UCI School of Medicine

New Appointments: Faculty

School of Medicine
Academic Affairs Dean's Office

Created: January 2024
Updated: May 2024

Agenda

Resources

Common Errors

Planning the Faculty Appointment

Prepping & Assembling the File

Tracking Faculty/Follow-up

Special Situations/Considerations

Questions

UCI School of Medicine

School of Medicine Academic Affairs

Geoffrey Abbott, PhD	Senior Associate Dean, Academic Personnel
Mohammad Helmy, MD	Associate Dean for Academic Affairs/Non-Senate
Kyoko Yokomori, PhD	Associate Dean for Academic Affairs/Senate
Jami Holland	Director, Academic Affairs
Thuy Vu	Assistant Director, Academic Affairs
Maral Dakessian	Training Manager
TJ Kennedy	Compensation Plan Manager
Elizabeth Jurado	Academic Affairs Dean's Level Review Analyst
Mirella Ruano	Academic Affairs Dean's Level Review Analyst
Chanthou Sung	Academic Affairs Dean's Level Review Analyst
April Heath	Academic Affairs Dean's Level Review Analyst
Tracee Davis	Academic Affairs Dean's Level Review Analyst
Jaylee Mai	Academic Affairs Dean's Level Review Analyst (Non-Faculty)
Sonha Castelli	Academic Affairs Dean's Level Review Analyst (Non-Faculty)
Amy Nguyen	Academic Affairs Dean's Level Review Analyst (Non-Faculty)

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Resources

Campus Academic Personnel page

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

SOM Academic Affairs

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

UCPath Cognos Reports

Job Distribution Report
Person Roster Report
Person Dashboard

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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

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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 School of Medicine

UCI SOM Recruitment and Appointment Timeline

UCI SOM Recruitment & Appointment Flowchart
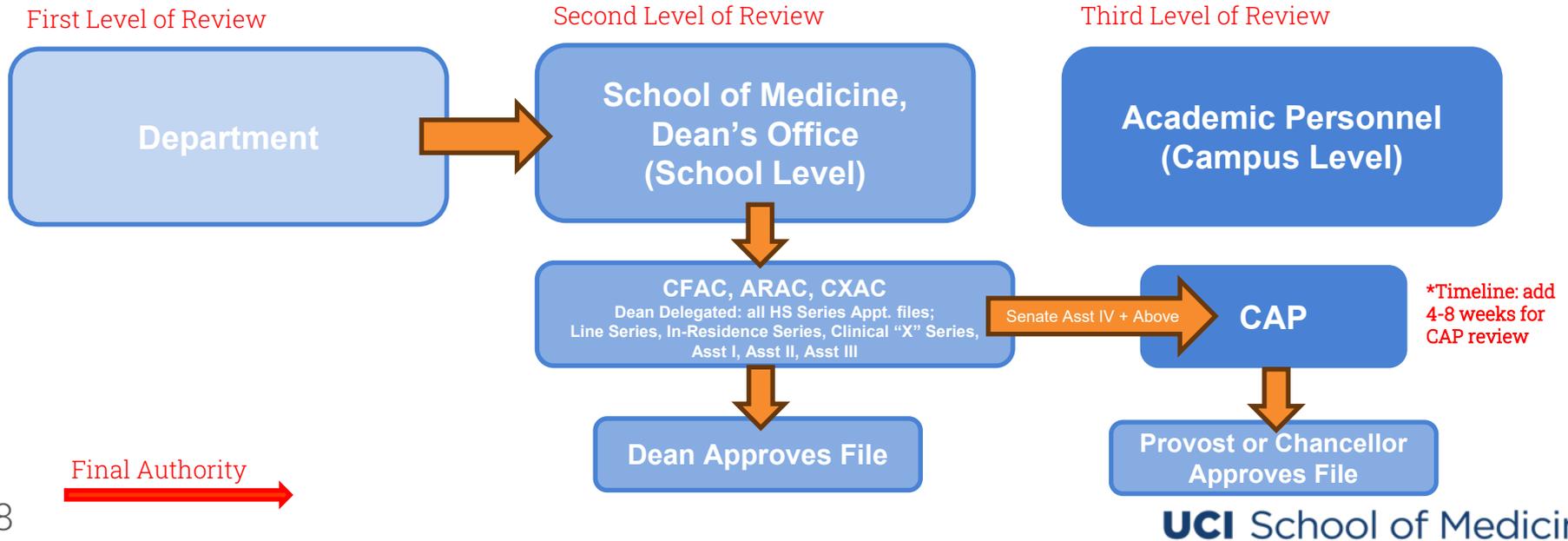
Current State: Budget – 6 weeks (1.5 mos.); Recruitment – 18-19 wks. (4.5 mos.);
New Appointments -11-22 wks. (3-5 mos.)
Legend: Budget Process, Recruitment Process, Tentative Offer Letter Process, Appointment Process

Department to identify need	Department enters request in DSS 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 Inteviews approved shortlisted candidates — 30-45 Days

Department selects top candidate — 15-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

15 Weeks   **3-4 Weeks**

Department prepares Appointment File — 3-6 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

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Academic Delegations of Authority

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

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

First Level of Review

Second Level of Review

Third Level of Review

Department

School of Medicine, Dean's Office (School Level)

Academic Personnel (Campus 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

Senate Asst IV + Above

CAP

*Timeline: add 4-8 weeks for CAP review

Dean Approves File

Provost or Chancellor Approves File

Final Authority

UCI School of Medicine

COMMITTEE REVIEW MEETINGS SCHOOL OF MEDICINE
2024

ARAC (Academic Resources Advisory Council) Meets 3rd 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	Line Series, In Residence Series, Adjunct Series
Advancement St VI & A/S	Line Series, In Residence Series, Adjunct Series
Above Scale Merit II & III	Line Series, In Residence Series, Adjunct Series
Accelerated Actions of two or more years	Line, In Residence Series, Adjunct Series

CLINICAL X Committee Meets 3rd Monday of every month at 8:00 a.m. (*4th 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
Above Scale Merit II & III	Clinical X Series
All Changes of Series into	Clinical X Series
Accelerated Actions of two or more years	

CFAC (Clinical Faculty Advisory Committee) Meets 2nd 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	Health Sciences Clinical Series
All Accelerations	Health Sciences Clinical Series

VFAC (Volunteer Faculty Advisory Committee) Meets 3rd 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		ARAC Dates		CLINX Dates		VFAC Dates	
Meeting	Deadline	Meeting	Deadline	Meeting	Deadline	Meeting	Deadline
1/9	12/22	1/18	1/3	1/22*	1/8	1/17	1/11
2/13	1/29	2/15	1/31	2/12*	2/7	2/21	2/6
3/12	2/26	3/21	3/6	3/18	3/4	3/20	3/5
4/9	3/25	4/18	4/3	4/15	4/1	4/17	4/2
5/14	4/29	5/16	5/1	5/20	5/6	5/15	4/30
6/11	5/28	6/20	6/5	6/17	6/3	6/19	6/4
7/9	6/24	7/18	7/3	7/15	7/1	7/17	7/2
8/13	7/29	8/15	7/31	8/19	8/5	8/21	8/6
9/10	8/26	9/19	9/4	9/16	9/2	9/18	9/3
10/8	9/23	10/17	10/2	10/21	10/7	10/16	10/1
11/12	10/28	11/21	11/6	11/18	11/4	11/20	11/5
12/10	11/25	12/19	12/4	12/16	12/2	12/18	12/3

[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

UCI School of Medicine

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

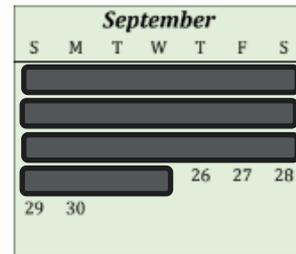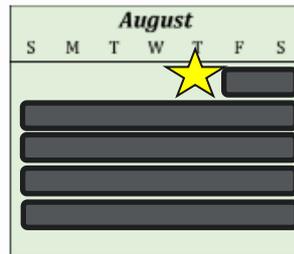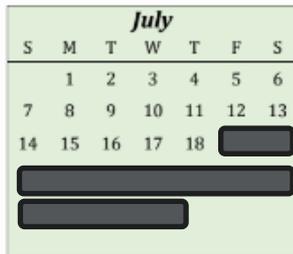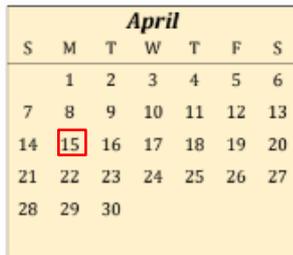Solicit LOR's first, then prep remaining file and plan for Dept. Letter and Vote
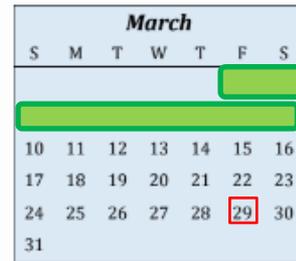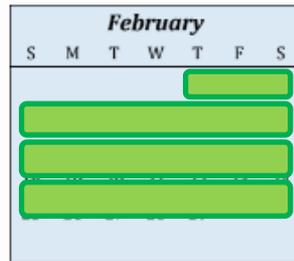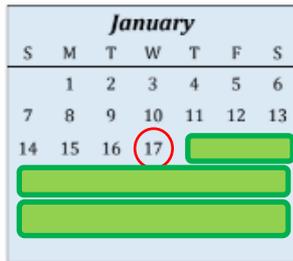
CXAC meeting:	4/15/24
Earliest CAP Meeting:	5/9/24

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

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

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

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

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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.

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

UCI Office of Academic Personnel

APPOINTMENT DOCUMENTATION CHECKLIST - (UCI-AP-30)

Name: _____   Title/Series: _____ ▼

Use candidate's full, formal name and credentials

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

~~ment:~~ _____   Dean Delegated? ☐ Yes ☐ No   JPF #: _____

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

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

☐ Checklist.

☐ One copy of the <u>informal offer</u> 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).

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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.

UCI School of Medicine

AP-20 Form

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

NAME:
Jane Doe, MD

DEPARTMENT(S):
Medicine

TITLE CODE:	TITLE NAME:	
1717	Assistant Profesor-HCOMP	II

RECOMMENDED SALARY:	BASIS/PAID OVER:	SALARY SCALE:	FTE SALARY CONTROL #: *(if applicable)*
$91,300.00	FY 11/12	Regular	10025523

JPF NUMBER:
81652

APPOINTMENT %:
100

EFFECTIVE DATE:
4/1/2024

☑ Dean Delegated Action

☐ Non-Senate Appointment
[please attach and complete AP-137A]

☐ Off-Scale ☐ Split FTE

☐ Off-Scale Authorization Needed by Vice Provost

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

Residency Status and Degree Information:

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

Present Employment:

Dates	Title	Step	
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: 2 *(if applicable)*

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

Callout annotations:

- Shortlist and Search Reports must be complete
- Make sure to check these boxes this will change the form to add/remove lines
- Use candidate's full, formal name and credentials. **If this is a split appointment,** include the other Department or School name here
- Use base, 'X' scale here; 'Basis/Paid Over is always FY 11/12 and Salary Scale should be 'Regular'
- 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

UCI School of Medicine

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	☐ Yes ☐ No ☐ 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

UCI School of Medicine

Title Codes

Use [SOM Title Codes Document](#)

Teaching Titles	51% to 100%	WOS to 43%
Senate		
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
Lecturer SOE	1618	
Senior Lecturer SOE	1619	
Non-Senate		
HS Clinical Instructor	1731	2070
HS Assistant Clinical Professor	1732	2050
HS Associate Clinical Professor	1733	2030
HS Clinical Professor	1734	2010
Assistant Adjunct Professor	1728	3279
Associate Adjunct Professor	1729	3269
Adjunct Professor	1730	3259
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	

UCI School of Medicine

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	Step	Years at Step	Scale 0** 1.00 Adjusted Scale*** 10/1/2022 Annual	Monthly	Scale 0** 1.00 Adjusted Scale*** 10/1/2023 Annual	Monthly
INSTRUCTOR Grade 4	--	--	70,800	5,900.00	74,800	6,233.33
ASSISTANT PROFESSOR **ASSISTANT PROFESSOR OF TEACHING** Grade 3 (e.g., 001717, 001679)	I	2	82,200	6,850.00	86,500	7,208.33
	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
ASSOCIATE PROFESSOR **ASSOCIATE PROFESSOR OF TEACHING** Grade 2 (e.g., 001719, 001618)	I	2	102,500	8,541.67	107,300	8,941.67
	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
PROFESSOR **PROFESSOR OF TEACHING** Grade 1 (e.g., 001721, 001619)	I	3	120,200	10,016.67	125,700	10,475.00
	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 or the UCOP minimum scale, please consult with the Office of Academic Personnel.

AP-137-A

Used for <u>all</u> Non-Senate Academic term Appointments

- HS Clinical Faculty Series

- Adjunct Faculty Series

- Non-ARU Researcher Series
(Project Scientist/Specialist/Researcher)

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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 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.

Callout annotations:

- Check the Box! AP-20
- Check the Box! Initial Appointment
- Please make sure to complete <u>thoroughly</u> and <u>accurately</u>. 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

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

UCI School of Medicine

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 <u>non-conflicted</u> member of the department's Merit/Promotions Committee; *<u>signature line must read 'On behalf of the faculty'</u>*

D. <u>LETTER MUST NOT BE SIGNED BY OR INCLUDE CONCURRENCE OF THE DEPARTMENT CHAIR</u>

SEE NEXT SLIDE FOR MORE TIPS ON WHO MAY SIGN THE DEPT LETTER

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UCI School of Medicine

Department Letter Reminders from AP

Email Announcement – Jan 10, 2024

Applies to New Appointment files <u>and</u> Review files

All relevant portions of APP have been updated

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

<u>Senate files must have a Senate Committee Chair sign the letter</u>

Department Vote

[SOM Vote Grid](#)
[APP 1-14](#)

Department Voting Grid Terminology

FOR	The faculty vote is in favor of the proposed action.
AGAINST	The faculty vote is not in favor of the proposed action.
ABSTAIN	The faculty vote is abstain on the proposed action.
DID NOT VOTE	The faculty who did not vote.
TOTAL ELIGIBLE TO VOTE	The members of the department eligible to vote excluding: • administrators serving at other levels of review (refer to the above section, APP 1-14-D, Multilevel Review Process) • near relatives • faculty who recuse themselves because of conflict of interest • the individual under review

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**

UCI School of Medicine

Department Vote

[SOM Vote Grid](#)
[APP 1-14](#)

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

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
Senate					
Professors	5	0	0	3	8
Professors	1	1	1	0	3
Asst. Professors	7	0	0	2	9
Non-Senate					
Professors	7	0	0	3	10
Professors	3	1	0	4	8
Asst. Professors	5	0	0	2	7
Total	**28**	**2**	**1**	**14**	**45**

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

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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 <u>EITHER</u> (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"

UCI School of Medicine

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

UCI School of Medicine

Letters of Recommendation (LOR's)

UCI School of Medicine Guidelines on Letters of Recommendation (LOR)
(Updated 2/28/2024)

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 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.

FY 2019-20 Update: CAP uses 'Conflicted' and 'Non-Conflicted' to evaluate specific conflicts between letter-writers and the faculty member being evaluated.

Conflicts might include:
- An advisor/mentor at any level (lifelong conflict)
- Substantive collaboration in the last 4 years
- Close personal or familial relationship
- Current faculty at UCI (*Please see exceptions/allowance related to appointment/promotion to the HS Associate Clinical Professor rank)
- Direct financial relationship

Page 1 of 2

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

UCI School of Medicine

Soliciting Letters of Recommendation (LORs)

Use Sample Solicitation Letters:

APP 3-20-Sample Solicitation Letters

*use Department Letterhead

Use the correct letter for the rank that the department will hire (Asst, Assoc, Full, etc.); and update the letter to include the correct TITLE SERIES (example: 'Dr. XXX is being considered for a faculty position as an Assistant Health Sciences Clinical Professor…")

EXHIBIT A

SAMPLE APPOINTMENT LETTER: ASSISTANT PROFESSOR

Dear Dr._____:

Dr. _____ is being considered for a faculty position as an Assistant Professor in the Department of _____ at the University of California, Irvine. We would appreciate obtaining your evaluation of Dr. _____'s potential as an independent research scientist and teacher. I am enclosing Dr._____'s curriculum vitae and recent reprints for your convenience.

Although the contents of your letter may be passed on to the candidate at prescribed stages of the review process, your identity will be held in confidence. The material made available will lack the letterhead, the signature block, and material below the latter. Therefore, material that would identify you, particularly your relationship to the candidate, should be placed below the signature block. In any legal proceeding or other situation in which the source of the confidential information is sought, the University does its utmost to protect the identity of such sources.

I am very much obliged for any assistance you can give us in this matter. Because of our schedule in this action, I would appreciate having your comments within the next month to six weeks, if at all possible.

Sincerely,

Dean/Chair/Executive Committee Chair

Enclosures

UCI School of Medicine

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 <u>reverse chronological</u> 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?

➢ <u>All</u> Letters must be:

    (1) Coded

    (2) On Letterhead

    (3) Signed

    (4) Dated

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

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AP-11

[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?	
		Name: CANDIDATE 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.):
Y/N	Y/N	DESCRIBE DO NOT CONCLUDE, example: Not Conflicted (this is a conclusion) vs. No recent collaborations
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.):
Y	Y	Dr. Doe works with Dr. XXX at UC Irvine and collaborated with Dr. XXX in 2021
Qualifications: Dr. Doe is a Harvard-trained Neurologist and currently works at UC Irvine as a Professor in the department of Neurology.		

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Teaching Evidence: (1) Student Teaching Evaluations

SOM AA FAQ's

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

<u>APM 210</u>: "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. <u>More than one kind of evidence shall accompany each review file</u>."

Student Teaching Evaluations are a required part of the file.

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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 <u>by exception</u>, HOWEVER, this must be noted in the department letter (at minimum) and in the candidate's reflective teaching statement.

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

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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.

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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 all 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.

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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 <u>all publications</u> or <u>a select # of publications that they wish to highlight</u>
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 <u>ONLY</u>, publications do not have to numbered
5. For new appointment files <u>ONLY</u>, publications do not have to be in reverse chronological order

It is <u>strongly encouraged</u> to have publications numbered on the CV , because this makes it easier to review the file and is good practice looking forward to the first Merit review; <u>however,</u> our office will not send the New Appt. file back if publication #'s are missing

Publications, Sample

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/

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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

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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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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

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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 1st review: approx. 9 months

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

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

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Any Questions?

Maral Dakessian
Training Manager

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