



Mid-Career Appraisal (MCA)

September 2023

Mid-Career Appraisal (MCA)

[APP 3-50: Assistant Professors – Special Considerations](#)

Department chairs are responsible for conducting Mid-Career Appraisals of **Assistant Professors** and persons in equivalent ranks during the **third or fourth year of service**, under the eight-year rule

Purpose: The department must provide the Assistant Professor with a **careful and analytical evaluation** of his/her performance to date (including work in progress) in the areas of teaching, research and creative work, professional competence and activity, and university and public service

To make a **candid assessment** concerning the *probability* or *improbability* of a favorable promotion decision based upon continuation of record

Normal Time at Rank/Step

APP 3-40 Appendix I

Professor Series or Equivalent Titles

Assistant Professor		Associate Professor		Professor	
<i>(8 year limit, tenure-track)</i>		<i>(6 years normal, tenured)</i>		<i>(indefinite, tenured)</i>	
Steps	Period of Service (years)	Steps	Period of Service (years)	Steps	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


Open Step: Can come up for review at year 3, 4, or 5; except step IX and A/S (year 4 or 5 only)



Normal Time at Rank of Assistant Professor is 6 years; must not exceed 8 years, unless there is a Stop the Clock (STC).

Mid-Career Appraisal occurs at year 3 or 4, SOM practice has been to complete by year 4.

STC will delay the MCA and Promotion 'clock' by 1 year.



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Start Dates

[APP 3-50: Assistant Professors – Special Considerations](#)

SELECT FACULTY START DATES CAREFULLY

Fiscal year (FY) is 7/1 to 6/30

Jan 2 to June 30 – Count Year One on 7/1 of next Fiscal Year

e.g. Hire Date Jan 15, 2023: Year One starts on 7/1/2023; first review file is due Fall 2024, review eff. on 7/1/25

Review period is 1/15/23 to 9/30/24 (1 year, 8 mos)

Jul 1 to Jan 1 – Count Year One on 7/1 of current Fiscal Year (FY)

e.g. Hire Date December 1 2023, Year One starts on 7/1/23; first review file is due Fall 2024, review eff. on 7/1/25

Review period is 12/1/23 to 9/30/24 (10 mos)

Mid-Career Appraisal

Sample MCA/Promo Timeline

<u>YEARS TOWARD 8 YEAR RULE</u>	<u>DATES</u>	<u>ACTION</u>	<u>COMMENTS STEP IN RANK</u>
YEAR 1 (Initial Appt to Asst Step II)	7/1/2023-6/30/2024	--	Step II
YEAR 2 Prepare Merit file in Fall of 2024 for effective date of 7/1/25	7/1/2024-6/30/2025	M	Step II
YEAR 3	7/1/2025-6/30/2026	--	Step III
YEAR 4 Prepare Merit & Mid-Career Appraisal file in Fall of 2026; eff on 7/1/27	7/1/2026-6/30/2027	M+MCA	Step III
YEAR 5	7/1/2027-6/30/2028	--	Step IV
YEAR 6 Prepare Promotion file in Fall of 2028; eff on 7/1/29	7/1/2028-6/30/2029	Promotion	Step IV
	7/1/2029		Assoc Step I

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Typical MCA/Promo Timeline

Dr. Prestigious is hired as an Assistant Professor, Step II on 7/1/2023

Her First Merit review is due on 7/1/2025 (2 years normative time, 2 years 'on the clock'). *After a successful Merit review, her rank/step is Assistant Professor, Step III eff. on 7/1/2025*

Her Second Merit review is due on **7/1/2027** (4 years total 'on the clock'); she is also due for a Merit and Mid-Career Appraisal (M+MCA) file comes forward in Fall of 7/1/2026

Dr. Prestigious' Mid-Career Appraisal determines that she is on a Positive trajectory towards Promotion, which means that the department and final authority decide that she is on the right track for promotion at year 6 (*typical timeframe from Promotion is 6 years).

Her rank/step is now Assistant Professor, Step IV eff. on 7/1/2027

In the Fall of 2028, the department proposes Dr. Prestigious for Promotion

Dr. Prestigious has a successful file, and she is promoted to Associate Professor, Step I eff. on **7/1/2029**

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Previous Service in the Asst. Rank

Dr. Smart, Assistant HS Assistant Clinical Professor, Step III started with us on 7/1/22, and had 2 years of previous experience at UCLA in the Assistant rank

Dr. Smart has 2 years 'on the Clock' and can only be employed in the Assistant rank for 8 years total. Since he's already spent 2 years at UCLA, he can stay in the Assistant Rank for 6 additional years at UC Irvine.

Dr. Smart's first review at UCI is due on 7/1/24 (2 years normal time at step). Dr. Smart's department has decided to propose a Merit file.

Since 7/1/24 is the end of the 4th year 'On the Clock', this review must also include a Mid-Career Appraisal

Pay attention to any previous years of service at another UC Campus at appointment time

Mid-Career Appraisal

File Tips

Mid-career appraisal (MCA) files **must include a recommendation for a reappointment with or without a merit increase**

The MCA and Reappointment/Merit recommendation may be submitted with a **single letter**, with **2 separate sections**, and **2 separate votes**

The letter must address the review period for the MCA, which is from the date of initial appointment as Assistant Professor through 9/30 of the third or fourth year of service

Example:

Hire date of 7/1/20, no previous years of service in the Assistant rank

MCA would normally occur during the 4th year (2023-2024)

Review period is from 7/1/20 – 9/30/23

The letter must also address the review period for the Reappointment/Merit; the review period starts on October 1st prior to the July 1 effective date of the last action through 9/30 of the current review year:

Example:

Last merit effective 7/1/22

Reappointment/merit increase review period is from 10/1/21 - 9/30/23, effective July 1, 2024

Mid-Career Appraisal

Review Period

Review Periods for Academic Review Files

Merit Increase:

The review period is October 1st prior to the July 1 effective date of the last action. If this is a first merit increase, following initial appointment, the effective date will from the date of appointment through 09/30.

MCA:

The review period for a mid-career appraisal is from the date of initial appointment as Assistant Professor through 09/30. These review period dates will apply to the information included in the AP-10, which is included in a Merit + MCA file.

Promotion:

The review period is from October 1 prior to the last change in rank through 09/30. If the faculty member hasn't had a change in rank since his initial appointment, the review period will be from the date of his initial appointment through 09/30.

Promotion to tenure (Assistant Professor to Associate Professor):

The review period is from the date of appointment as Assistant Professor through 09/30. However, if a tentative decision, additional information prior to decision, or preliminary assessment is requested by AP, the faculty may submit dossier materials all the way up through the date of final decision.

Advancement to Professor, Step VI:

The review period is from the date of initial appointment to the rank of Full Professor, or October 1 prior to the last change in rank, through 09/30.

Advancement to Professor Above Scale:

The review period is from October 1st prior to the faculty member's advancement to Professor, Step VI, through 09/30. If the faculty member was initially appointed to UCI as Professor, Step VI, the review period for his advancement to Professor A/S would be from the date of his initial appointment through 9/30.

Mid-Career Appraisal:

File Tips

Only one AP-10 is required; the review period is from the date of initial appointment as Assistant Professor through 9/30 of the review year

Reviewers prefer to see one department letter which addresses BOTH the Merit/Reappointment and the MCA

The Appraisal must note specific areas of deficiency (if any) and must recommend actions to be taken by the faculty member and/or the department and chair

****The department letter must include clear guidance regarding what the candidate should focus on before coming up for tenure.** Doing so will benefit both the candidate and higher levels of review.**

The MCA votes must be labeled as **Positive, Provisional Positive, Guarded, Negative, Abstain, and Absent/Not Available**

Mid-Career Appraisal

File Tips

FOR ALL MCA FILES: The department letter and the vote page must include a notation at the bottom of the page with, ***“A copy has been provided to the candidate.”****

WHY: 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

****NOT REQUIRED FOR FILES IN SCHOLARSTEPS***



November 10, 2022

Mohammad Helmy
Associate Professor, UCI Department of Radiological Sciences

RE: Dr. [REDACTED] Merit + Mid-Career Appraisal from HS Assistant Clinical Professor, Step III to HS Assistant Clinical Professor, Step IV

Dear Dr. Helmy,

The committee reviewing the merit and promotion actions for the Department of [REDACTED] would like to recommend a merit increase for Dr. [REDACTED] from HS Assistant Clinical Professor, Step III to HS Assistant Clinical Professor, Step IV, effective July 1, 2023.

Since the last review period, Dr. [REDACTED] has made significant contributions to the missions of the School of Medicine at UCI. Following is a summary of accomplishments and contributions in these areas. In this letter, we will address the proposed merit action first then the mid-career appraisal.

Merit to HS Assistant Clinical Professor, Step IV (REVIEW PERIOD: October 1, 2020 – September 30, 2021)

TEACHING

Dr. [REDACTED] participates in teaching of both medical students and residents using high fidelity simulation at the medical center and at the Medical Education Simulation Center. She worked with Dr. Corey Nelson on simulation (SIM) projects that aid to utilize simulation to teach multidisciplinary teams appropriate responses to acute situations. Learning via the Sim environment creates a safe place to learn to respond without risk to patients and provides hands on experience that studying in a book would not. In addition to Simulation and teaching in the clinical setting, Dr. [REDACTED] teaches formal resident didactics and lectures as well as Mock Oral Boards with the residents. Additionally, Dr. [REDACTED] has created many educational documents and formal presentations for our interns, residents, nurse practitioners and registered nurses that help to staff the Perioperative Clinic at UCI. She finds immense satisfaction in watching trainees and practitioners on all different levels grow as a result of these interventions. Recently, Dr. [REDACTED] has created a CV workshop for the residents as well as conduct mock interviews for medical students as part of their professional development. Dr. Chang's interactions with medical students as they rotate through anesthesiology and surgery is as a positive teacher and mentor. Her expertise as a designated Bed Czar for UCI Medical Center was highlighted in a lecture titled How a Bed Czar thinks with focus on Length of stay, readmission rates, risk reduction and patient satisfaction.

PROFESSIONAL COMPETENCE AND ACTIVITY

Dr. [REDACTED] works with many departments across our hospital in service of her institution. During the COVID-19 Pandemic, she collaborated with researchers at MIT to create safe and breathable masks (when there was a severe shortage) for our hospital workers as well as for the community. She created a non-profit organization and was able to donate masks to the OC and LA communities in need (<https://www.latimes.com/social/daily-pilot/entertainment/story/2021-05-19/uci-mask>, <https://www.latimes.com/social/daily-pilot/entertainment/story/2020-04-29/hc-irvine-and-local-business-team-up-to-produce-new-type-of-mask>). She serves as a Bed Czar for UCI Hospital which functions as a consultant for the House Supervisor, CMO and Patient Flow staff to actively manage the hospital census and progress patient care. This role is vitally important to manage ER overflow, operating rooms, PACU and ICU beds for throughput and efficiency.

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Dept. Letter (p1)

IF THE FILE INCLUDES A MERIT OR REAPPOINTMENT, THE DEPARTMENT LETTER MUST ADDRESS BOTH ACTIONS

Mid-Career Appraisal Dept. Letter (p2)

Letter contains a dedicated section for the MCA

MCA review period is clearly spelled out

NOTE: Ensure that the letter addresses any specific areas of deficiency (if any) AND recommends actions to be taken by the faculty member and/or the department and chair. Also, the department letter must include clear guidance regarding what the candidate should focus on before coming up for tenure.

RESEARCH AND CREATIVE ACTIVITY

As mentioned above, Dr. [redacted] founded a non-profit organization for donation of masks to multiple southern California communities during the COVID pandemic. Her poster presentation to our state society, the California Society of Anesthesiologists, was just prior to this review period, in June of 2020. Dr. [redacted] presented a lecture at the Anesthesiology and Perioperative Sciences Annual Retreat in 2021 title Conservation and Sustainability in Medicine.

UNIVERSITY AND PUBLIC SERVICE

As chair of UCI's Perioperative Surgical Home Program and co-chair of the UCI Clinical Pathways Coordinating Council, Dr. [redacted] has worked on hospital wide initiatives to improve quality of care. She created several Enhanced Recovery After Surgery (ERAS) Programs as well as best practice pathways (using evidence-based medicine) for common admission diagnoses and subsequently has spent time educating the staff and trainees in implementing these pathways to streamline and optimize patient care. She collaborated with the Urology department to create and implement the workflow for various research studies. Dr. [redacted] also worked on cost savings projects for the hospital by collaborating with pharmacy to create better ordering systems for medications that could be given orally instead of intravenously (thereby making it easy for prescribers to continue best practices). She worked with our physicians and the IT department to revise the order sets to make the workflow appropriate for all providers.

Dr. [redacted] recently took on the roles as the Co-Director of the Center for Perioperative Care (Preoperative Clinic) and as an Operations Officer for Surgical Services. She hopes to use these positions to improve patient outcomes and processes of our hospital system, and to improve resident education as they rotate through these areas. Her passion is to continue involvement in resident education and professional development for trainees. She will continue to mentor residents and medical students through poster publications/presentations and hope to continue to shape our next generation of physician anesthesiologists.

Additionally, she aspires to continue to practice medicine and care for the patients in her community while utilizing her skills to improve patient outcomes. Dr. [redacted] spent a significant time during the pandemic learning to sew so that she could make masks for the underserved members of our community and vulnerable children. Her hope is to continue to work collaboratively with her colleagues to improve the quality of patient care.

PROPOSED ACTION VOTE AND SUMMARY

The proposed action for Dr. [redacted] was circulated to the 45 eligible voting faculty in the Department of [redacted] on August 31, 2022. 34 voted for, 0 against, 0 abstained, and 11 did not vote.

In summary, the faculty recommends the Merit for Dr. [redacted] from HS Assistant Clinical Professor, Step III to HS Assistant Clinical Professor, Step IV.

MID-CAREER APPRAISAL (REVIEW PERIOD: March 1, 2019 – September 30, 2021)

This mid-career appraisal is based partly on the supporting comments in the department letter and partly on my personal assessment of Dr. [redacted]'s progress since joining the department. The Department of [redacted] has reviewed the progress of Dr. [redacted] currently an Assistant Professor, Step III and considers this evaluation to be a POSITIVE mid-Career Appraisal.

CRITIQUE OF TEACHING EFFECTIVENESS/UNIVERSITY AND PUBLIC SERVICE

Dr. [redacted] moved to California in 2013 for residency at the University of California, Irvine (UCI) and has stayed on as faculty after completing training. Since her arrival to UCI Hospital 9 years ago, she has always worked to improve education (via simulation, education during clinical care, resident lectures and board preparation) as

Mid-Career Appraisal

Dept. Letter (p3)

well as enhance patient outcomes (via quality improvement projects, streamlining processes and systems-based changes), and serve the people and community in which she is part of.

Dr. _____ shows great initiative in serving her community and our hospital. Her positive and glowing resident evaluations speak for themselves to her effectiveness as a teacher and mentor, creating an environment of respect, passion, and learning. Since starting as faculty, Dr. _____ has quickly risen to the challenges in several leadership roles, including Bed Czar, Co-Director of the Center for Perioperative Care, and as an Operations Officer for Surgical Services. Though early in her career, Dr. _____ has established herself as a key member of the department with her enthusiasm for teaching and desire for service. It is clear that the next step in her academic career will be a promotion to the Associate level following this year's review.

PROFESSIONAL COMPETENCE AND ACTIVITY

As a member of our department and medical center, Dr. _____ is a committed physician to patients and the healthcare teams. She is accepted as a respected colleague by our surgeons, displaying confidence, competence, humor, flexibility and agility to accomplish tasks and support the mission of the hospital. She is dedicated, attentive and safe, compliant with our department performance measures.

RESEARCH OR CREATIVE WORK

Dr. Chang's dedication to her community led her to found a non-profit organization at the beginning of the pandemic that provides masks to the OC and LA communities in need. She shows the ability to think outside of the box, be creative with resources, and take action to get results. Dr. _____ has remained active throughout the review period with two accepted posters and an invited presentation. It is expected that her research and creative work will continue to grow.

MID-CAREER APPRAISAL VOTE AND SUMMARY

The proposed mid-career appraisal was circulated to the 45 eligible voting faculty in the Department of _____ on August 31, 2022. 34 voted positive, 0 voted provisional positive, 0 voted guarded, 0 voted negative, 0 abstained, and 11 did not vote.

Based on Dr. _____'s academic progress and contributions to teaching, research and creative activity, and professional and University service, the Anesthesiology faculty considers this to be a POSITIVE mid-career appraisal.

On Behalf of the Faculty,

Designated by:

Anna Harris

Anna Harris, MD
HS Clinical Professor
Department of _____

A copy of this letter has been provided to the candidate.

REMINDER: The letter should be drafted and signed by a non-conflicted member of the M&P committee

The Chair should not sign the letter, as this constitutes a conflict of interest; the Chair can either *vote with the department* or *write a separate chair letter*

Note: the letter addresses BOTH the Merit action AND the Mid-Career Appraisal

DO NOT USE AN AP-12 FOR MCA, M+MCA, OR REAPPT+MCA ACTIONS

"A copy of this letter has been provided to the candidate" should be included in all paper files; optional to include in Scholar Steps files

Merit Vote

Vote Grid

REMINDER: TWO VOTE GRIDS REQUIRED FOR MERIT/REAPPT + MCA

Remember to indicate whether how the Chair voted (either: 'The Chair voted with faculty' or 'The Chair participated in another level of review/voted separately')

Faculty Vote and Opinion: Departmental Recording of Votes

Department: _____

Candidate's Name: Dr. _____

Date of Vote: 31-Aug-22

Proposed Action: Merit

From: HS Assistant Clinical Professor, Step III

To: HS Assistant Clinical Professor, Step IV

DEPT VOTE	FOR	AGAINST	ABSTAIN	DID NOT VOTE	TOTAL ELIGIBLE
Senate					
Professors	0	0	0	0	0
Assoc. Professors	0	0	0	0	0
Asst. Professors	0	0	0	0	0
Non-Senate					
Professors	11	0	0	3	14
Assoc. Professors	14	0	0	5	19
Asst. Professors	9	0	0	3	12
Total	34	0	0	11	45

Comments:

The Chair voted with the Department

*Use the Comments area to describe reasons for abstentions or negative votes

**See APP 1-14 for policy on Departmental Voting Procedures

MCA Vote

Vote Grid

REMINDER: This vote grid is for the Mid-Career Appraisal ONLY

A vote grid is also required for the Reappointment or Merit

Remember to indicate whether how the Chair voted (either: 'The Chair voted with faculty' or 'The Chair participated in another level of review/voted separately')

Mid-Career Appraisal

Faculty Vote and Opinion: Departmental Recording of Votes

Department: _____

Faculty Name: Dr. _____

Date of Vote: 8/11/2022

Proposed Action: Merit/MCA

From: HS Assistant Clinical Professor, Step III

To: HS Assistant Clinical Professor, Step IV

DEPT VOTE	POSITIVE	PROVISIONAL POSITIVE	GUARDED	NEGATIVE	ABSTAIN	DID NOT VOTE	TOTAL ELIGIBLE
Senate							
Professors	0	0	0	0	0	0	0
Assoc. Professors	0	0	0	0	0	0	0
Asst. Professors	0	0	0	0	0	0	0
Non-Senate							
Professors	11	0	0	0	0	3	14
Assoc. Professors	14	0	0	0	0	5	19
Asst. Professors	9	0	0	0	0	3	12
Total	34	0	0	0	0	11	45

Comments:

The Chair voted with the Department

*Use the Comments area to describe reasons for abstentions or negative votes

**See APP 1.11 for policy on Departmental Voting Procedures

Mid-Career Appraisal

Stop the Clock

[APP 3-50: Assistant Professors – Special Considerations - Appendix III](#)

A faculty member may request to 'Stop the Clock' during the probationary period (Asst rank) for personal reasons:

Childbearing or Childrearing: care for any child who is or becomes part of the faculty member's family. A faculty member at the Assistant level must be responsible for 50 percent or more of the care of the child.

Serious Health Condition Including Disability or Bereavement: A faculty member may request to stop the clock during the probationary period, when his or her ability to pursue his or her duties is significantly disrupted by a serious health condition or disability, by the need to care for a close family member who is seriously ill, or by the death of a close family member. This provision also covers other persons residing in the faculty member's household or cases involving close personal connection or interdependence.

Significant Circumstances or Event: A faculty member may request to stop the clock during the probationary period, for reasons due to a significant circumstance or event beyond the faculty member's control that disrupts the faculty member's ability to pursue his or her duties.

"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. Please note, faculty at the Assistant level have the option to still submit a Mid-Career Appraisal and/or promotion/promotion to tenure review during its normal time.

To initiate a Stop the Clock, complete the Stop the Clock Certification Form ([UCI-AP-92](#))

Please review the policy re: dates/deadlines to submit Stop the Clock



Questions?