

UCI School of Medicine

Academic Affairs



Merits and Promotions for **Senate and Adjunct Faculty**

April 8, 2024

Academic Affairs Leadership

Geoffrey W. Abbott, PhD

Vice Dean, Basic Research
Senior Associate Dean, Academic Personnel
School of Medicine



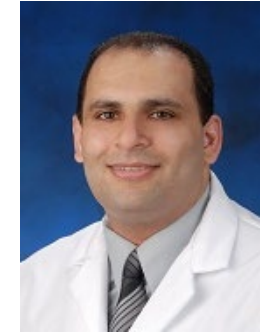
Kyoko Yokomori, PhD

Associate Dean for Academic Affairs, Senate (**Senate/Adjunct**)



Mohammad Helmy, MD,

Associate Dean for Academic Affairs, Non-Senate (HS Clinical)



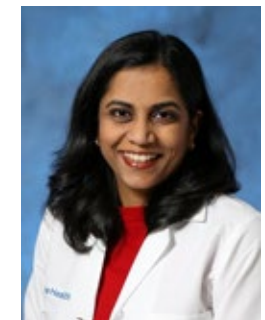
Brian Cummings, PhD

Associate Dean, Faculty Development, Senate (**Senate/Adjunct**)



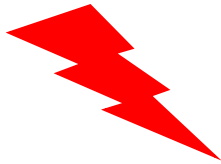
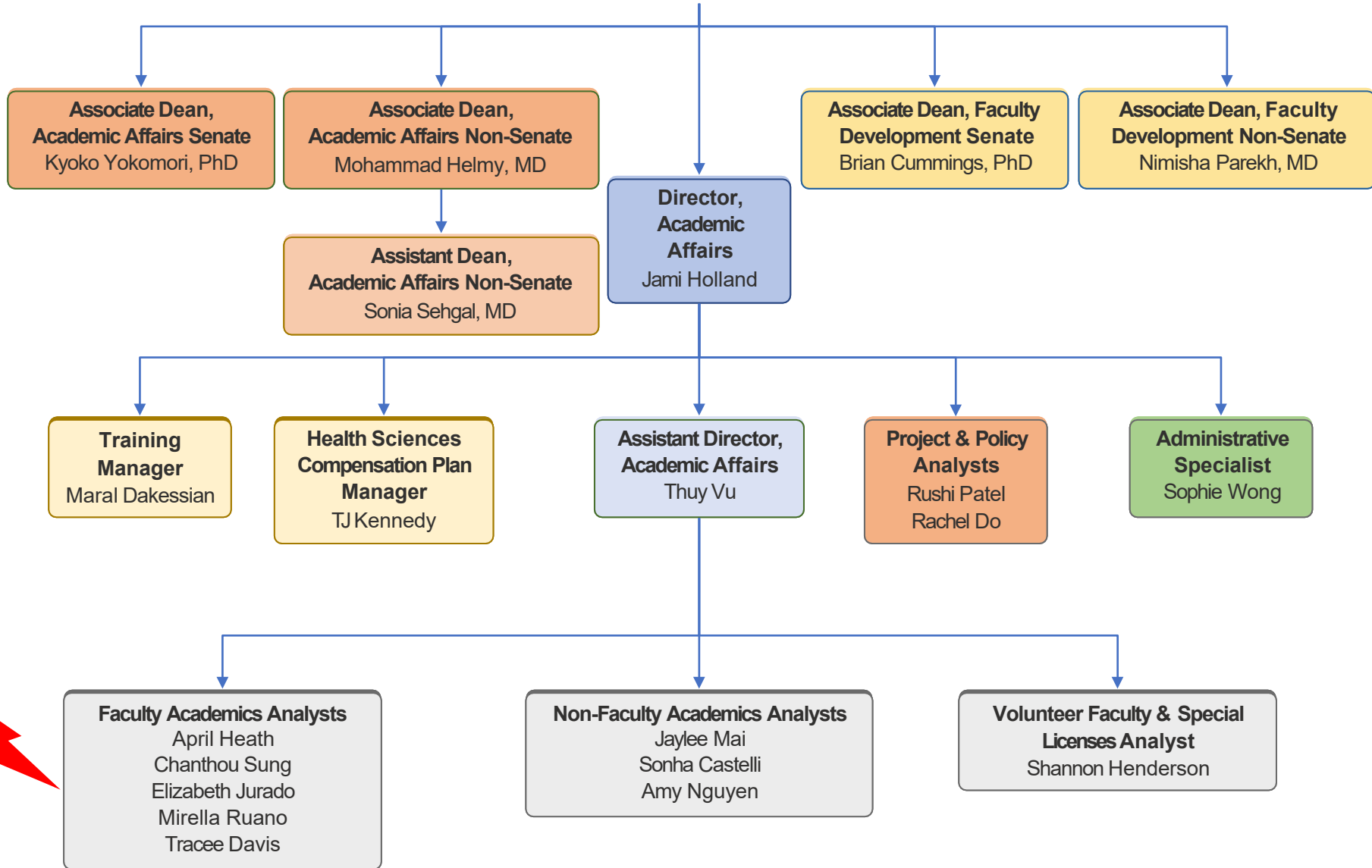
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Associate Dean, Faculty Development, Non-Senate (HS Clinical)



**UCI School of Medicine
Academic Affairs**

**Senior Associate Dean,
Academic Personnel**
Geoff Abbott, PhD



Today we are covering...

SOM Senate Faculty (and Adjuncts)

- In Line (Senate - tenure track)
- In Residence (Senate)
- In Line/In Residence (50/50)(Senate)
- Clinical X (Senate)
- Adjunct (non-Senate)

HS Clinical was covered on 3/11/24 – see Dean's website for recording

Academic Personnel Review

- Ranks
 - Assistant Professor
 - Associate Professor
 - Professor
- Steps
 - Levels within each rank
 - Assistant Professor – Steps I through VI
 - Associate Professor – Steps I through V
 - Professor – Steps I through IX

Review frequency (years)

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

MCA
(mid-career appraisal)

6 years normal
8 years max

Step V can be Indefinite
(reviewed at least every 5 years)

↓ Advancement to Step VI

Above scale
(Distinguished Professor)

Evaluation criteria

Teaching/mentoring

Excellent teaching evaluations
Record of mentoring

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

Creative activities

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

Services

Evidence for professional recognition
List of professional and university service activities

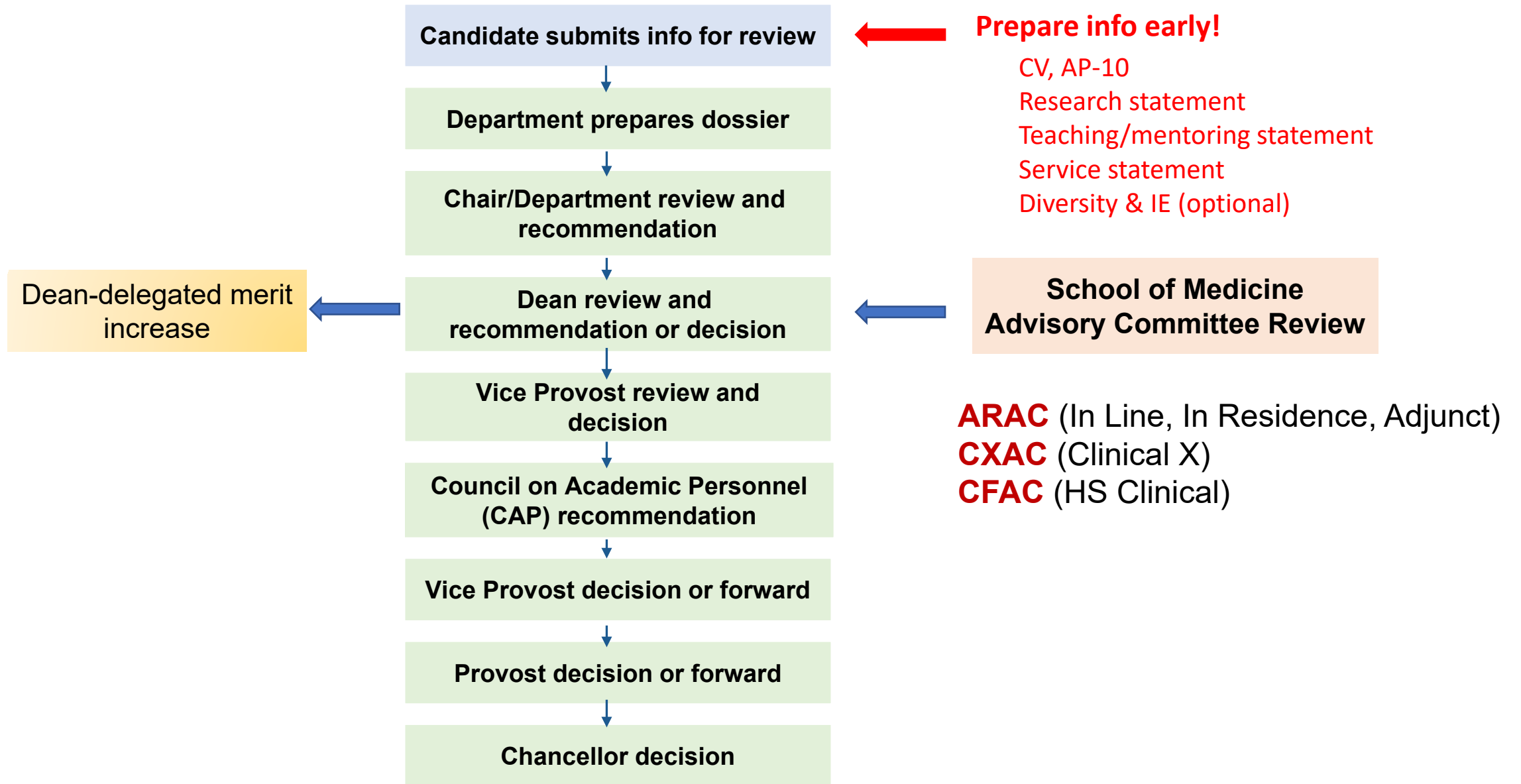
Clinical competence

Above Scale Merit Categories Revised

Proposed Action or Final Decision	Period of service (years)	% increase on total salary	Clock	Expectations
Advancement to Above Scale	4 years minimum at Step IX	8.5	reset	Highest distinction of excellence in each of the three review areas.
Above Scale Merit 3 Old Merit Plus	4 years minimum*	10	reset	Very rare action. Higher expectations than an accelerated merit in the Professor or Professor of Teaching rank with the highest distinction of excellence in the primary area and excellence/demonstration of leadership or impact in the other two review areas.
Above Scale Merit 2 Old Merit	4 years minimum*	8	reset	Similar to expectations for an accelerated merit in the Professor or Professor of Teaching rank with the highest distinction of excellence in the primary review area and excellence/demonstration of leadership or impact in a second review area and continuing good performance in the third review area. No area subpar.
Above Scale Merit 1 New	4 years minimum*	4	reset	Similar to expectations of excellence for merit in the Professor or Professor of Teaching rank with the highest distinction of excellence in the primary review area and continuing good performance in the other two review areas. No area subpar.
No change	4 years	0	not reset	Does not meet standards for merit at 4 years; Required review in year 5 for a Five-Year Review or Above Scale Merit 1, 2 or 3.
Five Year Review - Satisfactory	5 years	0	reset	Continuing good contributions in all three review areas. No area subpar.
Five Year Review - Unsatisfactory	5 years	0	not reset	One or more areas subpar. Three-year action plan with yearly progress reports required. Must be reviewed no later than 5 years after Unsatisfactory 5-year review.

Above Scale Merits 2 and 3 are similar to accelerations so accelerated merits in time are not permitted at Above Scale.

The Review Process



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

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



ARAC

Academic Resources Advisory Council

- Clinical X (Senate)



CXAC

Clinical X Advisory Committee

Preparation for file submission 2024-2025

Chair meets with Faculty to discuss Proposed Academic Actions	March 2024
Proposed Academic Action Report submission to Academic Affairs Office	May 1, 2024
Solicitation of Letters of Recommendation (Promotions & Advancement to Above Scale)	June 1, 2024

File Submission Deadlines 2024-2025

Academic Affairs Office will accept early file submission	August 1, 2024	
Postponement of Tenure Review Files Merits, including one-year accelerations Accelerated Merits of two years or more Advancement to Professor Step VI No Change Reappointments Midcareer Appraisals Fifth Year Reviews	October 3, 2024	September 30, 2024
Faculty Promotions (normal & accelerated)	November 1, 2024	
Promotions (non-faculty academics) Non-reappointments Above Scale actions Merit, Deans Delegated All other actions, including non-Senate actions	December 2, 2024	

Associate Professors

- Steps I-III, every 2 years
- Steps IV and V, every 3 years
- Step IV overlaps with Professor Step I
- Step V overlaps with Professor Step II
- Consider promotion after 6 years
- Every other normal merit is Dean-delegated.

Professor Series or Equivalent Titles					
Assistant Professor 8 year limit, tenure-track		Associate Professor 6 years normal, tenured		Full Professor Indefinite, tenured	
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				V	3
				VI	3
				VII	3
				VIII	3
				IX	4 normal minimum
				A/S	4 normal minimum

Professor

- Merit every 3 years for Steps I through VIII
- Step V and above can be indefinite and requires review every 5 years even with no action
- Step V to VI is similar to promotion (without outside letters)
- A/S “above scale” is “Distinguished Professor” (IX to A/S requires letters)
- Merit review every 4-5 years for Step IX and above scale.
- Some steps are **CAP** reviewed and some are **Dean-delegated**.

Professor Series or Equivalent Titles					
Assistant Professor 8 year limit, tenure-track		Associate Professor 6 years normal, tenured		Full Professor Indefinite, tenured	
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DD (V)

DD (VII)

→ CAP (V)

→ CAP (VII)

→ CAP (IX)

Evaluation criteria

Teaching/mentoring

Excellent teaching evaluations
Record of mentoring

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

Creative activities

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

Services

Evidence for professional recognition
List of professional and university service activities

Clinical competence

What documents are needed?

- **AP-10 Addendum**---This is the primary review file. All information **during the review period** should be included.
- CV (information of your entire career)
- Outside letters (only mandatory for initial appointment, promotions, and advancement to Professor Above Scale)---please include letters from other UC campuses!
- **Teaching evaluations (during the review period up to 5 years)** } 2 pieces of evidence for teaching
- **Reflective teaching/mentoring statement** (required) } **Personal statements**
- **Research/creative activity statement** (if applicable) } **3pages Max for each statement!**
- **Service statement** (not required but recommended) }
- **Inclusive Excellence/Diversity statement** - only required for the initial appointment
 - optional for merit/promotion review, if there is something you want to highlight
 - CAP typically prefers this information to be included in AP-10 for merit/promotion review

UC-AP-10 Addendum (2022-06 version)

Section I----Employment history

Section II----Teaching/mentoring

Section III----Creative activities

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

Section V----University services/Clinical competence

Teaching/mentoring

- Good teaching is essential for advancement
- Classroom and laboratories, wards, operating room, and clinic
- Clinical teaching of medical students, residents and fellows
- More weight given to teaching activities for which **evaluations** are provided
 - Department Administrators can provide specific information on **teaching evaluation** content and format
- Research mentoring of graduate students, postdoctoral scholars, undergraduate students, visiting scholars, and lab personnel.
 - Junior faculty (career development) mentoring may be considered as “service”.

Two pieces of evidence for teaching (required)

- Reflective Teaching and Mentoring Statement
 - Show engagement with teaching evaluations (student and/or peer).
 - Acknowledge issues and explain how they were addressed (**major issues should also be mentioned in the departmental letter**).
 - Informal mentoring is also appreciated. Describe efforts, activities, time commitment, and contributions, along with impact and outcomes when possible.
 - Faculty should take care to maintain the confidentiality of mentees and thus **not list any names and identifying characteristics**.
 - <https://ap.uci.edu/2023/08/03/docinformalmentoring/>
- Student Evaluations of Teaching (SET)
 - Include SETs for the current review period, at most for the past 5 years.
 - Response rates are important (indicate if low response rates are normal within unit).
 - Student comments, especially ones that appear frequently, are often more valuable than numerical scores.
 - CAP discusses potential gender/ethnicity/race biases in teaching evaluations and related concerns.

Research and Creative Activity

- Contributions: explain role and impact
 - Explain the prestige and/or impact of the venues (e.g., journals, academic presses, exhibition).
 - For collaborative work, state the meaning of the order of authors (by role, alphabetical, etc.) and the candidate's role in the initiation of the research idea and in its execution (leader, providing a unique perspective/approach, mentor or a minor role).
 - Explain the importance of the research/creative activity itself.
- Research grants and external funding
 - A means of scholarship and mark of stature in the field.
 - Explain grant totals – if the amount is listed, indicate candidate's share.

Peer-reviewed publications

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

Research and Creative Activity

- **Extramural funding** (grants) and/or **industry-funded investigator-initiated clinical trials** as the PI, MPI or site-PI
- **Current research protocols** that have IRB approval but for which the clinical trial has not yet been funded or initiated can be mentioned in the research statement

Clinical X and Adjunct faculty

- Publishing “**peer-reviewed**” case reports, review articles, and book chapters, development of teaching materials or web site content, and clinical trials (as PI or site-PI) are considered important creative activity for members.

Professional Recognition and Service Activity

- Awards and Honors, media coverage
- Participation in activities of clinical and/or professional organizations
- Membership on editorial boards and manuscript review
- Grant review, NIH and other study section membership
- Invited lectures at other institutions and professional meetings
- Accepted Abstract/Poster Presentations at Professional Meetings
- Community service outreach activities
- Mentorship of other faculty

Clinical competence

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

University Service

- Department, SOM, campus-wide, or UC-wide committees
- Hospital committees (**this should be under SOM**)
- Department Chair, Division Chief, Organized Research Unit (ORU) Director and other leadership roles
- Less service is expected from Assistant Professors
- Significant service/leadership is expected at higher ranks (**for senate faculty, campus-wide service is expected to ensure shared governance of the University of California**).

Service Activity

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

- Higher levels of service are required at higher steps.

Diversity

- CAP encourages the candidate to include their work in inclusive excellence and diversity where appropriate **in the AP-10**.
- If you feel strongly that your inclusive excellence/diversity efforts warrant a separate statement, you are free to provide a separate statement.
<https://ap.uci.edu/faculty/guidance/ieactivities/>
- It is helpful if these contributions are also highlighted in the departmental letter.
- Efforts and accomplishments have more impact than intentions.
- **Do not include personal data or names** when listing such activities on AP-10 or describing them in Inclusive Excellence statement. **(your file will be returned for correction!)**

Line, In-Residence, Adjunct Series

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

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

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

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

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

Clinical X Series

□ Promotion to Associate

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

□ Promotion to Professor

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

I need more time!

No action (reappointment for Assistant Professor)

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

Stop the Clock (STC): Assistant Professor only

- Up to 2 COVID STC (faculty must have started on or before June 2022)
- 1 STC for Personal and family reasons.

Deferral: Associate and Professor only

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

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

Should I accelerate?

Important criteria for acceleration

- There are 1-year, 2-year and/or whole step (or more) accelerations
- Faculty must be outstanding (far-above-typical accomplishments) in two out of three areas (research plus either teaching or service) and at least satisfactory in the third area
- **An analytical rationale for acceleration (outstanding in which two areas?) must be included in the Department Letter!**
- CAP will also consider excellence in activity related to diversity and broad impacts of inclusivity as a criterion for acceleration **if all other areas of review are similarly strong**

Accelerations: Outstanding Contributions in **Two Areas**

- Expectations in Professor Series compared to non-accelerated action at same rank/step
 - Research/Creative Activity is **required** area – Volume/impact twice as high
 - Service as second area – Volume/impact twice as high with evidence of leadership
 - Teaching/mentoring as second area – Volume NOT twice as high, but impact should be twice as high with evidence of leadership
- If department support for acceleration is mixed, the department should have one vote on acceleration and a second vote on normative action
- Stats on accelerations in 2022-23
 - Proposed accelerations = 31% of all cases (131 out of 425 cases)
 - Accelerations recommended by CAP = 52% of all proposed accelerations (16% of all cases)
 - One-year accelerations: CAP fully agreed with 77% (23 out of 30 cases)
 - One-step accelerations: CAP fully agreed with 49% (42 out of 85 cases)

SOM

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

FY22-23: ~23% went for acceleration and ~38% success rate
(~7-8% of all files)

FY22-23

	total	CAP Full agreement	Disagreement
School of Medicine	91	59	14
Normal proposal	70	52	10
Accelerated proposal	21	7	4

Sufficient for acceleration?

Sufficient to be at the particular step?

There is a higher bar required for accelerations:

- through major steps (promotion to associate, full, advancement to Prof VI and Above scale)

- from Assistant Professor, Step VI to Associate Professor Step IV, which overlaps with

Professor Step I

- more than one step than for other requests.

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

CAP tentative decisions

- As per normal process, faculty going up for promotion to Associate rank can add new materials until the final decision
- Tentative decision letters from CAP requesting additional information will continue to be optional, **not mandatory**, when there is disagreement between CAP and school recommendations
- You may accept the decision, or withdraw the file and resubmit in a following year (subject to 8y rule for Assist. Profs)

My activities and duties have changed. Switch series?

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

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

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

Clinical X series definition

The Clinical X series at University of California emphasizes clinical duties, teaching and creative output.

The position is not tenure-track and the research expectations are not quite the same as for tenure-track faculty.

Specifically, Clinical X faculty are expected to lead or have a significant intellectual and substantive contribution to a research program and/or be involved in other creative activities.

Creative activity may be highly integrated into clinical activities, and may include clinical-translational projects, health services/health outcomes research, case series, educational scholarship, or bench research.

Extramural support is **desirable** but not required.

Although this is not a tenured position, it confers membership in the UC Academic Senate.

Switch series? Only allowed once!

To Clinical X series:

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

To In Residence series:

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

To In Line series:

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

To Adjunct series:

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

To HS Clinical series:

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

- ❖ Switching between In residence and In line does not restart the clock!
- ❖ Restarting the clock means that you cannot include your accomplishments in previous series in your AP-10 for subsequent merit reviews (you can in your CV).

Junior Faculty mentoring mechanisms in SOM

- Faculty mentor (assigned at the time of hire)
- Departmental mentoring committee
- Associate Dean of Faculty Development (Brian Cummings)
 - Assistant Prof Slack channel - [somassistantp-bi13662](#)
 - **Post MCA** meeting (with Cummings and Yokomori)
 - Invitation to “observe” ARAC and CXAC meetings (twice)
 - “Monthly on Monday” faculty development seminar series
- NIH Bootcamp (assisting extramural grant submission)
- SOM mentoring committee (**pre-MCA**)
 - Main committee covering in line and in residence
 - Subcommittee covering CLINX

Helpful Websites

SOM Office of Academic Affairs:

<https://medschool.uci.edu/about/office-academic-affairs>

SOM Faculty Development Webinars

<https://medschool.uci.edu/about/why-choose-uci-school-medicine/academic-affairs/faculty-development/monthly-mondays>

Office of Academic Personnel-Resources for Faculty:

<https://ap.uci.edu/faculty/>

Academic Personnel Manual:

<http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/index.html>

Council on Academic Personnel FAQ:

<https://docs.google.com/document/d/1XCZNTNDiyZF3KNamkxKQkqeSP1hUU6gdX2WkehK3Dr4/edit>

Guidance for preparing review files and statements

<https://ap.uci.edu/faculty/guidance/>

AP-10 addendum (2022-06) can be found at

<https://ap.uci.edu/forms/>

