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>
</tr>
<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>
</tr>
<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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</table>
# Upcoming Training/Office Hours

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<tr>
<th>Date</th>
<th>Event</th>
<th>Time</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>January 24</td>
<td>Office Hours</td>
<td>11:00a-12:00p</td>
<td>Bring your Questions!</td>
</tr>
<tr>
<td>January 30</td>
<td>New Analyst Series</td>
<td>10:00a-12:00p</td>
<td>ARUs and Academic Researchers</td>
</tr>
<tr>
<td>January 31</td>
<td>New Faculty Appointments</td>
<td>1:00p-2:30p</td>
<td>Repeat</td>
</tr>
<tr>
<td>February 1</td>
<td>New Analyst Series</td>
<td>10:00a-12:00p</td>
<td>Postdoc Appointment/Reappointment</td>
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</tbody>
</table>
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.)

Department to identify need

Department enters request in OSS for Deans Approval
2-4 Weeks

Dean’s office requests approval from VPAP Budget Process
3-5 Days

VPAP and Budget Office Review
SCN and Release Memo Issued
variable

Department creates Search Plan and assigns Search Committee
7 Days

6 Weeks

Search Committee to attend Diversity Training

Department submits Search Plan for approval
Search Plan Published
7 Days

Search Committee reviews applicants
AD posting for a minimum of
30 Days

Department submits Shortlisted Candidates for approval
3-5 Days

Department interviews approved shortlisted candidates
80-90 Days

15 Weeks

Department selects top candidate
15-40 Days

Create and route Search Report for approval and begin drafting Tentative Offer Letter (TOL)
7 Days

Route FTE Budget Resource Form for approval
7 Days

Submit final TOL for routing and approval
7-10 days

Candidate Accepts Offer

3-4 Weeks

Department prepares Appointment file
3-5 Weeks

Dean’s Office Review of submitted Appointment file
15 Days

ARAC review and recommendation
3-10 Days

Assistant Professor Steps I-III Deans Delegated or Deans Memo for non-Deans Delegated
3 - 7 Days

Assistant Professor Step IV and Above AP for CAP review and VPAP or Chancellor Approval
4-12 Weeks

11-22 Weeks

UCI School of Medicine
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:

1. First Level of Review: Department
2. 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
3. Third Level of Review: Academic Personnel (Campus Level)
   - Senate Asst IV + Above
   - CAP

Final Authority

*Timeline: add 4-8 weeks for CAP review*
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
Use candidate's full, formal name and credentials

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

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
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.
# Academic Personnel Appointment Summary - (UCI-AP-20)

**NAME:** Jane Doe, MD  
**DEPARTMENT(S):** Medicine  
**JPF NUMBER:** 81652  
**APPOINTMENT %:** 100  
**EFFECTIVE DATE:** 4/1/2024  
**RECOMMENDED SALARY:** $91,300.00  
**BASIS/Paid Over:** FY 11/12  
**SALARY SCALE:** Regular  
**FTE SALARY CONTROL #: (if applicable)** 10025523

<table>
<thead>
<tr>
<th>TITLE CODE</th>
<th>TITLE NAME</th>
<th>BASIS/Paid Over</th>
<th>SALARY SCALE</th>
<th>FTE SALARY CONTROL #</th>
</tr>
</thead>
<tbody>
<tr>
<td>1717</td>
<td>Assistant Professor-HCOMP</td>
<td>FY 11/12</td>
<td>Regular</td>
<td>10025523</td>
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</table>

**Visa Type:**  
**Visa End Date:**  
**Highest Degree:**  
**Institution:**

**REVIEW THE CV FOR ACCURACY/COMPLETENESS**

**Residency Status and Degree Information:**

**Present Employment:**

<table>
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<tr>
<th>Dates</th>
<th>Title</th>
<th>Step</th>
<th>Institution</th>
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</thead>
<tbody>
<tr>
<td>7/1/2022-current</td>
<td>Assistant Professor-HCOMP</td>
<td>II</td>
<td>UCLA</td>
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<tr>
<td>7/1/2021-6/30/22</td>
<td>Resident</td>
<td>n/a</td>
<td>Harvard University</td>
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**U.C. Academic Employment History (if any):**

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<th>Dates</th>
<th>Title</th>
<th>Step</th>
<th>Institution/Campus</th>
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<tbody>
<tr>
<td>7/1/2022-current</td>
<td>Assistant Professor-HCOMP</td>
<td>II</td>
<td>UCLA</td>
</tr>
</tbody>
</table>

**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
Table 5

PROFESSORIAL SERIES (Adjunct, Clinical X, HS Clinical, In Residence, Ladder Rank) and
PROFESSOR OF TEACHING (LSOE) SERIES
HEALTH SCIENCES COMPENSATION PLAN
Salary Admin Plan: APU0 or APL0*

*Salary admin plan for Professors of Teaching (LSOE) series.
** Scale 0 is the same as the Faculty – Ladder Ranks – Professor Series – Fiscal Year Scale.
***For faculty on the UCDP minimum scale, please consult with the Office of Academic Personnel.

<table>
<thead>
<tr>
<th>Rank</th>
<th>Scale 0**</th>
<th>Scale 0**</th>
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<tbody>
<tr>
<td></td>
<td>1.00</td>
<td>1.00</td>
</tr>
<tr>
<td></td>
<td>10/1/2022</td>
<td>10/1/2023</td>
</tr>
<tr>
<td></td>
<td>Annual</td>
<td>Monthly</td>
</tr>
<tr>
<td>Instructor</td>
<td>70,800</td>
<td>5,900.00</td>
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<tr>
<td>Grade 4</td>
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<td></td>
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<tr>
<td>Assistant Professor</td>
<td>82,200</td>
<td>6,850.00</td>
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<tr>
<td>Assistant Professor of Teaching</td>
<td>87,100</td>
<td>7,258.33</td>
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<tr>
<td>Grade 3 (e.g., 001717, 001679)</td>
<td>92,100</td>
<td>7,675.00</td>
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<tr>
<td>II</td>
<td>97,200</td>
<td>8,100.00</td>
</tr>
<tr>
<td>IV</td>
<td>102,400</td>
<td>8,533.33</td>
</tr>
<tr>
<td>V</td>
<td>107,700</td>
<td>8,975.00</td>
</tr>
<tr>
<td>VI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Associate Professor</td>
<td>102,500</td>
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<tr>
<td>Associate Professor of Teaching</td>
<td>107,800</td>
<td>8,983.33</td>
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<tr>
<td>Grade 2 (e.g., 001719, 001619)</td>
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<td>9,400.00</td>
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<tr>
<td>II</td>
<td>120,100</td>
<td>10,008.33</td>
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<tr>
<td>IV</td>
<td>129,300</td>
<td>10,775.00</td>
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<tr>
<td>V</td>
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<tr>
<td>Professor</td>
<td>120,200</td>
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<tr>
<td>Professor of Teaching</td>
<td>129,400</td>
<td>10,793.33</td>
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<td>Grade 1 (e.g., 001721, 001619)</td>
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<td>11,616.67</td>
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<tr>
<td>II</td>
<td>149,900</td>
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<tr>
<td>IV</td>
<td>161,100</td>
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<td>V</td>
<td>173,200</td>
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<tr>
<td>VI</td>
<td>186,500</td>
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<td>VII</td>
<td>201,600</td>
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<tr>
<td>VIII</td>
<td>218,500</td>
<td>18,298.33</td>
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Use Health Sciences Scales
**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

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**SUPPLEMENTAL INFORMATION FOR NON-SENATE ACADEMIC TERM APPOINTEES**

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:**

- Initial Appointment
- Academic Review Action

- 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 135.

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 RESPONSABILITIES:** (see list)

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**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

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

2. **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.

3. **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, 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 dko@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
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

**APP 3-20-G**
Appointment File Documentation

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)

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
LORs, Cont’d

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’)

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:** 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’)
Teaching Evidence: (1) Student Teaching Evaluations

SOM AA FAQ's

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.
Teaching Evidence:
(1) Student Teaching Evaluations:
Exceptions, etc.

SOM AA FAQ's

(1) For Junior Faculty (Assistant rank), we can accept a file with no evaluations by exception, HOWEVER, this must be noted in the department letter (at minimum) and in the candidate's reflective teaching statement.

(2) Look carefully at the teaching evaluations in the file: teaching evaluations from the candidate's time as a trainee (Resident or Fellow) are not acceptable. These evaluations usually have an indicator like 'Evaluation of Fellow' on the page.
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.
Other Statements

**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

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.
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
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Special Situations

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 7/1/25  
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?