Merits and Promotions for **Senate** Faculty

February 13, 2023

UCI School of Medicine

Faculty Development Series 2023

Monthly on Mondays
5:15 pm – 6:15 pm
Location: ZOOM

Presented By:
Associate Dean for Faculty Development Senate
Brian J. Cummings, PhD
&
Associate Dean for Faculty Development Non-Senate
Nimisha K. Parekh, MD

Academic Affairs Leadership

Geoffrey W. Abbott, PhD
Vice Dean, Basic Research
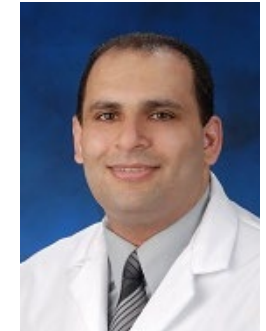Senior Associate Dean, Academic Personnel
School of Medicine

Kyoko Yokomori, PhD
Associate Dean for Academic Affairs (Senate)

Mohammad Helmy, MD,
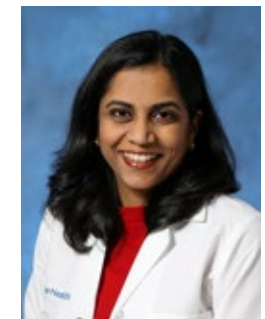Associate Dean for Academic Affairs (Non-Senate)

Brian Cummings, PhD
Associate Dean, Faculty Development (Senate)

Nimisha Parekh, MD, MPH
Associate Dean, Faculty Development (Non-Senate)

Today we are covering...

SOM Senate Faculty (and Adjuncts)

- In Line (Senate - tenure track)

- In Residence (Senate)

- In Line/In Residence (50/50)(Senate)

- Clinical X (Senate)

- Adjunct (non-Senate)

HS Clinical were covered on 1/31/23 – see Dean's website for recording

Review frequency (years)

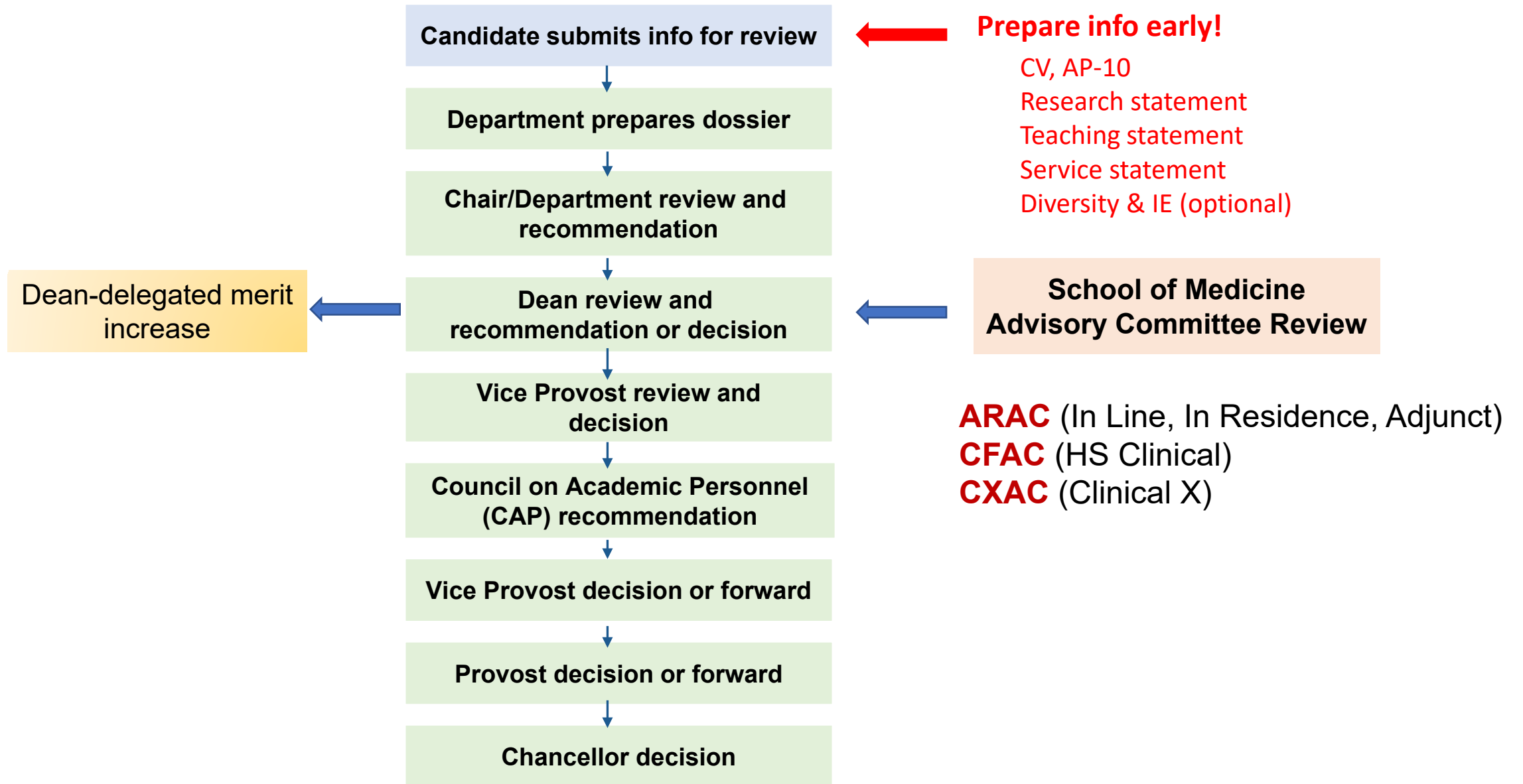| Professor Series or Equivalent Titles					
Assistant Professor 8 year limit, tenure-track		**Associate Professor** 6 years normal, tenured		**Full Professor** Indefinite, tenured	
Step	Period of Service (years)	Step	Period of Service (Years)	Step	Period of Service (Years)
I	2				
II	2				
III	2				
IV*	2				
V	2 (overlapping step)	I	2		
VI	2 (overlapping step)	II	2		
		III	2		
		IV	3 (overlapping step)	I	3
		V	3 (overlapping step)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
				IX	4 normal minimum
				A/S	4 normal minimum

MCA (mid-career appraisal)

6 years typical 8 years max

Indefinite (reviewed at least every 5 years)

Above scale (Distinguished Professor)

The Review Process

Candidate submits info for review ← **Prepare info early!**

CV, AP-10
Research statement
Teaching statement
Service statement
Diversity & IE (optional)

Department prepares dossier

Chair/Department review and recommendation

Dean review and recommendation or decision ← **School of Medicine Advisory Committee Review**

Dean-delegated merit increase

Vice Provost review and decision

ARAC (In Line, In Residence, Adjunct)
CFAC (HS Clinical)
CXAC (Clinical X)

Council on Academic Personnel (CAP) recommendation

Vice Provost decision or forward

Provost decision or forward

Chancellor decision

Initial appointment/change of series, promotion, acceleration (≥2 years), and advancement to Step VI and to A/S are reviewed by:

- In Line (Senate - tenure track)
- In Residence (Senate)
- In Line/In Residence (50/50)
- Adjunct (<u>non-Senate</u>)

- Clinical X (Senate)

ARAC
Academic Resources Advisory Council

CXAC
Clinical X Advisory Committee

Evaluation Cycle

Assistant Professor

- Each step is Dean-delegated - except mid career appraisal (MCA) and acceleration(s)

- Merit file submission after 1 year of hire, then every 2 years

- MCA after 3-4 years— MCA goes to CAP
  - If you do this together with merit review, both go to CAP.

- Typically, promotion after 6 years.
  - 8 years "up or out"
  - Stop the clock (regular 2 year + COVID 1 year, up to 3 years)

MCA
(mid-career appraisal)

6 years typical
8 years max

Assistant Professor		8
year limit, tenure-track		
Step	Period of Service (years)	Step
I	2	
II	2	
III	2	
IV*	2	
V	2 (overlapping step)	I
VI	2 (overlapping step)	II
		III
		IV
		V

Associate Professors

- Steps I-III, every 2 years

- Steps IV and V, every 3 years

- Step IV overlaps with Professor Step I

- Step V overlaps with Professor Step II

- Consider promotion after 6 years

- Every other normal merit is Dean-delegated.

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		IV	3 (overlapping step)	I	3
		V	3 (overlapping step)	II	3
				III	3
				IV	3
				V	3
				VI	3
				VII	3
				VIII	3
				IX	4 normal minimum
				A/S	4 normal minimum

Professor

- Merit every 3 years for Steps I through VIII

- Step V and above can be indefinite and requires review every 5 years even with no action

- Step V to VI is similar to promotion (without outside letters)

- A/S "above scale" is "Distinguished Professor" (IX to A/S requires letters)

- Merit review every 4-5 years for Step IX and above scale.

- Some steps are CAP reviewed and some are Dean-delegated.

Professor Series or Equivalent Titles					
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		V	3 (overlapping step)	II	3
				III	3
			DD	IV	3
				V	3
			CAP →	VI	3
			DD	VII	3
			CAP	VIII	3
			DD	IX	4 normal minimum
			CAP →	A/S	4 normal minimum

Evaluation criteria

Teaching/mentoring
Excellent teaching evaluations
Record of mentoring

Adjunct series only requires two out of three activities (research, teaching and service)!

Creative activities
Evidence of independent and robust research program.
Peer-reviewed original publications as a first or senior author
Grant funding and/or clinical trials as a PI

Services
Evidence for professional recognition
List of professional and university service activities

Clinical competence

Above-Scale Actions

	Action	Timing	% increase on total salary	Clock	Expectations
1	Merit Plus	4 or 5 years	10	reset	Excellence in all three areas.
2	Merit	4 or 5 years	8	reset	Excellence in scholarship and second area; No area subpar.
3	No change	4 years	0	not reset	Does not meet standards for merit at 4 years; Required review in year 5.
4	Satisfactory	5 years	4	reset	Continuing contributions in all review areas. No area subpar.
5	Unsatisfactory	5 years	0	not reset	Three year action plan with yearly progress reports required.
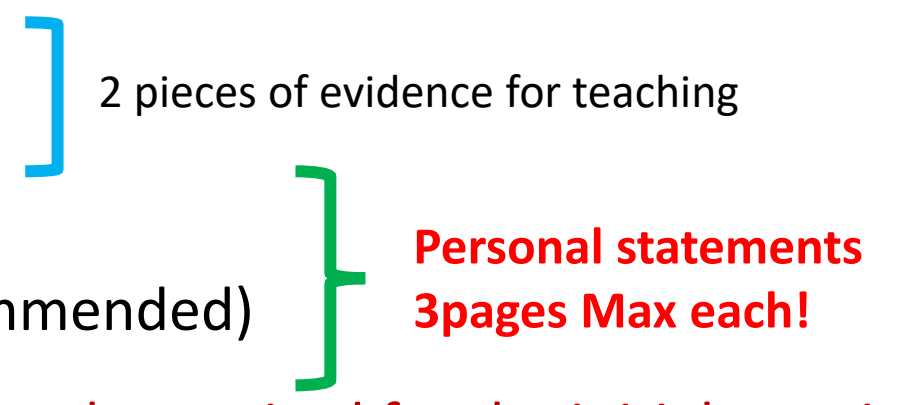
Preparation for file submission 2023-2024

Personnel Review Action	Due Date
Chair meets with Faculty to discuss Proposed Academic Actions	March 2023
Proposed Academic Action Report submission to Academic Affairs Office	May 1, 2023
Solicitation of Letters of Recommendation (Promotions & Advancement to Above Scale)	June 1, 2023
Academic Affairs Office will accept early file submission	August 1, 2023

File Submission Deadlines 2023-2024

Academic Affairs Office will accept early file submission	August 1, 2023	
Postponement of Tenure Review Files Merits, including one-year accelerations Accelerated Merits of two years or more Advancement to Professor Step VI No Change Reappointments Midcareer Appraisals Fifth Year Reviews	October 3, 2023	September 30, 2023
Faculty Promotions (normal & accelerated) Deans Delegated Accelerated Merits	November 1, 2023	
Promotions (non-faculty academics) Non-reappointments Above Scale actions Merit, Deans Delegated All other actions, including non-Senate actions	December 1, 2023	

What documents are needed?

- **AP-10 Addendum**----This is the primary review file. All information during the review period should be included.

- CV (information of your entire career)

- Outside letters (only mandatory for initial appointment, promotions, and advancement to Professor Above Scale)---**please include letters from other UC campuses!**

- **Teaching evaluations**

  2 pieces of evidence for teaching

- **Reflective teaching statement** (required)

- **Research statement** (if applicable)

- **Service statement** (not required but recommended)

  Personal statements 3pages Max each!

- **Inclusive Excellence/Diversity statement** - only required for the initial appointment
  - optional for merit/promotion review, if there is something you want to highlight
  - CAP typically prefers this information to be included in AP-10 for merit/promotion review

AP-10 Addendum (new version!)

(last updated 6/2022)

❑ **The role of the faculty member is to input all the information in AP-10, prepare personal statements and provide CV, teaching evaluations and publications.**

❑ **The role of the analyst is to review and make sure that the information provided is within the review period, and complies with policy and procedures**

a new section for Professional Development Activities in each of the three review areas

Examples:
- Teaching: Participation in DTEI (Division of Teaching Excellence and Innovation) workshops
- Service: Participation in Leadership training programs
- Research: Participation in grant writing workshop

Review of Submitted Material

Careful review of materials/dossier prior to submitting to the Dean's office will help to avoid/minimize a delay and/or return of the file to the department.

Evaluation criteria

Teaching/mentoring
Excellent teaching evaluations
Record of mentoring

Adjunct series only requires two out of three activities (research, teaching and service)!

Creative activities
Evidence of independent and robust research program.
Peer-reviewed original publications as a first or senior author
Grant funding and/or clinical trials as a PI

Services
Evidence for professional recognition
List of professional and university service activities

Clinical competence

UC-AP-10 Addendum

Section I----Employment history

Section II----Teaching/mentoring

Section III----Creative activities

Section IV----Profession recognition/Clinical competence and service activities

Section V----University services

Section II. Teaching/mentoring

- <u>Good teaching is essential for advancement</u>

- Classroom and laboratories, wards, operating room, and clinic

- Clinical teaching of medical students, residents and fellows

- Mentoring of graduate students and postdoctoral scholars

- More weight given to teaching activities for which **evaluations** are provided
  Tip: collect your own if you are uncertain surveys were administered

- Department Administrators can provide specific information on **teaching evaluation** content and format

- Reflective teaching statement: discuss your teaching philosophy and creative teaching methods/tool development, and address negative comments or steps taken to address prior issues

Teaching

❑ <u>Reflective Teaching Statement</u>
- ▪ CAP looks for candidate's engagement with teaching evaluations, addressing any problems and explaining how they are / were resolved.

❑ Student Evaluations of Teaching (SET)
- ▪ Include most recent SETs, <u>up to last 5 years</u>
- ▪ Response rates are important (indicate if low response rates are normal within unit)
- ▪ Student comments are often more valuable than numerical scores
- ▪ CAP discusses potential gender/ethnicity/race biases in teaching evaluations and related concerns.
- ▪ Any major negative comments should be addressed in <u>the teaching statement and the department letter</u>.

Section III. Research and Creative Activity

- **Publishing <u>peer-reviewed</u> original research articles**, case reports, review articles ("invited" review is a plus), and book chapters
  - Important to publish as a <u>first or senior author – corresponding author status is crucial</u>
  - Middle authorship should be documented/explained (subject matter expert, supply of special resource, expert analysis of dataset). Do not assume CAP will understand your role.
  - Evidence of impact: author- or paper-level metrics (*not required but can be used*)
    - **H-Index** in Google Scholar or Semantic Scholar: an **author**-level metric that measures both the productivity and citation impact of the publication. H-index should increase each year.
    - **iCite**: Relative Citation Ratio (RCR) values, which measure the scientific influence of **each paper** by field- and time-adjusting the citation.
    - **Impact Factor (IF)**: a measure of the frequency with which the average article in a journal has been cited in a particular year. It is used to measure the importance or rank of **a journal**.

- Publishing <u>case reports, review articles, and book chapters, development of teaching materials or web site content, and clinical trials</u> are also considered important creative activity for Clinical X and Adjunct faculty members.

Section III. Research and Creative Activity

- **Extramural funding** (grants) and/or **investigator-initiated clinical trials** as the PI, MPI or site-PI

- **Current research protocols** that have IRB approval but for which the clinical trial has not yet been funded or initiated can be mentioned in the research statement

Research and Scholarly Activity

❑ AP-10 bullet points with supporting self statements that are clear, concise and provide additional context (*see below*) are helpful.

❑ CAP looks for connections between research activity, impact and leadership.

■ Example: For co-authors, co-artistic directors, designers, collaborators, "team science," inter- or cross-disciplinary work – Provide context: did the candidate initiate the work? Did they have a minor or a major role in the development and final production of the work?

❑ Research grants, external funding:

■ A mark of stature/ research accomplishments

■ Explain grant / funding totals – indicate candidate's role as PI or Co-I

Section IV. Professional Recognition and Activity

- <u>Awards</u> and Honors, media coverage

- Participation in activities of clinical and/or <u>professional organizations</u>

- Membership on <u>editorial boards</u> and manuscript review

- Grant review, NIH and other <u>study section membership</u>

- <u>Invited lectures</u> at other institutions and professional meetings

- Accepted Abstract/Poster Presentations at Professional Meetings

- Community service outreach activities

- Mentorship of other faculty

Clinical competence
- Evidence of provision of high-quality patient care (e.g., Best Doctor, USA)
- Board certification
- Leadership role in your division, clinical program (this should be in Section V)

Section V. University Service

- Department, SOM, campus-wide, or UC-wide committees

- Hospital committees (this should be under SOM)

- Department Chair, Division Chief, Organized Research Unit (ORU) Director and other leadership roles

- Less service is expected from Assistant Professors

- Significant service/leadership is expected at higher ranks (for senate faculty, campus-wide service is expected to ensure shared governance of the University of California).

Service, cont..

❑ Context in service activities is essential
- CAP looks for <u>levels of leadership, effort and main contributions</u>, not long lists of service activities.
- For example:
  - How many hours/years?
  - Compensated or volunteer? What is standard in the department?
  - Editorial work: How many papers reviewed? Top journals or blog?

❑ <u>Higher levels of service are required at higher steps</u>.

Diversity

- CAP encourages the candidate to include their work in inclusive excellence and diversity where appropriate *in* the AP-10.

- If you feel strongly that your inclusive excellence/diversity efforts warrant a separate statement, you are free to provide a separate statement. https://ap.uci.edu/faculty/guidance/ieactivities/

- It is helpful if these contributions are also highlighted in the departmental letter.

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Line, In-Residence, Adjunct Series

❑ **Promotion to Associate Professor** requires regional or national recognition for research. Should be an independent investigator and demonstrate excellence in teaching, and excellent professional activity and appropriate service

- Excellence in Teaching
- Evidence for an independent research program that can attract extramural funding
- Professional recognition (journal reviewer, some invited talks, etc.)
- Service activity can be limited (e.g., undergraduate research poster judge, library committee, departmental faculty search committee…)

❑ **Promotion to Professor** requires national or international reputation for research, excellence in teaching, highly meritorious service, and excellence in professional activity

- Regional or National reputation for Clinical Activities and/or Research
- Excellence in Teaching and Professional Activity
- Highly meritorious Service
- May have leadership role(s) in department or hospital

Adjunct series only requires two out of three activities (research, teaching and service)!

Clinical X Series

❑Promotion to Associate Professor requires a local or regional reputation in creative activities, excellence in teaching, appropriate University service, and distinguished accomplishments within a clinical specialty

❑Promotion to Professor requires regional or national reputation in creative activities, excellence in teaching, highly meritorious service, and superior accomplishments within a clinical specialty and may have a leadership role in a department or hospital

I need more time!

No action (<u>reappointment</u> for Assistant Professor)

- Formal review but no merit increase or promotion.
- 2 consecutive "no action" requires an Action Plan with measurable goals, and a subsequent "Progress Report".

Stop the Clock (STC): <u>Assistant Professor only</u>

- COVID
- Personal and family reasons.

Deferral: <u>Associate and Professor only</u>

- If your last review was positive, a merit or promotion review can be deferred for one year.

❖ Defer a Mid-Career Appraisal: **must** be submitted by **the end of the faculty member's third year (by June 30)**
❖ Notification to "Stop the Clock" is submitted after the Mid-Career Appraisal: **must** be made **before July 1 of the academic year in which a tenure or promotion review is to occur**

Should I accelerate?

Important criteria for acceleration

- There are 1-year, 2-year and/or whole step (or more) accelerations

- One must be outstanding (far-above-typical accomplishments) in _two out of three areas_ (research plus either teaching or service) and at least satisfactory in the third area

- **An analytical rationale for acceleration (outstanding in which two areas?) must be included in the Department Letter!**

- CAP will also strongly consider excellence in activity related to diversity and broad impacts of inclusivity as a criterion for acceleration if all other areas of review are similarly strong

Accelerations

❑ Require outstanding achievements in 2 areas and acceptable contributions in third area
- Professors: Outstanding research and outstanding service or teaching

❑ If department discussion suggests there may be mixed support for acceleration
- Department should vote on acceleration and take a second vote for normative action (if this is a required review cycle)
- Candidate can elect to have file moved forward with acceleration request even if not supported by the department

❑ Stats on accelerations in 2020-21
- Proposed accelerations = 27% of all cases
- Accelerations recommended by CAP = 17% of all cases
- Accelerations approved as final decision = 16%
- There is a higher bar required for accelerations through major steps (promotion to associate, full, advancement to Prof VI and Above scale) and more than one step (e.g. Prof I to IV) than for other requests

SOM (FY20-21): ~17% went for acceleration and ~57% success rate

Overall Success Rates for Advancement to Step VI and Above Scale

Committee	Total Files	Approved	Denied	Success Rate
ARAC	53	50	3	94%
CXAC	7	7	0	100%
CFAC	13	12	1	92%
CAP (ARAC Files)	47	37	10	79%
CAP (CXAC Files)	7	5	2	71%

(taken from the presentation (9/22) by Drs. Abbott and Helmy)

CAP may deny promotion (or merit or acceleration), then what?

- CAP provides a tentative decision

  -New information may be requested by CAP, but a well-prepared file should have contained all information necessary

  -For tenure review, you may submit updates (new grant or publication) even after the Nov 1 deadline

- You may accept the decision, or withdraw the file and resubmit in a following year (subject to 8y rule for Assist. Profs)

"You"

Chair and Department

ARAC or CXAC

Dean

Vice Provost

CAP

Vice Provost

EVC

Chancellor

CAP tentative decisions

- As per normal process, faculty going up for promotion to Associate rank can add new materials until the final decision

- Tentative decision letters from CAP requesting additional information will continue to be optional, not mandatory, when there is disagreement between CAP and school recommendations

My activities and duties have changed. Switch series?

A change of series is a type of *new* appointment for an individual whose last appointment was within the University of California, usually in a faculty title.

A change of series may occur because an individual's duties change.

A regular academic review is required for this action. Typically, a competitive search is required.

Switch series?

To Clinical X series:

- Creative activity (publications) related to your clinical specialty is necessary in addition to clinical teaching, service and clinical excellence.
- Research grants are not necessarily required, but clinical research/trials as the PI/site-PI are typically part of creative activities, in which you need to demonstrate your leadership and peer recognition for career advancement.

To In Residence series:

- Although this is a yearly contract and salary needs to be covered by your grant/clinical activity, the requirements for career advancement are same as in line series.

To In Line series:

- The Department needs to have an FTE in order to hire an in line faculty member.
- Although 11-month salary is covered by the state, you are expected to have significant research funding (extramural) as the PI/MPI.
- Accomplishments in all three areas (research, teaching and professional/university service) are required for career advancement.

To Adjunct series:

- You need to cover your own salary
- Only two out of three categories are necessary for career advancement.

To HS Clinical series:

- Clinical service and clinical teaching are necessary.
- Increasing reputation for clinical excellence is necessary for career advancement.

❖ Switching between In residence and In line does not restart the clock!

❖ Restarting the clock means that you cannot include your accomplishments in previous series in your AP-10 for subsequent merit reviews (you can in your CV).

Junior Faculty mentoring mechanisms in SOM

- Faculty mentor (assigned at the time of hire)

- Departmental mentoring committee

- Associate Dean of Faculty Development (Brian Cummings)

  - Assistant Prof Slack channel - *somassistantp-bi13662*

  - Post MCA meeting (with Cummings and Yokomori)

  - Invitation to "observe" ARAC and CXAC meetings (twice)

  - "Monthly on Monday" faculty development seminar series

- NIH Bootcamp (assisting extramural grant submission)

- SOM mentoring committee (pre-MCA)

  - Main committee covering in line and in residence

  - Subcommittee covering CLINX

Helpful Websites

AP-10 addendum (2022-06) can be found at
https://ap.uci.edu/forms/

Office of Academic Personnel-Resources for Faculty:
https://ap.uci.edu/faculty/

Academic Personnel Manual:
http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/index.html

Council on Academic Personnel FAQ:
https://docs.google.com/document/d/1XCZNTNDiyZF3KNamkxKQkqeSP1hUU6gdX2WkehK3Dr4/edit

Guidance for preparing review files and statements
https://ap.uci.edu/faculty/guidance/

New SOM Academic Affairs Office web site is (almost) ready!

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Topics:

Merits and Promotions for HS Clinical Faculty
Nimisha Parekh, MD
January 23rd

Merits and Promotions for Senate Faculty
Kyoko Yokomori, PhD & Brian Cummings, PhD
February 13th

Running Effective Meetings
Amy Oxentenko, MD
March 13th

Physician Leadership Crisis/Gaps
Sachin Jain, MD, MBA, FACP
April 10th

Coaching vs. Mentoring
Amanda Swain, PhD & Peter Donovan, PhD
May 8th

How to Complete AP-10 Form (Clinical and Non-Clinical)
Kyoko Yokomori, PhD, Nimisha Parekh, MD &
Brian Cummings, PhD
June 12th

Managing Career Relationships & Career Development
Valerie Vaughn, MD, University of Utah
July 17th

Using Technology for Effective Learning
Warren Wiechmann, MD & Julie Youm, PhD
August 14th

Networking & Social Media in Science & Medicine
Sylk Sotto-Santiago, MBA &
Ester Dan-Phuong Ho, MD
September 11th

Culinary Medicine & Wellness
Executive Chef Jessica Vanroo
October 16th

Leadership Pathways in Academic Medicine
Michael J. Stamos, MD, Coleen Cunningham, MD &
Steve Goldstein, MD, PhD
November 13th

School of Medicine Operations
Rebecca Brusuelas-James
December 11th

Registration Link: https://uci.co1.qualtrics.com/jfe/form/SV_6lFTKFmwev3DOV8

Zoom Link: https://ucihealth.zoom.us/j/94971582741?pwd=U3VhakdXdmpWaGM1SFJ5UTFOMFR5Zz09