

**UCI** School of Medicine

## New Appointments: Faculty

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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

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Geoffrey Abbott, PhD  
Mohammad Helmy, MD  
Kyoko Yokomori, PhD

Senior Associate Dean, Academic Personnel  
Associate Dean for Academic Affairs/Non-Senate  
Associate Dean for Academic Affairs/Senate

Jami Holland  
Thuy Vu  
Maral Dakessian  
TJ Kennedy

Director, Academic Affairs  
Assistant Director, Academic Affairs  
Training Manager  
Compensation Plan Manager

Elizabeth Jurado  
Mirella Ruano  
Chanthou Sung  
April Heath  
Tracee Davis

Academic Affairs Dean's Level Review Analyst  
Academic Affairs Dean's Level Review Analyst  
Academic Affairs Dean's Level Review Analyst  
Academic Affairs Dean's Level Review Analyst  
Academic Affairs Dean's Level Review Analyst

Jaylee Mai  
Sonha Castelli

Academic Affairs Dean's Level Review Analyst (Non-Faculty)  
Academic Affairs Dean's Level Review Analyst (Non-Faculty)

# Upcoming Training/Office Hours

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January 24	Office Hours	11:00a-12:00p	<i>Bring your Questions!</i>
January 30	New Analyst Series	10:00a-12:00p	<i>ARUs and Academic Researchers</i>
January 31	New Faculty Appointments	1:00p-2:30p	<i>Repeat</i>
February 1	New Analyst Series	10:00a-12:00p	<i>Postdoc Appointment/Reappointment</i>

# 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

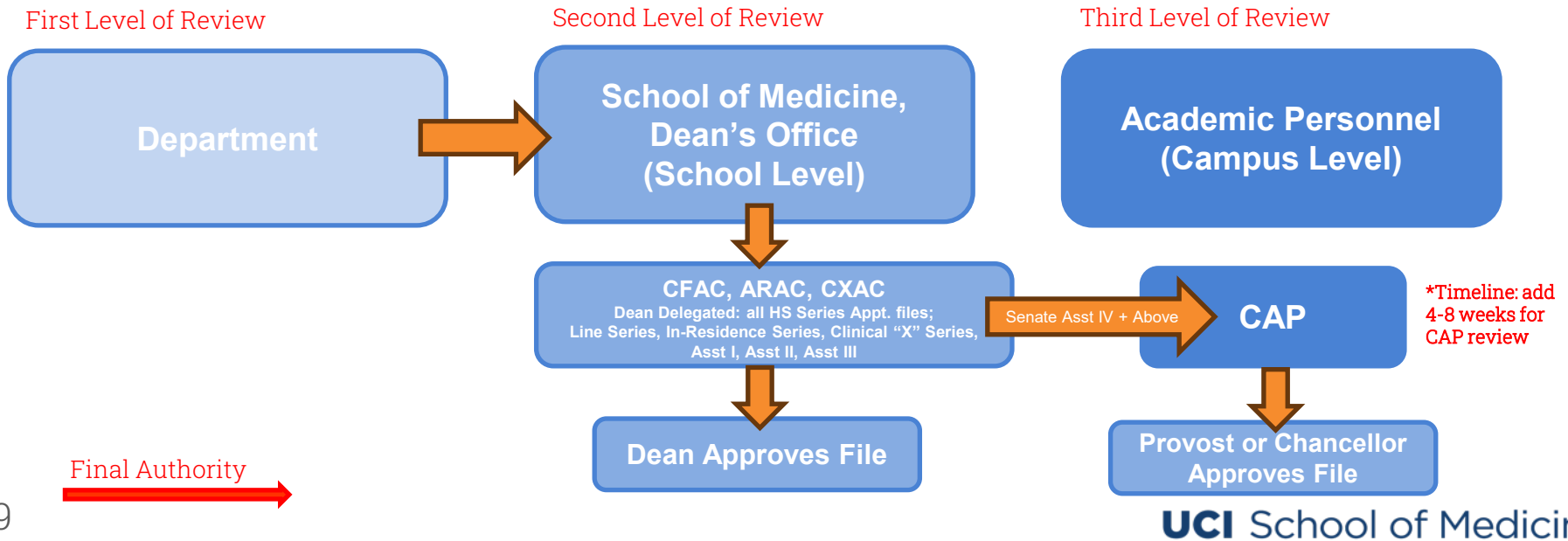




# Academic Delegations of Authority

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



**COMMITTEE REVIEW MEETINGS SCHOOL OF MEDICINE  
2024**

ARAC (Academic Resources Advisory Council) Meets 3<sup>rd</sup> Thursday of every month at 4:00pm  
Reviews:

All New Appointments:	Line Series, In Residence Series, Adjunct Series
All Promotions:	Line Series, In Residence Series, Adjunct Series
All Change of Series into Advancement St VI & A/S	Line Series, In Residence Series, Adjunct Series
Accelerated Actions of two or more years	Line, In Residence Series, Adjunct Series

CLINICAL X Committee Meets 3<sup>rd</sup> Monday of every month at 8:00 a.m. (\*4<sup>th</sup> Monday in January/February/June due to University Holidays)

Reviews:

All New Appointments:	Clinical X Series
All Promotions:	Clinical X Series
Advancement St VI & A/S	Clinical X Series
All Changes of Series into Accelerated Actions of two or more years	Clinical X Series

CFAC (Clinical Faculty Advisory Committee) Meets 2<sup>nd</sup> Tuesday every month at 7:00 a.m.

Reviews:

All New Appointments:	Health Sciences Clinical Series (Except H.S. Clinical Instructor)
All Promotions	Health Sciences Clinical Series
Advancement St VI & A/S	Health Sciences Clinical Series
All Changes of Series into All Accelerations	Health Sciences Clinical Series

VFAC (Volunteer Faculty Advisory Committee) Meets 3<sup>rd</sup> Wednesday of every month at 12:00 p.m.

Reviews:

All New Appointments	Volunteer Faculty
All Promotion	Volunteer Faculty

**FILES MUST BE RECEIVED IN THE DEAN'S OFFICE AT LEAST 15 DAYS PRIOR TO THE MEETING DATE IN ORDER TO BE ON THE AGENDA FOR THE MONTHLY MEETING**

CFAC Dates
1/9
2/13
3/12
4/9
5/14
6/11
7/9
8/13
9/10
10/8
11/12
12/10

ARAC Dates
1/18
2/15
3/21
4/18
5/16
6/20
7/18
8/15
9/19
10/17
11/21
12/19

CLINX Dates
1/22*
2/26*
3/18
4/15
5/20
6/17
7/15
8/19
9/16
10/21
11/18
12/16

VFAC Dates
1/17
2/21
3/20
4/17
5/15
6/19
7/17
8/21
9/18
10/16
11/20
12/18

## SOM Academic Review Committee Schedule

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

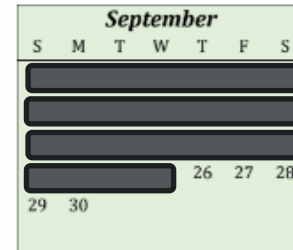
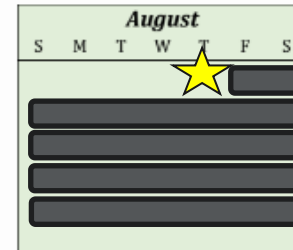
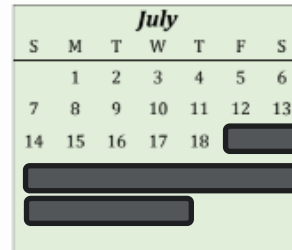
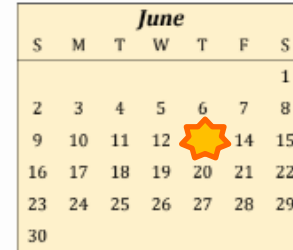
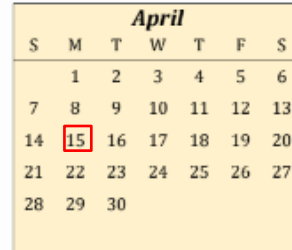
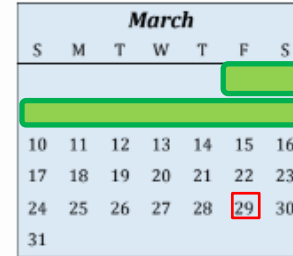
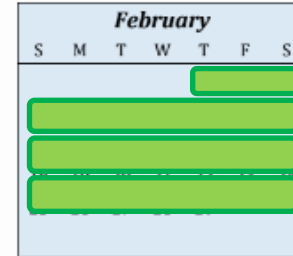
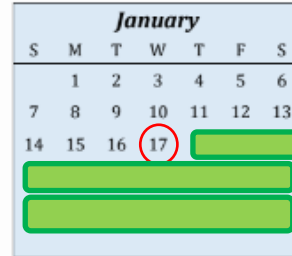
CXAC meeting: 4/15/24

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*

Recommended time to submit file (non-Senate) **3 months ahead of start date**

January						
S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17			

February						
S	M	T	W	T	F	S
			1	2	3	

March						
S	M	T	W	T	F	S

April						
S	M	T	W	T	F	S
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

May						
S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

June						
S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

July						
S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

August						
S	M	T	W	T	F	S
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

September						
S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

# Prepping and Assembling the File

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
3. Contact candidate for: a list of candidate-nominated LOR Referees, AP-9 Form, Reflective Teaching Statement\*, Student Teaching Evaluations and DEI Statement\*, current CV\*, Publications and optional Statements for file. *Be concise!* \*check Recruit
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](#)

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.**

UCI Office of Academic Personnel

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

Name:  Title/Series:  

Department:  Dean Delegated?  Yes  No JPF #:

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

Use candidate's full, formal name and credentials

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

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

**of the following recruitment procedures must be completed in AP Recruit prior to forwarding new appointment to your Dean's office:** (1) Generated a shortlist report and a search report. Both **must** be submitted and approved; (2) Search waiver has been approved; (3) Exemption has been approved.

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

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

The original dossier should include:

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

# AP-9

[AP-9 Form/Personal Data Sheet](#)

[APP 3-20-B, Base File](#)

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.

# AP-20 Form

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

Shortlist and Search Reports must be complete

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

NAME: Jane Doe, MD		Use candidate's full, formal name and credentials		JPF NUMBER: 81652	<input checked="" type="checkbox"/> Dean Delegated Act
DEPARTMENT(S): Medicine		If this is a split appointment, include the other Department or School name here		APPOINTMENT %: 100	<input type="checkbox"/> Non-Senate Appointment <i>[please attach and complete AP-137A]</i>
TITLE CODE: 1717	TITLE NAME: Assistant Professor-HCOMP		II	EFFECTIVE DATE: 4/1/2024	<input type="checkbox"/> Off-Scale <input type="checkbox"/> Split FTE
RECOMMENDED SALARY: \$91,300.00	BASIS/PAID OVER: FY 11/12	SALARY SCALE: Regular	FTE SALARY CONTROL #: <i>(if applicable)</i> 10025523		
<input type="checkbox"/> Off-Scale Authorization Needed by Vice Provost					

Use base, 'X' scale here; 'Basis/Paid Over is always FY 11/12 and Salary Scale should be 'Regular'

### Residency Status and Degree Information:

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

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

Please complete accurately

**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**

### Present Employment:

Dates	Title	Step	Institution
7/1/2022-current	Assistant Professor-HCOMP	II	UCLA
7/1/2021-6/30/22	Resident	n/a	Harvard University

### U.C. Academic Employment History (if any):

Years toward 8-year rule:  *(if applicable)*

Dates	Title	Step	Institution/Campus
7/1/2022-current	Assistant Professor-HCOMP	II	UCLA



# AP-20 Form, Cont'd

Enter the Dean's name here:

Mohammad Helmy, MD

Or

Kyoko Yokomori, PhD

		Modify: Other Recommendation	Signature	Print Name	Date
Dean Decision	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Modify				

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](#)

Teaching Titles	51% to 100%	WOS to 43%
<b>Senate</b>		
Assistant Professor - HCOMP *	1717	
Associate Professor - HCOMP **	1719	
Professor - HCOMP **	1721	
Assistant Professor In-Residence	1724	3271
Associate Professor In-Residence	1725	3261
Professor Professor In-Residence	1726	3251
Assistant Professor, Clinical X	1455	1452
Associate Professor, Clinical X	1454	1451
Professor, Clinical X	1453	1450
<b>Lecturer SOE</b>		
Lecturer SOE	1618	
Senior Lecturer SOE	1619	
<b>Non-Senate</b>		
HS Clinical Instructor	1731	2070
HS Assistant Clinical Professor	1732	2050
HS Associate Clinical Professor	1733	2030
HS Clinical Professor	1734	2010
<b>Adjunct Professor</b>		
Assistant Adjunct Professor	1728	3279
Associate Adjunct Professor	1729	3269
Adjunct Professor	1730	3259
<b>Visiting Professor</b>		
Visiting Professor	1108	
Visiting Associate Professor	1208	
Visiting Assistant Professor	1308	
Visiting Assistant Prof - HCOMP	1712	
Visiting Associate Prof - HCOMP	1713	
Visiting Professor - HCOMP	1714	

# Salary Scales

Use [Health Sciences Scales](#)

**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\***

Rank	Years at		Scale 0** 1.00		Scale 0** 1.00	
	Step	Step	Adjusted Scale*** 10/1/2022		Adjusted Scale*** 10/1/2023	
			Annual	Monthly	Annual	Monthly
<b>INSTRUCTOR</b> Grade 4	--	--	70,800	5,900.00	74,800	6,233.33
<b>ASSISTANT PROFESSOR</b>	I	2	82,200	6,850.00	86,500	7,208.33
<b>ASSISTANT PROFESSOR OF TEACHING</b> Grade 3 (e.g., 001717, 001679)	II	2	87,100	7,258.33	91,300	7,608.33
	III	2	92,100	7,675.00	96,400	8,033.33
	IV	2	97,200	8,100.00	101,700	8,475.00
	V	2	102,400	8,533.33	107,200	8,933.33
	VI	2	107,700	8,975.00	112,800	9,400.00
<b>ASSOCIATE PROFESSOR</b>	I	2	102,500	8,541.67	107,300	8,941.67
<b>ASSOCIATE PROFESSOR OF TEACHING</b> Grade 2 (e.g., 001719, 001618)	II	2	107,800	8,983.33	112,900	9,408.33
	III	2	113,400	9,450.00	118,900	9,908.33
	IV	3	120,100	10,008.33	125,600	10,466.67
	V	3	129,300	10,775.00	135,300	11,275.00
<b>PROFESSOR</b>	I	3	120,200	10,016.67	125,700	10,475.00
<b>PROFESSOR OF TEACHING</b> Grade 1 (e.g., 001721, 001619)	II	3	129,400	10,783.33	135,400	11,283.33
	III	3	139,400	11,616.67	145,900	12,158.33
	IV	3	149,900	12,491.67	156,900	13,075.00
	V	--	161,100	13,425.00	168,700	14,058.33
	VI	--	173,200	14,433.33	181,200	15,100.00
	VII	--	186,500	15,541.67	195,100	16,258.33
	VIII	--	201,600	16,800.00	210,900	17,575.00
	IX	--	218,500	18,208.33	228,600	19,050.00

\*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 UCOP 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 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 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, 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](mailto:dkodowd@uci.edu).

Sincerely,

Diane K. O'Dowd  
Vice Provost for Academic Personnel

# Department Vote

## SOM Vote Grid APP 1-14

### Department Voting Grid Terminology

<b>FOR</b>	The faculty vote is in favor of the proposed action.
<b>AGAINST</b>	The faculty vote is not in favor of the proposed action.
<b>ABSTAIN</b>	The faculty vote is abstain on the proposed action.
<b>DID NOT VOTE</b>	The faculty who did not vote.
<b>TOTAL ELIGIBLE TO VOTE</b>	<b>The members of the department eligible to vote excluding:</b> <ul style="list-style-type: none"><li>• administrators serving at other levels of review (refer to the above section, APP 1-14-D, Multilevel Review Process)</li><li>• near relatives</li><li>• faculty who recuse themselves because of conflict of interest</li><li>• the individual under review</li></ul>

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**



# Department Vote

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

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.

**Faculty Vote and Opinion: Departmental Recording of Vote**

Department: Medicine

Candidate's Name: Jane Doe, DO Date of Vote: 1/3/2024

Proposed Action: Appointment

From: \_\_\_\_\_

To: HS Assistant Clinical Professor, Step III

DEPT VOTE	FOR	AGAINST	ABSTAIN	DID NOT VOTE	TOTAL ELIGIBLE
<b>Senate</b>					
Professors	5	0	0	3	8
Professors	1	1	1	0	3
Asst. Professors	7	0	0	2	9
<b>Non-Senate</b>					
Professors	7	0	0	3	10
Professors	3	1	0	4	8
Asst. Professors	5	0	0	2	7
<b>Total</b>	<b>28</b>	<b>2</b>	<b>1</b>	<b>14</b>	<b>45</b>

Comments: Chair Voted with Department Abstain Comments: "Do not have enough information to vote at this time";  
Against Comments: "I don't feel that this is the appropriate rank/step, should be Assistant II";

\*Use the Comments area to describe reasons for abstentions or negative votes  
\*\*See APP 1-14 for policy on Departmental Voting Procedures

SOM Vote Grid - Revised 08/2022

# 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)

## 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**

# 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 be 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)

# AP-11

## 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')

## IDENTIFICATION AND QUALIFICATIONS OF EXTERNAL REFEREES

Name of Candidate: FULL NAME AND CREDENTIALS Department: Dept. Name

PLEASE 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.

FOR PROMOTION/ADVANCEMENT, THE EXTERNAL LETTER WRITER MUST BE AT, OR ABOVE, THE RANK TO WHICH THE CANDIDATE IS BEING PROMOTED.

Referee Code	Nominated by Dept or Cand?	CANDIDATE NAME, Name: CREDENTIALS Title: TITLE
A	D/C	Institution: INSTITUTION AND DEPT (*IF AT UCI)
Responded?	Conflicted?	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
Y/N	Y/N	
Qualifications: DESCRIBE QUALIFICATIONS HERE; CAN ALSO INCLUDE A LINK TO BIOGRAPHY		

Referee Code	Nominated by Dept or Cand?	Name: John Doe, DO Title: Professor
A	D	Institution: UC Irvine, Department of Neurology
Responded?	Conflicted?	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
Y	Y	
Qualifications: Dr. Doe is a Harvard-trained Neurologist and currently works at UC Irvine as a Professor in the department of Neurology.		

# 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 2<sup>nd</sup> 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

**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

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*

# 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)

Jeffery A Dusek PhD  
Appointment to Professor In Residence, Step 1

58. Trent N, Miraglia M, Dusek JA, Pasalis E, Khalsa SBS. Improvements in Psychological Health Following a Residential Yoga-based Program for Frontline Professionals. *J Occup Environ Med*. 2018 Apr;60(4):357-367. doi: 10.1097/JOM.0000000000001216. PubMed PMID: 29111989. <https://pubmed.ncbi.nlm.nih.gov/29111989/>

59. Dusek JA, Griffin KH, Finch MD, Rivard RL, Watson D. Cost Savings from Reducing Pain Through the Delivery of Integrative Medicine Program to Hospitalized Patients. *J Altern Complement Med*. 2018 Feb 23. doi: 10.1089/acm.2017.0203. [Epub ahead of print] PubMed PMID: 29474095. <https://pubmed.ncbi.nlm.nih.gov/29474095/>

60. Dusek JA, JaKa M, Wallerius S, Fairchild S, Victorson D, Rivard RL, Betzner A. Rationale for routine collection of patient reported outcomes during integrative medicine consultation visits. *Complement Ther Med* 2018 Apr;37:43-49. doi: 10.1016/j.ctim.2018.01.012. Epub 2018 Jan 31. PubMed PMID: 29609936. <https://pubmed.ncbi.nlm.nih.gov/29609936/>

61. Bhasin MK, Denniger JW, Huffman JC, Joseph MG, Niles H, Chad-Friedman E, Goldman R, Buczynski-Kelley B, Mahoney BA, Frichionne GL, Dusek JA, Benson H, Zusman RM, Libermann TA. Relaxation Response induces specific transcriptome changes associated with blood pressure reduction in hypertensive patients. *J Altern Complement Med*. 2018 Apr 4. doi: 10.1089/acm.2017.0053. [Epub ahead of print] PubMed PMID: 29616846. <https://pubmed.ncbi.nlm.nih.gov/29616846/>

62. Sevinc G, Hölzel BK, Hashmi J, Greenberg J, McCallister A, Treadway M, Schneider ML, Dusek JA, Carmody J, Lazar SW. Common and Dissociable Neural Activity Following Mindfulness-Based Stress Reduction and Relaxation Response Programs. *Psychosom Med* 2018 Apr 10. doi: 10.1097/PSY.0000000000000590. [Epub ahead of print] PubMed PMID: 29642115. <https://pubmed.ncbi.nlm.nih.gov/29642115/>

63. Trent NL, Borden S, Miraglia M, Pasalis E, Dusek JA\*, Khalsa SBS\*. Improvements in Psychological and Occupational Well-Being in a Pragmatic Controlled Trial of a Yoga-Based Program for Professionals. *J Altern Complement Med*. 2019 Apr 26; doi: 10.1089/acm.2018.0526. [Epub ahead of print] PubMed PMID: 31033341. \*Co-senior authors. <https://pubmed.ncbi.nlm.nih.gov/31033341/>

64. Trent NL, Borden S, Miraglia M, Pasalis E, Dusek JA\*, Khalsa SBS\*. Improvements in Psychological and Occupational Well-being Following a Brief Yoga-Based Program for Education Professionals. *Glob Adv Health Med*. 2019;8: 2164956119856856. doi: 10.1177/2164956119856856. eCollection 2019. PubMed PMID: 31218118; PubMed Central PMCID: PMC6563397. \*Co-senior authors. <https://pubmed.ncbi.nlm.nih.gov/31218118/>

65. Dyer NL, Borden S, Dusek JA, Khalsa SBS. Long-Term Improvements in Psychological Health Following a Yoga-Based Program for Professionals. *J Altern Complement Med*. 2020 Feb;26(2):154-157. doi: 10.1089/acm.2019.0340. Epub 2020 Jan 8. PMID: 31913648. <https://pubmed.ncbi.nlm.nih.gov/31913648/>

66. Dyer NL, Borden S, Dusek JA, Khalsa SBS. A Pragmatic Controlled Trial of a Brief Yoga and Mindfulness-Based Program for Psychological and Occupational Health in Education Professionals. *Complement Ther Med*. 2020 Aug;52:102470. doi: 10.1016/j.ctim.2020.102470. Epub 2020 Jun 5. PubMed PMID: 32951720. <https://pubmed.ncbi.nlm.nih.gov/32951720/>

# 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

# SAMPLE Tracker

Dept.	Last	First	Initial Hire Date/Renewal	END	T-Code	Title	Step	Salary	%	VISA	Next Rev Date	Next Action	Next Step	Notes
Medicine	Eyre	Jane	5/1/2023	4/30/2024	1732	HS Assistant	III	\$92,100	100%	n/a	24-25	M	IV	Initial Appt; 2years on clock, MCA due by 7/1/27
			5/1/24	6/30/24	1732	HS Assistant	III	\$92,100	100%	n/a	24-25	M	IV	Short Extension
			7/1/24	6/30/2025	1732	HS Assistant	III	\$92,100	100%	n/a	24-25	M	IV	First Annual Renewal
			7/1/25	6/30/26	1732	HS Assistant	IV		100	n/a	26-27	P	II	Promotion

# 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

APP 3-30, see Appendix I

## 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 1<sup>st</sup> 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 1<sup>st</sup> review: approx. 21 months

# Any Questions?

