) times of special pressures on all involved.

If you have substantial responsibility for the care of an infant or newly adopted child under age five during your pre-tenure years, you may request an extension of the eight-year clock for each event of child birth or adoption. The clock may be stopped more than once, and you may have up to two years total off the clock (APM 133-17). This policy attempts to take into account the difficulty junior faculty have in teaching and doing research while raising children. However, there is a long way to go before childbearing/rearing and career patterns can more easily fit together for the young parent and faculty member.

It is possible, financial circumstances permitting, to take a leave without pay in order to better juggle your research, writing, and domestic responsibilities. Relief from teaching duties can go a long way in helping to balance commitments.

University policy regarding leave time for the birth or adoption of a child, as well as time off the tenure clock for childrearing duties, may be found in the following sections of the Academic Personnel Manual:
• APM 760, *Childbearing Leave, Parental Leave, and Active Service-Modified Duties*
• APM 715, *Family and Medical Leave*
• APM 133, *Limitations on Total Period of Service with Certain Academic Titles*

Current APM policy allows natural birth mothers about six weeks of childbearing leave (usually with salary), which may be preceded or followed by several weeks of "modified (University) duties." This "modified duties" option has also been extended to natural birth fathers and adoptive parents of either sex. 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 760-27). It is helpful to consult with a number of recent birth or adopting parents about practices in your department or school.

Language and Other Differences

Culture shock is a very real experience for some minority and/or immigrant faculty who grew up and received all or part of their training outside of the United States or for whom English is a second language. It takes time to catch up on communication skills—not just daily communication, but the ability to teach effectively and master the art of writing papers and grant proposals independently in a reasonable and timely manner. It is essential for these issues to be addressed early in your career in order not to waste time and opportunities.

The Need for Further Change

Despite the gains that have been made and the options that are now open, there is still much room for change. In considering the University and the tenure process, women and minorities may tend to think, “**We must fit in—we must adapt** to the process; it will not adapt to us.” However, if women and minority faculty continue to ask for what they need, to forge new directions, then perhaps institutional procedures might bend a little and eventually open up to new influences.

It is important to work actively to change career constraints for women and minorities. We need to identify the necessary conditions for success and try to implement them. We need to move beyond exceptions-to-the-rule toward the development of new policy. Each strategy in and of itself is piecemeal, only addressing a single aspect of career constraints.

For example, the granting of extra time before the tenure review may mask the fact that countless other factors (such as access to grants, publication outlets, etc.) still militate against the success of women and minorities. The extra time may be a small drop in the
bucket of the real-time problem you might face as part of a dual-career couple with children in a world that rewards regular and early achievement. Or in the granting of extra time, the time clock may never really stop. It might be viewed as extra years in which more should have been accomplished. Nonetheless, if with extra time you can accomplish a great deal, that achievement can make all the difference in the tenure review process and is worth pursuing despite the dangers of misinterpretation.

If women and minorities become informed about the tenure process and actively press for conditions and resources they need to succeed, the precedent for rethinking procedures will grow and with it, the possibility that career development patterns may better fit the needs of all.
Nondiscrimination and Affirmative Action Policy Statement

The University of California prohibits discrimination against or harassment of any person employed by or seeking employment with the University on the basis of race, color, national origin, religion, sex, physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran.¹

The University of California is an affirmative action/equal opportunity employer. The University undertakes affirmative action to assure equal employment opportunity for minorities and women, for persons with disabilities, and for covered veterans.

University policy is intended to be consistent with the provisions of applicable State and Federal laws.

Inquiries regarding the University’s equal employment opportunity policies may be directed to:

Kirsten K. Quanbeck, Director
Office of Equal Opportunity and Diversity
University of California
4500 Berkeley Place
Irvine, CA  92697-1130
Telephone: (949) 824-5594

Printed August 1986; revised and reprinted July 1990; revised and reprinted July 2003

¹ Covered veterans are special disabled veterans, recently separated veterans, Vietnam era veterans, or any other veterans who served on active duty during a war or in a campaign or expedition for which a campaign badge has been authorized.
SECTION I - Teaching Activity during review period

A. COURSES TAUGHT
   Include information in the appropriate column below. Asterisk (*) classes for which evaluations are supplied and underline all regular courses (not independent study supervision). For clinical teaching, use Form AP-10A and attach here.

<table>
<thead>
<tr>
<th>QUARTER/YEAR</th>
<th>COURSE #</th>
<th>TITLE</th>
<th>ENROLLMENT</th>
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</thead>
</table>
SECTION I - Cont'd.

B. ADDITIONAL ITEMS THAT RELATE TO YOUR TEACHING

1. Doctoral students supervised (indicate dates, and whether as chair, co-chair, or committee member):
   (a) those who received their Ph.D.
   (b) those who advanced to candidacy
   (c) pre-dissertation committees
   (d) other research supervision

2. Master’s thesis students supervised (indicate whether as chair, co-chair, or committee member).

3. Postdoctoral Scholars supervised.

4. Undergraduate Student Research Supervision – UROP, honors courses, 199’s.

C. TEACHING AWARDS and SPECIAL PEDAGOGICAL ACTIVITIES
   List here other evidence of teaching activities and quality, especially teaching awards received in this review period. Also indicate supervision of students in special educational projects (e.g. funded programs) not named in B above.

D. TEACHING MATERIALS
   List here the following types of items as they relate to university teaching: (1) textbooks or textbook chapters published; (2) on-line or multi-media instructional programs and resources; (3) unpublished laboratory preparations or manuals, course guides and packets, etc. Asterisk (*) items included in the file.

E. DIVERSITY
   List here teaching activities that promote the University’s mission of increasing diversity (see APM 210).
ADDENDUM

for the review period

October 1, 20____ through September 30, 20____

Name: _______________________________
SECTION II - Research and Creative Activity during review period

A. PUBLICATIONS AND CREATIVE ACTIVITY NOT CONSIDERED IN A PRIOR REVIEW
List research publications and evidence of creative activities during this review period, using the categories below. When there is co-authorship, list authors in the published order. For co-authored or collaborative work, state your role and/or share of contribution (e.g., primary author, 50% co-author, secondary author; statistical expert). Include (and designate as such) reprintings, translations, restagings or other appearances of your work previously credited only if they involve significant and creative reworkings.

Please number/order all publications to coincide with your curriculum vitae.

<table>
<thead>
<tr>
<th>Category</th>
<th>Publication or Creative Work</th>
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<td>Books</td>
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<td>Journal articles, peer-reviewed</td>
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<td>Book chapters, peer-reviewed</td>
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<tr>
<td>Conference proceedings papers, peer-reviewed</td>
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<tr>
<td>Journal articles, other</td>
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<tr>
<td>Book chapters, other</td>
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<tr>
<td>Edited books/Special journal issues</td>
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<tr>
<td>Published creative work (fiction, poems, plays)</td>
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<tr>
<td>Other published writings</td>
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</table>

CREATIVE WORK CATEGORIES
Performing Arts (indicate when juried/invited/commissioned; note first performances).
Visual Arts (indicate when juried/invited/commissioned; note first public exhibitions).
Patents (indicate whether awarded or submitted).

Do not list here manuscripts under review, incomplete work under contract, or other work in progress, such as working papers (for major works, use Section II C, Completed Parts of Larger Works). Do not list here work previously submitted as work-in-progress whose status has changed (use Section II B). For files following any “No Action” decision, include here only new work since the “No Action” decision.
SECTION II - Cont'd.

B. WORK PREVIOUSLY SUBMITTED
   List work submitted in a previous review only if it remains or has become eligible for consideration in the present review, and if appropriate, state how its status has changed. Previously submitted creative works that have been restaged, reprinted, translated, re-exhibited, etc., may be listed here. (As in the past, for promotions and for advancement to Professor, Step VI, or Professor Above Scale, list previously submitted work completed since the last change of rank. For files following any “No Action” decision, include all work done since the last successful advancement in step or rank and not included in Section II A.)

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<tr>
<th>Category</th>
<th>Publication or Creative Work</th>
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SECTION II - Cont'd.

C. COMPLETED PARTS OF LARGER WORKS (OPTIONAL)

This optional section is designed only for the rare cases of self-standing units of very large, multi-year projects that will not be published, performed, or otherwise made public until the whole work is complete, but that can and should be evaluated by the department or extramural reviewers. Such submissions would include movements of a symphony, completed chapters of a scholarly book, or short stories to appear in a single-author collection. Drafts of any kind, manuscripts in preparation, manuscripts submitted to journals but not accepted for publication, creative writing that is not complete, unpublished descriptions of clinical or other population-based surveys, and the like should not be listed.

Anything listed here in Section II C. must appear in Sections II B., Work Previously Submitted, in a subsequent merit or promotion action, even when the final, complete work is submitted as a new item in Section II A. The previously submitted units will have no weight of themselves in a later merit (within-rank) action. In addition, submission of a “completed unit” will diminish proportionately the significance of the “completed whole” in a later merit action. (Credit for previously considered work in promotions, and in advancements to Professor Step VI and Professor Above Scale follows the guidelines stated in Section II B.)

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<tr>
<th>Category</th>
<th>Publication or Creative Work</th>
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D. CONTRACTS, GRANTS, FELLOWSHIPS

List such awards using the columns below and indicate if this information was previously submitted.

* Indicate your role as PI, co-PI, or other (co-investigator, sub-contractor, consultant), as well as the % of role, if a Co-PI. If not a PI or co-PI, designate the PI names in a footnote.

** Indicate amount for date period and whether the amount is total funding or direct costs.

<table>
<thead>
<tr>
<th>Previously Submitted?</th>
<th>FUNDING SOURCE</th>
<th>NUMBER or TITLE</th>
<th>ROLE*</th>
<th>AMOUNT** of Award</th>
<th>Date Span</th>
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<tr>
<td>YES</td>
<td>NO</td>
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E. DIVERSITY

List here creative activities that promote the University’s mission of increasing diversity (see APM 210).
SECTION III-- Professional Recognition and Activity during review period

Where pertinent, include information on the nature of the activity, your role, and dates of service:

A. HONORS, AWARDS, ELECTION

Honors and awards

Election to offices in professional societies and scholarly organizations

B. PROFESSIONAL ACTIVITY

Invited presentations at educational, governmental institutions (or similar organizations)

Invited presentations at professional meetings

Other presentations at professional meetings

Professional on-line resources produced/edited/ maintained

Professional articles in this period about you or published reviews of your work (Do not include publicity material.)
SECTION III - Cont'd.

C. OTHER PROFESSIONAL SERVICE

Service to professional societies (committees, session chair, conference organizer, etc.)

Journal Editor / Membership on journal editorial boards

Standing member of review boards for funding agencies

Ad hoc service as reviewer of manuscripts and referee of proposals

Consulting activities (industry, government; indicate whether paid or pro bono)

D. DIVERSITY

List here professional activities that promote the University’s mission of increasing diversity (see APM 210).
SECTION IV - University & Public Service during review period

Provide information on the nature of the activity, your role, and dates of service.

UNIVERSITY/SYSTEMWIDE - Academic Senate, Administrative Service; Senate Assembly; MRU, UCOP

CAMPUS - Academic Senate and Administrative Service:

SCHOOL

DEPARTMENT (other than listings in Section I)

COMMUNITY (including activities related to the improvement of elementary and secondary education)

DIVERSITY (include service that promotes the University’s mission of increasing diversity (see APM 210)

I certify that the information on this Addendum to the Biography form is correct:

__________________________  ____________________________
Signature                  Date