New Appointments: Faculty

School of Medicine
Academic Affairs Dean’s Office

January 2024
Agenda

Resources
Common Errors
Planning the Faculty Appointment
Prepping & Assembling the File
Tracking Faculty/Follow-up
Special Situations/Considerations
Questions
## School of Medicine Academic Affairs

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Geoffrey Abbott, PhD</td>
<td>Senior Associate Dean, Academic Personnel</td>
</tr>
<tr>
<td>Mohammad Helmy, MD</td>
<td>Associate Dean for Academic Affairs/Non-Senate</td>
</tr>
<tr>
<td>Kyoko Yokomori, PhD</td>
<td>Associate Dean for Academic Affairs/Senate</td>
</tr>
<tr>
<td>Jami Holland</td>
<td>Director, Academic Affairs</td>
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<tr>
<td>Thuy Vu</td>
<td>Assistant Director, Academic Affairs</td>
</tr>
<tr>
<td>Maral Dakessian</td>
<td>Training Manager</td>
</tr>
<tr>
<td>TJ Kennedy</td>
<td>Compensation Plan Manager</td>
</tr>
<tr>
<td>Elizabeth Jurado</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
</tr>
<tr>
<td>Mirella Ruano</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
</tr>
<tr>
<td>Chanthou Sung</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
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<tr>
<td>April Heath</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
</tr>
<tr>
<td>Tracee Davis</td>
<td>Academic Affairs Dean’s Level Review Analyst</td>
</tr>
<tr>
<td>Jaylee Mai</td>
<td>Academic Affairs Dean’s Level Review Analyst (Non-Faculty)</td>
</tr>
<tr>
<td>Sonha Castelli</td>
<td>Academic Affairs Dean’s Level Review Analyst (Non-Faculty)</td>
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Upcoming Training/Office Hours

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<td>January 24</td>
<td>Office Hours</td>
<td>11:00a-12:00p</td>
<td>Bring your Questions!</td>
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<td>January 30</td>
<td>New Analyst Series</td>
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<td>ARUs and Academic Researchers</td>
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<td>February 1</td>
<td>New Analyst Series</td>
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<td>Postdoc Appointment/Reappointment</td>
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Resources

Campus Academic Personnel page
- Senate vs. Non-Senate Titles
- Academic Delegations of Authority
- Checklist Matrix
- Salary Scales
- Academic Personnel Policies (APP)
- Reflective Teaching Statement Guidelines

SOM Academic Affairs
- SOM Title Codes
- SOM Committee Schedule - 2024
- Letter of Recommendation (LOR) Guidelines
- Addressing Letters
- FAQ's / Training

UCPath Cognos Reports
- Job Distribution Report
- Person Roster Report
- Person Dashboard
Common Errors

- Not enough time: file arrives just before start date and does not allow enough time for review/approval OR requires multiple reviews/send-backs which do not allow enough time for review
- Incorrect Titles used, example: Professor of Clinical 'X' instead of HS Clinical Professor, or 'Professor of Clinical Health Sciences'
- X+X’ rate used on AP-20
- Dept. Letter Addressed incorrectly
- Department letter includes dates or titles which are inconsistent with the rest of the file
- Department letter is not written well, or includes mistakes/errors, or signed by a conflicted faculty member
- Insufficient number and/or type of Letters of Reference
- LOR’s: missing codes, missing dates, not on letterhead, not signed, or letter writer included identifying information; also: LOR’s not in reverse chrono order
- AP-11 is incomplete or does not include required information
- File is missing items (Teaching Evaluations, DEI Statement, Publications)
- File is messy/unorganized: out of order or unclear
- CV is not current or does not match what is written on the AP-20
- Forms are not filled out completely
- Publication links are hard to read/understand, dead links/‘unclickable’, or pub requires a subscription/password
Planning the Faculty Appointment

Overview

1. Tentative Offer Letter (TOL)
2. Recruit Reports (Search Reports)
3. Review Delegations of Authority
4. Review SOM Academic Review Committee Schedule
5. Review Requirements for File (use Checklist Matrix)
6. Solicit Letters of Recommendation (LORs)
7. Select a realistic start date or adjust an already proposed start date
UCI SOM Recruitment and Appointment Timeline

UCI SOM Recruitment & Appointment Flowchart

- **Current State:**
  - Budget: 6 weeks (1.5 mos.;)
  - Recruitment: 18-19 wks. (4.5 mos.;)
  - New Appointments: 11-22 wks. (3-5 mos.)

- **Legend:**
  - Budget Process
  - Recruitment Process
  - Tentative Offer Letter Process
  - Appointment Process

**Steps:**

1. **Department to identify need**
2. **Department enters request in DSS for Deans Approval**
   - 2-4 Weeks
3. **Dean’s office requests approval from VPAP**
   - Budget Process
   - 3-5 Days
4. **VPAP and Budget Office Review**
   - SCN and Release Memo Issued
   - Variable
   - 6 Weeks
5. **Department creates Search Plan and assigns Search Committee**
   - 7 Days
6. **Search Committee to attend Diversity Training**
7. **Department submits Search Plan for approval**
   - Search Plan Published
   - 7 Days
8. **Search Committee reviews applicants**
   - AD posting for a minimum of 30 Days
9. **Department submits Shortlisted Candidates for approval**
   - 3-5 Days
10. **Department interviews approved shortlisted candidates**
    - 30-40 Days
11. **Department selects top candidate**
    - 15 Days
12. **Create and route Search Report for approval and begin drafting Tentative Offer Letter (TOL)**
    - 7 Days
13. **Route FTE Budget Resource Form for approval**
    - 7-10 days
14. **Submit final TOL for routing and approval**
    - 7-10 days
15. **Candidate Accepts Offer**
    - 3-4 Weeks
16. **Department prepares Appointment File**
    - 3-6 Weeks
17. **Dean’s Office Review of submitted Appointment file**
    - 15 Days
18. **ARAC review and recommendation**
    - 3-10 Days
19. **Assistant Professor Steps I-III Deans Delegated or Deans Memo for non Deans Delegated**
    - 3 - 7 Days
20. **Assistant Professor Step IV and Above**
    - AP for CAP review and VPAP or Chancellor Approval
    - 4-12 Weeks

**Timeline:**

- 6 Weeks
- 15 Weeks
- 11-22 Weeks
Academic Delegations of Authority

The Delegations of Authority determine who has the final approval authority over different types of files. Careful review of the Delegations of Authority along with the SOM Academic Review Committee Schedule will help departments determine timelines for file review and approval.

The picture below describes how files move through the various stages of review to the final authority:

First Level of Review
- Department

Second Level of Review
- School of Medicine, Dean’s Office (School Level)
  - CFAC, ARAC, CXAC
    - Dean Delegated: all HS Series Appt. files; Line Series, In-Residence Series, Clinical “X” Series, Asst I, Asst II, Asst III

Third Level of Review
- Academic Personnel (Campus Level)
  - CAP
    - Senate Asst IV + Above
      - Timeline: add 4-8 weeks for CAP review
- Provost or Chancellor Approves File

Final Authority

UCI School of Medicine
NOTE:
Complete, accurate files are due **15 days prior to meeting date**

File may be moved to a later meeting date depending on committee file load
**Appointment Timelines**

Example: ClinX Series Professor, step II

**CAP DELEGATED**

- **Today’s Date:** 1/17/24
- **Projected Start Date:** 8/1/24
- **FILE PREP:** 1/17 – 3/9/24
  
  Solicit LOR’s first, then prep remaining file and plan for Dept. Letter and Vote

- **CXAC meeting:** 4/15/24
- **Earliest CAP Meeting:** 5/9/24

**CAP is impacted with MANY appointment files in April-June; It is imperative for files to arrive early, and in good shape**

**CAP HIATUS: LATE JULY THROUGH LATE SEPTEMBER**

Recommended time to submit file (Senate/CAP): 4 months ahead of start date
**Appointment Timelines**

Example: HS Series Professor, step II

DEAN DELEGATED

Today's Date: 1/17/24
Projected Start Date: 8/1/24

**FILE PREP:** 1/17-4/13/24

Solicit LOR’s first, then prep remaining file and plan for Dept. Letter and Vote

CFAC Committee meeting: 5/14/24

CFAC is impacted with a large number of appointment files in May, June, July and August

*It is imperative for files to arrive early, and in good shape*
1. Review [Appointment Checklist, Delegations of Authority, LOR Guidelines] and [SOM Committee Review Schedule]; check deadlines and plan submission timeline [see next slide]

2. Review proposed start date; is it realistic? May need to adjust an already proposed start date


4. Obtain list of Referees from Chair, and then reach out to Referees, use [SOM Solicitation Letters]

5. Begin file assembly

6. Plan within department: who will write the Department Letter? [see slides #21, 22, 23]

7. Plan within department: when will faculty vote take place and who is eligible to vote. (*Use [SOM Vote Grid])

8. When all components of file are received and complete, compile into one document and review for completeness/accuracy
Checklist

use the Checklist Matrix

**UCI Office of Academic Personnel**

**APPOINTMENT DOCUMENTATION CHECKLIST - (UCI-AP-30)**

- **Name:**
- **Title/Series:**
- **Dean Delegated?**
  - Yes
  - No
- **JPF #:**

**Note:** The documentation requirements (below) change depending on the selected title/series above.

- **Checklist:**
- **One copy of the informal offer letter sent to the candidate.**
- **Signed Academic - Personal Data Sheet (Form UCI-AP-9).**

The original dossier should include:

- **Signed Academic Personnel Appointment Summary (Form UCI-AP-20).**
- **Non-Senate Supplemental Information (Form UCI-137A).** Not required for those in the Academic Researcher Unit.
- **Dean's statement (or acknowledgment of review).**

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**Select the correct Title Series – the form will adjust depending on selection**

**Select whether the action is DD or not; make sure to include JPF #**

If there was no recruitment include Waiver # (SWR#) or Exemption # (EX#)

**ALL RECRUIT REPORTS MUST BE ROUTED AND APPROVED PRIOR TO SUBMITTING FILE TO DEAN'S OFFICE, NO EXCEPTIONS**

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**Review Checklist to ensure that all documents are in file, and check the boxes as you go; the Checklist should be the first document in your .PDF bundle**

Submit a full, complete file in .PDF bundle format.

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**The Dean's Office adds this document; everything else on the Checklist is added by the Department**

**Use candidate's full, formal name and credentials**

If this is a split appointment, include the other Department or School name here.

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TOL
The candidate should submit appropriate biographical information on a signed and dated Academic Personal Data Sheet (AP-9). It is important that all items on the form be completed.

If the department prepares the Personal Data Sheet on behalf of the candidate from a submitted curriculum vitae, the form must be reviewed and signed by the candidate.

If the candidate is not available to sign the UCI-AP-9 before the dossier is forwarded, the department should mail the original to the candidate and include a copy of the unsigned form in the dossier. On the copy, the department should indicate that the original was sent for signature.
Use base, 'X' scale here; 'Basis/Paid Over is always FY 11/12 and Salary Scale should be 'Regular'.

Please complete accurately.

Make sure to check these boxes this will change the form to add/remove lines.

Shortlist and Search Reports must be complete.

Use candidate's full, formal name and credentials.

If this is a split appointment, include the other Department or School name here.

^use UCPath Position # here (for Line Series appointments only)

ALWAYS include accurate information in the 'Present Employment' and 'UC Academic Employment History areas.

Count the years towards the 8 year rule if (1) the candidate will be appointed to the Assistant rank at UCI and (2) they have prior service as in an eligible title at another UC Campus (see APM 133)

REVIEW THE CV FOR ACCURACY/COMPLETENESS.
Mohammad Helmy, MD – signs all HS Clinical Series files

Kyoko Yokomori, PhD – signs all Line Series, In-Residence, Clinical X and Adjunct Series files
Title Codes

Use [SOM Title Codes Document](#)
Salary Scales

Use [Health Sciences Scales](#)

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<th>Adjusted Scale*** 10/1/2022</th>
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<th>Adjusted Scale*** 10/1/2023</th>
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*Salary admin plan for Professors of Teaching (LOE) series.
** Scale 0 is the same as the Faculty–Ladder Ranks–Professor Series–Fiscal Year Scale.
***For faculty on the UCFP minimum scale, please consult with the Office of Academic Personnel.
AP-137-A

Used for all Non-Senate Academic term Appointments

- HS Clinical Faculty Series
- Adjunct Faculty Series
- Non-ARU Researcher Series (Project Scientist/Specialist/Researcher)

Check the Box! AP-20
Check the Box! Initial Appointment

Please make sure to complete thoroughly and accurately
Faculty Name must be complete legal name, followed by credentials

Begin Date: Start of the Appointment
End Date: Paid appts – 1 year from begin date; WOS appts – 6/30 of current FY

Click on link to view general responsibilities and copy/paste here

Don't forget the Employment Contact

SUPPLEMENTAL INFORMATION
FOR NON-SENATE ACADEMIC TERM APPOINTEE

Please forward this supplemental information with the following non-Senate term appointee action forms.
- Appointment Summary Form (AP-20)
- Academic Personnel Action Summary Form (AP-22)
- Academic Personnel Action Summary—Short Form (AP-24)
- Academic Personnel Action Summary (AP-25)

APPOINTEE INFORMATION:

- U.S. Citizen
- Permanent Resident
- Country
- Visa Type
- Visa End Date

NAME: __________________________  DEPARTMENT: __________________________

Appointment Title: __________________________  Step: __________________________  Title Code: __________________________

APPOINTMENT PERIOD and SALARY: This is a term appointment, which is self-terminating on the end date, subject to the notice requirements of APM 137.

 Begin Date: __________ END Date: __________ WITHOUT SALARY PERCENT of Time: ___ %

Your salary for the percentage of time will be based on an ANNUAL SALARY of __________________________ $ __________

Your appointment is calculated from a MONTHLY RATE of __________________________ $ __________

Thus your total salary for this appointment will be __________________________ $ __________

GENERAL RESPONSIBILITIES: (see list)

EMPLOYMENT CONTACT: __________________________ is the person to whom you report and with whom you should discuss matters related to your employment. We hope you will accept this appointment and look forward to your involvement with the University of California, Irvine.
Department Letter

APP 3-20-D
Appointment File Documentation

Addressing Letters

TIP #1: Review previous files to gain an understanding of how letters are written in your department

TIP #2: Create template letters for your department to make it easier for letter writers to draft department letters; basic information like the 'addressed-to' line, proposed action, headings for each criteria (Clinical, Teaching, Research, Service) and signature line could be included here.

TIP #3: Department letter is typically 1-2 pages, 3 pages maximum

The following is a summary of APP 3-20-D; for more complete details, please see the full policy

Necessary information includes:

1. Proposed title, step, salary, and effective date

2. Justification of the recommended title, step, and salary

3. Report of faculty opinion and vote, as described in Section APP 1-14. When there are significant divisions of opinion, the reasons for the opposing positions should be summarized

4. A full evaluation of the candidate's scholarly achievements and his or her professional reputation in the academic community

5. A brief discussion of the qualifications of the evaluators, including the national reputation of the department from which they come and their relationship to the candidate. This information may be provided on the form, "Identification and Qualifications of External Referees," Form UCI-AP-11.

Letter writers must only be referred to by the code assigned on the AP-11 Form
Department Letter Reminders

APP 3-20-D
Appointment File Documentation

Addressing Letters

A. The department letter should set forth the proposed action and the departmental recommendation. The letter should provide an evaluation of the materials offered in support of the action. Any special situations (e.g. teaching evaluations missing from the file) must be addressed/explained.

B. The department letter must be addressed appropriately (address to final approval authority) and must be written from the perspective of the faculty as a whole, not just the letter writer (‘we the faculty’ not ‘I’).

C. Letter must be signed by a non-conflicted member of the department’s Merit/Promotions Committee.

D. LETTER MUST NOT BE SIGNED BY OR INCLUDE CONCURRENCE OF THE DEPARTMENT CHAIR

*SEE NEXT SLIDE FOR MORE TIPS ON WHO MAY SIGN THE DEPT LETTER*
Department Letter
Reminders from AP

Email Announcement – Jan 10, 2024

Applies to New Appointment files and Review files

All relevant portions of APP have been updated

Non-Senate files may have a Non-Senate Committee Chair sign the letter

Senate files must have a Senate Committee Chair sign the letter

Department Recommendation Letter

ACADEMIC DEANS
DEPARTMENT CHAIRS

As schools and departments/units continue to assemble dossiers for the current review cycle, I write to share important reminders and provide clarity when drafting and preparing departmental recommendation letters.

The department recommendation letter may be written by a departmental committee, as departmental procedures stipulate, and signed by a non-conflicted committee chair. The department recommendation letter may not be written or signed by the department chair. Additional points for departments/units to consider include:

1. The chair of the department letter-writing committee must be non-conflicted and must sign the department letter.
2. The committee chair must be a senate faculty member, but they do NOT have to be at or above the rank of the nominee or in the same academic series as the nominee.
3. The committee chair is the only member required to be listed at the conclusion of the letter, but other members may be listed if desired. If multiple members are listed, then the member that is the committee chair must be clearly identified.
4. Other committee members may be collaborators on papers/projects, or have shared grants with the nominee, but they cannot have a familial or romantic relationship with the nominee.
5. Non-senate faculty can serve as committee members.

I hope this information and guidance will help improve on the preparation of department recommendation letters and the entire academic personnel review process. If you have any questions or concerns, please contact me at dkodowd@uci.edu.

Sincerely,

Diane K. O’Dowd
Vice Provost for Academic Personnel
From APP 1-14:
The method of taking votes is left to the discretion of the department. It is important that this be done in some way that will result in a **clear picture of faculty opinion about the proposed action**. That opinion must be reported in such a way that those who review the case will be able to understand it without having to send the dossier back to the department for clarification.

- Vote must abide by Departmental Vote Guidelines (Review AP-53 form)
- Please label the grid with correct name, proposed rank/step, etc.
- **Non-Senate Votes on** Senate **files must be marked as 'Non-Senate Advisory' (*this requires prior approval)**
- All votes should be recorded by rank; columns and rows must be totaled. If there are no votes recorded for column, indicate ‘0’
- If a department has only one member at any rank, their vote may be recorded with those of the next rank to maintain confidentiality (*note this in Comments box)
- In the ‘Comments’ box, note how the Chair votes – with the department or separately (via an Independent Chairs Letter)?
- Comments should be collected for ‘Abstain’ and ‘Against’ votes; comments must pertain to the proposed action
- If there are absences or abstentions on procedural grounds (deans, CAP members, near relatives, etc.), the number of such instances should be recorded separately. ‘Against’ votes should be explained in the department letter

### SOM Vote Grid

**APP 1-14**

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<th>FOR</th>
<th>The faculty vote is in favor of the proposed action.</th>
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<tr>
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<td>The faculty vote is not in favor of the proposed action.</td>
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<tr>
<td>ABSTAIN</td>
<td>The faculty vote is abstain on the proposed action.</td>
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<tr>
<td>DID NOT VOTE</td>
<td>The faculty who did not vote.</td>
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</table>

**TOTAL ELIGIBLE TO VOTE:** The members of the department eligible to vote excluding:
- administrators serving at other levels of review (refer to the above section, APP 1-14-D, Multilevel Review Process)
- near relatives
- faculty who recuse themselves because of conflict of interest
- the individual under review
Include numbers in each box; do not leave a box empty. Numbers should total across and down the grid.

If this is a SENATE appointment, and your department allows NON-SENATE faculty to vote on the file, add 'Advisory' next to 'Non-Senate' *note, this must be pre-approved by CAP. No need to add 'Advisory' when it is a NON SENATE file.

Make sure all fields are filled out and accurate.

Department Vote

SOM Vote Grid
APP 1-14

Note how the Chair voted: either 'with department' or 'separately with a Chair letter' or 'abstained due to xx (conflict, etc.)'; comments related to abstain or against votes must be included here.

NOTE: 'Abstain' is a vote.
The Chair’s Opinion:

Independent Letter vs. Vote with Department

The Department Chair’s opinion must be included in the file.

The Chair may express their opinion on the file with EITHER (1) a vote cast with the department, OR (2) via an Independent Chair letter.

The Independent Chair letter could be brief, for example “I concur with the department and support the Candidate’s appointment to Title/Series/Rank”, or the Chair could include lengthier justification and support (recommended).

The Independent Chair’s letter is typically 1-2 pages in length, and must not be more than 3 pages.

Whether the Chair votes with the department or writes an Independent Chair Letter, the Vote Grid must indicate how the Chair voted, either “The Chair voted with the department” or “The Chair voted separately”.
Letters of Recommendation (LORs)

Use SOM Sample Solicitation Letter LOR Guidelines

Review requirements carefully and early. LOR’s are a very important requirement in the file; not having a sufficient number or type of letters will result in a send-back from the Dean’s office.

Files with letter-writers that are internal or have a conflict will most likely result in a send-back either at the Dean’s level or higher levels of review.

This will result in significant delay in approval of the appointment
Letters of Recommendation (LOR’s)

UCI School of Medicine Guidelines on Letters of Recommendation (LOR)  
(Updated 9/28/23)

LORs are from outside UCI unless otherwise stated.

Health Sciences Clinical Professor series
Appointments to HS Clinical Instructor: LORs NOT required

Appointment to HS Assistant Clinical Professor: 3 LORs; letter-writers do not need to be non-conflicted; candidate nominated letter-writers are acceptable.

Appointment or Promotion to HS Associate Clinical Professor: 4-5 LORs. At least 3 letter-writers must be department-nominated and non-conflicted. However, for this rank, letter-writers may be current UC Irvine faculty but must be from outside of the faculty member’s home or joint department (including affiliate sites). Other conflict categories still apply (please see examples below).

Appointment or Promotion to HS Clinical Professor and Appointment or Advancement to HS Clinical Professor Above Scale: 4-5 LORs. At least 3 letter-writers must be department-nominated and non-conflicted.

Advancement to HS Clinical Professor Step VI: LORs NOT required, though the department may solicit letters if it feels that letters will strengthen the file. Note: candidate has the right to request that the Chair solicit LORs.

All Accelerated Merits: LORs NOT required, though the department may solicit letters if it feels that letters will strengthen the file.

Professor, Professor In Residence, Professor of Clinical-X, and Adjunct Professor Series

Appointment (or COS) to Assistant Professor: 3 LORs; letter-writers do not need to be non-conflicted; candidate nominated letter-writers are acceptable.

Appointment/Promotion to Associate Professor/Professor AND Appointment or Advancement to Professor, Above Scale: 4-5 LORs. At least three letters must be department-nominated and non-conflicted.

Advancement to Professor Step VI: LORs are NOT required, though the Department may solicit letters if it feels that letters will strengthen the file. Note: Candidate has the right to request that the Chair solicit LOR’s.

Accelerated Merits: LORs are NOT required, though the department may solicit letters if it feels that letters will strengthen the file.

Professional Research Series

Appointment to Assistant Professional Researcher: 3 LORs; letter-writers do not need to be independent; candidate recommended acceptable.

Promotion to Associate Professional Researcher, Professional Researcher: 4-5 LORs. At least three letters must be department-nominated and non-conflicted.

Accelerated Merits: LORs are NOT required, though the department may solicit letters if it feels that letters will strengthen the file.

Work with Chair and Candidate to put together a list of referees; ideally, most letter-writers should be non-conflicted, AND Department nominated (as opposed to candidate nominated) *Letter writers who are nominated by both Candidate and Department should be designated as ‘Department-nominated letter writers’

Allow Referees sufficient time to respond: 2-3 weeks is recommended. Send letter-writers streamlined Emails and follow-up as needed

Cast a wide net: reach out to more than the minimum required # of letter writers (*note that all solicited letter-writers must be included on the AP-11 form, even if they do not respond)

REMINDER: ALL LETTER WRITERS MUST BE AT OR ABOVE THE LEVEL SOUGHT
Review letters received:

- Do you have enough letters, are they the right type?
- Are all letter writers at or above the rank proposed?
- Do they refer to the correct faculty name and action?
- Are letters analytical? Is it a ‘strong’ letter (review with Chair)?
- Does the letter-writer mention any conflicts? Or do you see any conflicts in the file (hint: CTRL+F to find recent collaborations)
- Does the writer include any identifying information? If so, ask the writer to revise
- Is letter code on the right side of page, in the body of letter, and does it appear on all pages?
- Are letters organized in reverse chronological order by letter date?
- All Letters must be:
  1. Coded
  2. On Letterhead
  3. Signed
  4. Dated

(*if downloaded from AP Recruit, must include AP Recruit watermarks)

TIP: Make sure to assign codes to each letter; add to the right side of page, in the body of the letter (not in the ‘address-to’ or signature area)

TIP: Letters must included in the file in reverse chronological order by date at top of letter; earliest letter received gets lowest code

(example: letters rec’d Jan 1 and March 1; March 1 letter is code ‘A’, Jan 1 letter is code ‘B’)
AP-11

**TIP:** Letter codes on AP-11 must align with code assigned on the LOR

**TIP:** Letters must listed in reverse chronological order by date at top of letter; earliest letter received gets lowest code (example: letters rec’d Jan 1 and March 1; March 1 letter is code ‘A’, Jan 1 letter is code ‘B’)

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**IDENTIFICATION AND QUALIFICATIONS OF EXTERNAL REFEREES**

<table>
<thead>
<tr>
<th>Name of Candidate:</th>
<th>FULL NAME AND CREDENTIALS</th>
<th>Department:</th>
<th>Dept. Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEASE LIST ALL SOLICITED LETTER WRITERS IN ALPHA/NUMERIC ORDER BY CODE. LETTERS OF EVALUATION SHOULD BE IN MOST RECENT DATE ORDER FIRST. THOSE WHO DID NOT RESPOND SHOULD BE LISTED LAST. OR PROMOTION/ADVANCEMENT, THE EXTERNAL LETTER WRITER MUST BE AT, OR ABOVE, THE RANK TO WHICH THE CANDIDATE IS BEING PROMOTED.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Referee Code</th>
<th>Nominated by Dept or Cand?</th>
<th>CANDIDATE NAME, CREDENTIALS</th>
<th>Title: TITTLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>D/C</td>
<td>Institution: INSTITUTION AND DEPT (*IF AT UCI)</td>
<td></td>
</tr>
<tr>
<td>Responded?</td>
<td>Conflicted?</td>
<td>Referee Relationship to Candidate (explain the relationship: eg., never met, met at X but no personal relationship, former or current collaborator, etc.): DESCRIBE DO NOT CONCLUDE, example: Not Conflicted (this is a conclusion) vs. No recent collaborations</td>
<td></td>
</tr>
<tr>
<td>Y/N</td>
<td>Y/N</td>
<td>Qualifications: DESCRIBE QUALIFICATIONS HERE; CAN ALSO INCLUDE A LINK TO BIOGRAPHY</td>
<td></td>
</tr>
<tr>
<td>Referee Code</td>
<td>Nominated by Dept or Cand?</td>
<td>Name: John Doe, DO</td>
<td>Title: Professor</td>
</tr>
<tr>
<td>A</td>
<td>D</td>
<td>Institution: UC Irvine, Department of Neurology</td>
<td></td>
</tr>
<tr>
<td>Responded?</td>
<td>Conflicted?</td>
<td>Referee Relationship to Candidate (explain the relationship: eg., never met, met at X but no personal relationship, former or current collaborator, etc.): Dr. Doe works with Dr. XXX at UC Irvine and collaborated with Dr. XXX in 2021</td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>Y</td>
<td>Qualifications: Dr. Doe is a Harvard-trained Neurologist and currently works at UC Irvine as a Professor in the department of Neurology.</td>
<td></td>
</tr>
</tbody>
</table>
Teaching Evidence:
(1) Student Teaching Evaluations

All review files are required to have two forms of evidence. The first piece of required evidence is Student Teaching Evaluations.

APM 210: “It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate’s teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany each review file.”

Student Teaching Evaluations are a required part of the file.

For Junior Faculty (Assistant rank), we make an exception and can accept a file with no evaluations, HOWEVER, this must be noted in the department letter (at minimum) and in the candidate's reflective teaching statement.
Teaching Evidence: (2) Reflective Teaching Statement

Faculty Guidance on Review Files (see guidance on Teaching Evidence)

Reflective Teaching Statement

**TIP:** Label with candidate's name and the statement type at the top of the page

EX: John Doe, Appointment to Assistant Professor, III Reflective Teaching Statement

A **second piece** of Evidence of Teaching Effectiveness is required for the file.

The established practice in SOM is to use a Reflective Teaching Statement, and many faculty use this as their 2nd piece of evidence.

Other pieces of secondary evidence include:

1. **Peer evaluation from a colleague**
   Constructive peer evaluations provide evaluative and actionable feedback on teaching. *Must be contemporaneous, from a colleague, not a student*

2. **Other evidence**
   Other evidence will be accepted including but not limited to evidence of student learning gains, or awards that demonstrate deep and/or broad impact of instructional activities.
1. Diversity, Equity and Inclusion: required for paid files, optional for WOS files. This is an SOM requirement. You can find the candidate’s statement in Recruit.

2. Research – nice to have but not required. Encouraged if the faculty is in the Senate series and wishes to elaborate on Research; including this statement will make the file stronger.

3. Service – nice to have but not required. Encouraged if the faculty is in the Senate series and wishes to elaborate on Service; including this statement will make the file stronger.

TIP: Label with candidate’s name and the statement type at the top of the page

EX: John Doe, Appointment to Assistant Professor, III
Service Statement
Publications

1. Faculty may choose to include either all publications or a select # of publications that they wish to highlight.
2. Publications should be listed in the CV, well-organized and easy to locate.
3. The CV could have numbers assigned to each publication and this could correspond to #s on the Pub Links page.
4. For new appointment files ONLY, publications do not have to be numbered.
5. For new appointment files ONLY, publications do not have to be in reverse chronological order.

It is strongly encouraged to have publications numbered on the CV, because this makes it easier to review the file and is good practice for the first Merit review; however, our office will not send the New Appt. file back for this reason.

TIP: Dept Analyst must include a separate page in the file, with links to Publications.
TIP: Label with the candidate's name and "Publications" at the top of the page.
TIP: Click on each link to ensure they work.

EX: John Doe, Appointment to Assistant Professor, III
PUBLICATIONS
Publications, Sample

Name and Action clearly noted at top of page

Publications and links are well-organized, neat, easy to read and compare against the CV. The links are next to the Publication name (easy to see which link goes with which publication title)
Once File gets to Committee

1. Please check in approx. 2 weeks after committee meeting/prior to start date

2. If the final approval authority is not the Dean (example: VP or CAP), we can let you know if the file has moved on to the final authority, however, we do not have any other information.

NOTE: CAP requires a minimum of 4-8 weeks to review a file, this occurs, AFTER Dean’s committee review
Next Steps: Tracking/UCPath

1. After appointment is approved; follow department procedures to enter appointment into UCPath

2. Track the appointment: keep a log or other system to manage the appointment

3. Review UCPath on a regular basis to ensure the appointment is entered accurately

4. Follow other onboarding procedures as established by your department/other SOM offices
<table>
<thead>
<tr>
<th>Dept.</th>
<th>Last</th>
<th>First</th>
<th>Initial Hire Date/Renewal</th>
<th>END</th>
<th>T-Code</th>
<th>Title</th>
<th>Step</th>
<th>Salary</th>
<th>%</th>
<th>VISA</th>
<th>Next Rev Date</th>
<th>Next Action</th>
<th>Next Step</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td>Medicine</td>
<td>Eyre</td>
<td>Jane</td>
<td>5/1/2023</td>
<td>4/30/2024</td>
<td>1732</td>
<td>HS Assistant</td>
<td>III</td>
<td>$92,100</td>
<td>100</td>
<td>n/a</td>
<td>24-25</td>
<td>M</td>
<td>IV</td>
<td>Initial Appt; 2 years on clock, MCA due by 7/1/27</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>5/1/24</td>
<td>6/30/24</td>
<td>1732</td>
<td>HS Assistant</td>
<td>III</td>
<td>$92,100</td>
<td>100</td>
<td>n/a</td>
<td>24-25</td>
<td>M</td>
<td>IV</td>
<td>Short Extension</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>7/1/24</td>
<td>6/30/2025</td>
<td>1732</td>
<td>HS Assistant</td>
<td>III</td>
<td>$92,100</td>
<td>100</td>
<td>n/a</td>
<td>24-25</td>
<td>M</td>
<td>IV</td>
<td>First Annual Renewal</td>
</tr>
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<td></td>
<td></td>
<td>7/1/25</td>
<td>6/30/26</td>
<td>1732</td>
<td>HS Assistant</td>
<td>IV</td>
<td>n/a</td>
<td>100</td>
<td>n/a</td>
<td>26-27</td>
<td>P</td>
<td>II</td>
<td>Promotion</td>
</tr>
</tbody>
</table>
1. **REMINDER:** CAP files take an additional 4-8 weeks for approval! This is the time needed to have the file reviewed by AP, added to a CAP agenda, and obtain signature from final authority (Provost or Chancellor).

2. **CAP Hiatus** – hiatus starts in mid-July. In 2024, last meeting is on 7/18/24 until approx. third week of September.

3. **Affiliates** – require additional paperwork, and HS, WOS/Affiliates have their own paperwork process.

4. **Split Appointments** – work with the other School. SOM is always the ‘Home’ and initiates the file. Not the same as a Joint WOS Appointment.

5. **Transfers from other UC’s** – special procedures may be required; let the Dean’s Analyst know well in advance (prior to routing TOL).

6. **Near Relatives Agreement Form** – required if the candidate will be within same department as spouse or other close family member.

7. **Spousal Hire** – in some cases a spouse is hired along with a Line Series faculty: please notify your Dean’s Analyst early so that our office may coordinate with any other department/schools involved.
Other Considerations: Start Date

January 1 vs. January 2

A fiscal-year appointee who is appointed during the period July 1 through January 1 will receive one year’s credit at rank and step. The time at rank/step starts counting on July 1 of current fiscal year:

Ex. Start date: 1/1/24
Start counting time at rank/step on 7/1/23
First review due Fall 24-25, eff. on 7/1/25
First review period 1/1/24 to 9/30/24
Time until 1st review: approx. 9 months

A fiscal-year (11-month) appointee who is appointed during the period January 2 through June 30 will not receive credit for that year at rank and step. The time at rank/step starts counting on July 1 of the next fiscal year:

Ex. start date 1/2/24
Start counting time at rank/step on 7/1/24
First review due 25-26, eff. on 7/1/26
First review period 1/2/24 to 9/30/25
Time until 1st review: approx. 21 months

APP 3-30, see Appendix I
Any Questions?