How to prepare a merit/promotion review file (clinical and non-clinical)

June 23, 2025

Academic Affairs Leadership

Geoffrey W. Abbott, PhD
Vice Dean, Basic Research
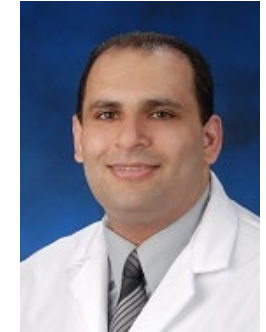Senior Associate Dean, Academic Personnel
School of Medicine

Kyoko Yokomori, PhD
Associate Dean for Academic Affairs, Senate (Senate/Adjunct)

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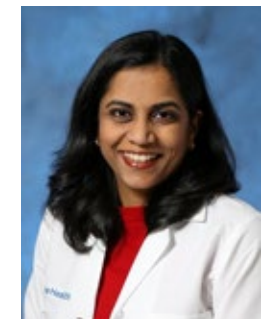Associate Dean for Academic Affairs, Non-Senate (HS Clinical)

Brian Cummings, PhD
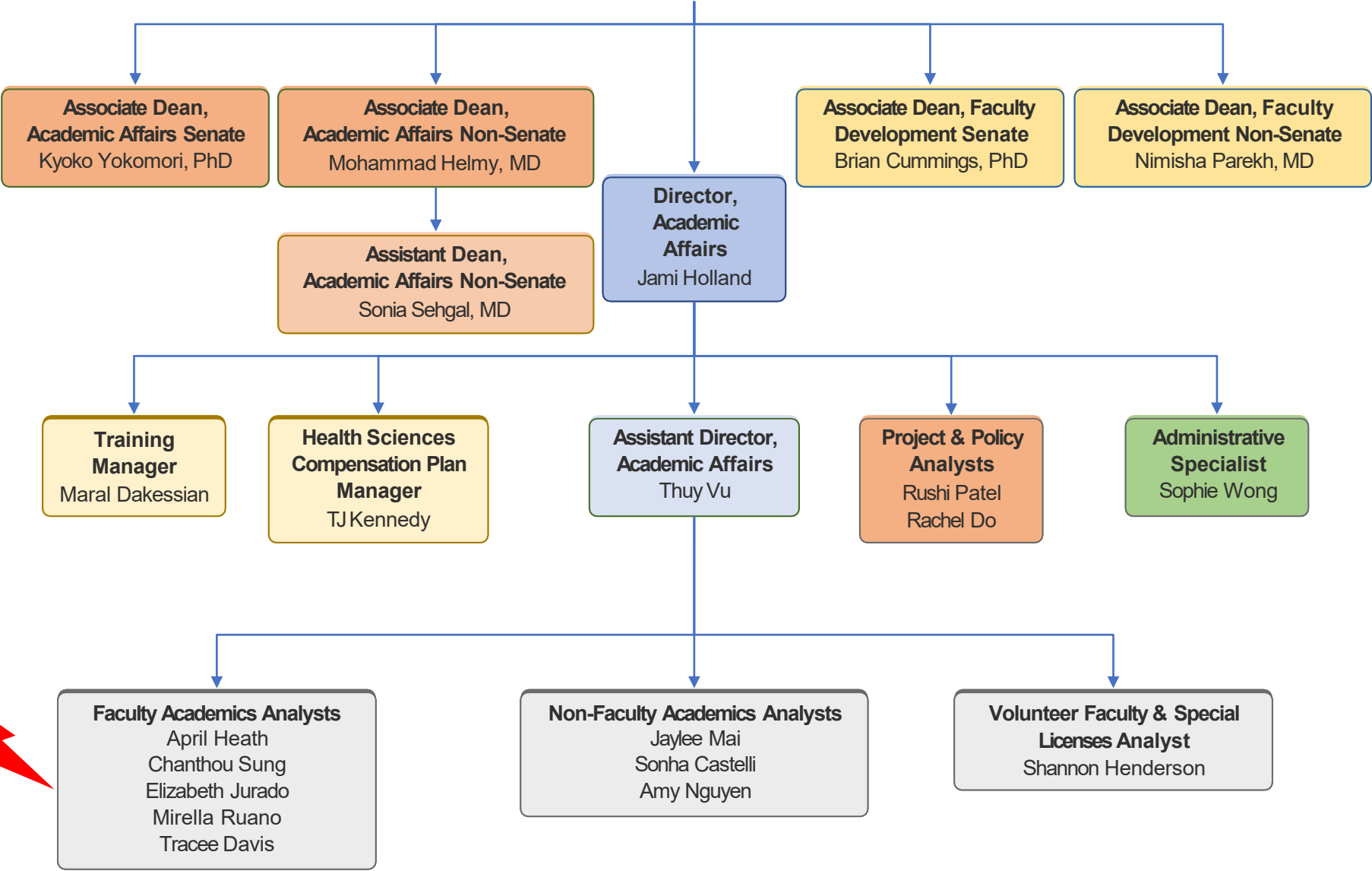Associate Dean, Faculty Development, Senate (Senate/Adjunct)

Nimisha Parekh, MD, MPH
Associate Dean, Faculty Development, Non-Senate (HS Clinical)

UCI School of Medicine Academic Affairs

Senior Associate Dean, Academic Personnel
Geoff Abbott, PhD

- **Associate Dean, Academic Affairs Senate**
  Kyoko Yokomori, PhD

- **Associate Dean, Academic Affairs Non-Senate**
  Mohammad Helmy, MD
  - **Assistant Dean, Academic Affairs Non-Senate**
    Sonia Sehgal, MD

- **Director, Academic Affairs**
  Jami Holland

- **Associate Dean, Faculty Development Senate**
  Brian Cummings, PhD

- **Associate Dean, Faculty Development Non-Senate**
  Nimisha Parekh, MD

Under Director, Academic Affairs (Jami Holland):

- **Training Manager**
  Maral Dakessian

- **Health Sciences Compensation Plan Manager**
  TJ Kennedy

- **Assistant Director, Academic Affairs**
  Thuy Vu

- **Project & Policy Analysts**
  Rushi Patel
  Rachel Do

- **Administrative Specialist**
  Sophie Wong

Under Assistant Director, Academic Affairs (Thuy Vu):

- **Faculty Academics Analysts**
  April Heath
  Chanthou Sung
  Elizabeth Jurado
  Mirella Ruano
  Tracee Davis

- **Non-Faculty Academics Analysts**
  Jaylee Mai
  Sonha Castelli
  Amy Nguyen

- **Volunteer Faculty & Special Licenses Analyst**
  Shannon Henderson

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)

SOM HS Clinical Faculty (Nimisha Parekh)

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

Merit increase

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

Advancement to Step VI

Above scale (Distinguished Professor)

Promotion

Promotion

5

Evaluation criteria

Teaching/mentoring
Excellent teaching evaluations
Record of mentoring

Adjunct series only requires major efforts in two out of three activities (research, teaching and service)!
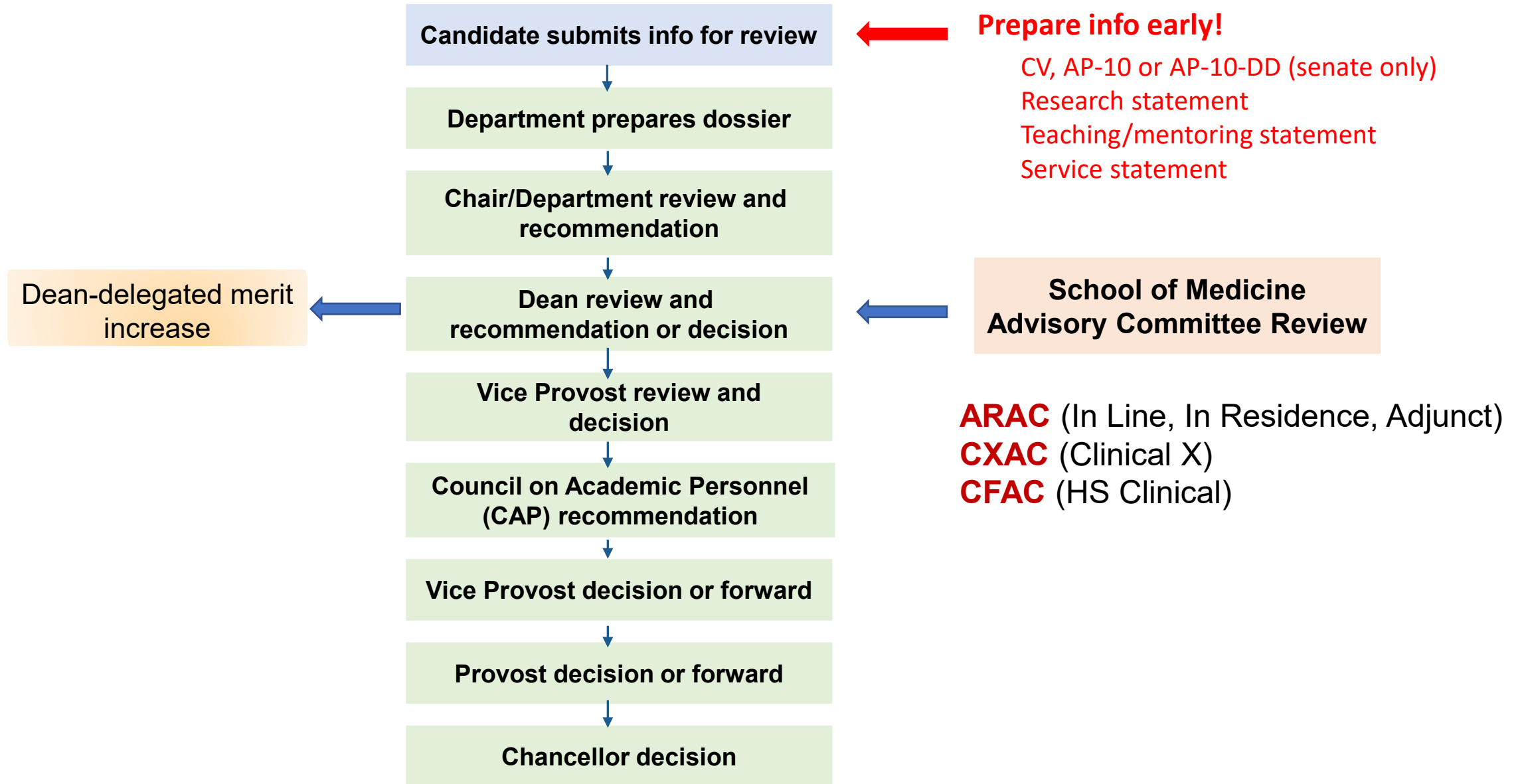
Creative activities
Evidence of independent and robust research program.
Peer-reviewed original publications as a first or senior author
Grant funding and/or clinical trials as a PI

Services
Evidence for professional recognition
List of professional and university service activities

Clinical competence

The Review Process

Candidate submits info for review ⟵ **Prepare info early!**

CV, AP-10 or AP-10-DD (senate only)
Research statement
Teaching/mentoring statement
Service statement

Department prepares dossier

Chair/Department review and recommendation

Dean review and recommendation or decision ⟵ **School of Medicine Advisory Committee Review**

Dean-delegated merit increase ⟵

Vice Provost review and decision

ARAC (In Line, In Residence, Adjunct)
CXAC (Clinical X)
CFAC (HS Clinical)

Council on Academic Personnel (CAP) recommendation

Vice Provost decision or forward

Provost decision or forward

Chancellor decision

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

HS Series (Non-Senate) → **CFAC**

Clinical Faculty Advisory Committee

File Submission Deadlines 2025 - 2026

Personnel Review Action	Due Date	File Entry Cut Off Date
Academic Affairs Office will accept early file submission	August 1, 2025	
Postponement of Tenure Review Files Merits, including one-year accelerations Accelerated Merits of two years or more* No Change Reappointments Midcareer Appraisals Fifth Year Reviews	October 6, 2025	September 30, 2025
Faculty Promotions (normal & accelerated)* Deans Delegated Accelerated Merits* Advancement to Professor Step VI	November 3, 2025	
Promotions (non-faculty academics) Non-reappointments Above Scale actions Merit, Deans Delegated All other actions, including non-Senate actions	December 2, 2025	

* Accelerated Actions will NOT be accepted by the SOM AA Dean's Office after 3/2/2026

Review of Submitted Material

Careful review of materials/dossier prior to submitting to the Dean's office will help to avoid/minimize a delay and/or return of the file to the department. Faculty members are ultimately responsible for signing off the review materials.

- ❑ The role of the **faculty member** is to input all the information in AP-10, prepare personal statements and provide CV, teaching evaluations and publications.

- ❑ The role of the **analyst** is to review and make sure that the information provided is within the review period, and complies with policy and procedures

Changes/updates!

- **Achievement Relative to Opportunity (ARO)**
  - Merit and promotion process recognizes the significant impact on the ability of faculty to perform all aspects of their work, including research, teaching and service, in times of crisis.
  - ARO guidance will now be integrated into each section of research, teaching, and service guidance https://ap.uci.edu/faculty/guidance/

- **Inclusive Excellence in Review Files**
  - **No separate diversity statement** in materials for hiring, appointment, or merit and promotion.
  - New AP-10 and AP-10DD have "**Contributions to Inclusive Excellence**" rather than "diversity activities related to…"

- **Guidance on Documenting Mentoring (including informal mentoring)**
  - New AP-10 and AP-10DD explicitly mention mentoring.
  - "Teaching" Statement now explicitly named "Teaching and Mentoring"

Senate files
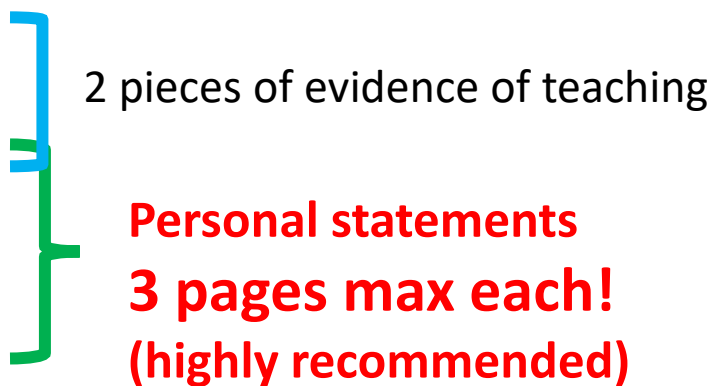
- **Dean-delegated review files**
  - All normal merit files
  - Any faculty member can elect to have their merit files be CAP-reviewed.
    - Must make that decision before submitting base file materials to the department.

- **Files that continue to be CAP (campus) reviewed**
  - All promotion and advancement files
  - All Mid-Career Appraisal files
  - All acceleration files
  - Above Scale Merit Files
  - Five-year reviews
  - All files in the review cycle following any reappointment or No Change only decision
  - For a complete list, please refer to the [Senate Faculty Merits and Promotion Delegations of Authority](#)

CAP-Delegated **Senate** Review File

- **AP-10 (2025 version!)**----This is the primary review file. All information during the review period should be included.

- CV (information of your entire career) (**publication numbering cannot be changed and must match AP-10**)

- Outside letters (only mandatory for initial appointment, promotions, and advancement to Professor Above Scale)---**please include letters from other UC campuses!**

- **Teaching evaluations**

  2 pieces of evidence of teaching

- **Reflective teaching and mentoring statement** (required)
- **Research statement** (if applicable)
- **Service statement** (not required but recommended)

  Personal statements
  3 pages max each!
  (highly recommended)

Dean Delegated Review File for Senate

- **Curriculum Vitae (CV) *OR* complete the Addendum form, <u>AP-10</u>**
    - If submitting a CV
        - Highlight all new material since the last review period ended
        - Complete Teaching Addendum form, <u>AP-10-DD (2025 version!)</u>
    - If submitting an AP-10:
        - Use updated AP-10 2025: Complete entire form
        - Also attach a CV (SOM-specific).

- **Self Statement (not required)**
    - Can include one reflective statement with short sections about significant contributions in review areas that may not be adequately evident from the CV/AP-10
    - Recommended length (< 2 pages total)

- **Two forms of evidence for teaching effectiveness**
    - Student Evaluations
    - One other: reflective teaching statement (most common), peer evaluation from a colleague, or other evidence

- **E-Copies of Publications/Creative Activities**

  - Refer to <u>APP 3-60: Merit and Promotion File Documentation for Academic Senate Titles</u>

HS Clinical Review File Materials

- **AP-10 (2025 version!)**----This is the primary review file. All information during the review period should be included.

- CV (information of your entire career) (**publication numbering cannot be changed and must match AP-10**)

- Outside letters (only mandatory for initial appointment, promotions, and advancement to Professor Above Scale)---**please include letters from other UC campuses!**

- **Teaching evaluations**

2 pieces of evidence of teaching

- **Reflective teaching and mentoring statement** (required)
- **Research statement** (if applicable)
- **Service statement** (not required but recommended)

Personal statements
3 pages max each!
(highly recommended)

AP-10 and AP-10DD (2025 versions)

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

UCI-AP-10	Addendum Form	APP 3-60: Review File Documentation (Senate Titles)
		Review Periods by Action Type
UCI-AP-10-DD	Teaching Addendum Form	APP 3-60: Review File Documentation (Senate Titles)
		Review Periods by Action Type

UC-AP-10 Addendum (2025 version will be available July 1, 2025)

Section I----Employment history

Section II----Teaching/mentoring

Section III----Creative activities

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

Section V----University service/Clinical competence and service activities

Section I: Employment

- Include faculty name and review period on every page of addendum (you have to do this 5 times due to sectioning of the file).

- All material listed on the addendum must be within the review period

- Use the most current form revised as of (6/24); always use the form from AP website https://ap.uci.edu/forms/

06/24 ← Use 2025 version!

Section I
Page 1

Form UCI-AP-10

Must use the most up to date AP-10 and AP-10DD (2025)!

Section I: Employment

NOTE: Additional instructions can be accessed by hovering over hyperlinked wording.¶

SECTION I — Previous Applicable Academic Employment

Section Break (Continuous)

A. UC EMPLOYMENT HISTORY

Period	Title & Rank	Step	Time	Department
2021-present	Associate Professor	Step III	100%	Biological Chemistry
2019-2021	Associate Professor	Step II	100%	Biological Chemistry
2017-2019	Assistant Professor	Step IV	100%	Biological Chemistry
2015-2017	Assistant Professor	Step III	100%	Biological Chemistry
2013-2015	Assistant Professor	Step II	100%	Biological Chemistry

❖**List each step and don't consolidate by ranks.**
If off scale, write e.g., "III OS"
https://facultyhub.ap.uci.edu/Employment

B. OTHER APPLICABLE ACADEMIC EMPLOYMENT

Period	Position/Description

If you worked at UCI in a different track, list here. Can also list academic employment at other institutions.

Section II: Teaching/mentoring

- <u>Good teaching is essential for advancement</u>

- 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".

Section II: Teaching/mentoring

https://facultyhub.ap.uci.edu/Courses

SECTION II – Teaching Activity during review period

A. COURSES TAUGHT AT UCI (if courses are taught elsewhere, list at the end and name institution)

Qrtr/Year	Course #	Title	Enrollment	# Instructors	% Taught
(end of your review period) Spring 2024	BC225* (graduate course)	Epigen. Hum. Health/Dis.	15 (# of students enrolled)	4 (# of instructors)	25 (your contribution %)
Spring 2024	BIO199 (undergraduate research)	Chromatin Biol.	3	1	100
Spring 2024	BC200C	Chromatin Biol.	1	1	100

(your own graduate student research A (fall), B (winter), C (spring))

New!

B. OVERLOAD COURSES TAUGHT AT UCI

Qrtr/Year	Course #	Title	Enrollment	# Instructors	% Taught
Winter 2024	BME135*	Photomedicine	15	6	5%

(A guest lecturer to give one lecture)

❖ Add asterisks to those with teaching evaluations. (For promotions, evaluations for the last **5 years** should be included.)

❖ Underline regular courses.

Section II. C and D: *Faculty members with clinical teaching only*

SECTION II – Cont'd

C. HEALTHCARE PROFESSIONAL STUDENTS TEACHING – *Note: This section is to be filled out by Clinical Faculty only. General faculty please skip to Section II, Subsection D to continue.*

Description	# of Students	Date/Date Span	# Hours/Days
Ward Rounds:			
General surgery rounds	1	7/18-8/1/2022	4-5 hrs/day, 5 days/wk
General gastroenterology consult ward service, endoscopy and rounds.	1	9/9-9/13/21	2-4hrs/day
Clinical Teaching:			
IBS Clinic	One third year medical student every 3 months.	10/2018-9/2021	4 hours at a time.
Lectures (Grand Rounds, Special lectures, etc.):			
UCI Neurology Lecture series "Brain tumors"	30	12/5/2022	1 hour
UCI Neurology Lecture series "Brain tumors"	30	12/5/2021	1 hour

(list all lectures, journal clubs, you gave to medical students during the review period)

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Faculty members with clinical teaching only

D. GRADUATE TEACHING (Residents, other) – *Note: This section is to be filled out by* <u>*Clinical Faculty only.*</u> *General faculty please skip to* <u>*Section II, Subsection D*</u> *to continue.*

Description	# of Students	Date/Date Span	# Hours/Days

Ward Rounds:

Medicine Ward rounds	1-3 residents	2021-present	4-5 hrs /wk

- Do not need to list names of students, residents and fellows
- Do list the dates on service, number of students, residents and fellows
- Number of hours spent teaching
- List all lectures given to students, residents and fellows
- **Don't report the same lecture in >1 section; instead, explain if the audience for a specific lecture included >1 learner category**

Lectures (Grand Rounds, Special lectures, etc.):

Fellowship core curriculum lecture	1 resident & 1-2 fellows	7/2023
.		
.		

(list all lectures, journal clubs, you gave to residents and fellows during the review period)

Section II: Teaching/mentoring

E. ADDITIONAL ITEMS THAT RELATE TO YOUR TEACHING

1. **Doctoral Students Supervised** (indicate dates, and whether as chair, co-chair, or committee member)

    (a) those who received their Ph.D or PharmD.

Year(s)	Student Name	Role	Department
2023	John Goodrich	Member	Dev & Cell Biology
2023	Jane Martin	Chair	Biological Chemistry

(thesis defense date should be within the review period))

    (b) those who advanced to candidacy

Year(s)	Student Name	Role	Department
4/2023	Mary Hicks	Chair	Biological Chemistry
5/2022	Mike Johnson	member	Biochem. Mol. Biol.

(Exam date cannot be earlier than October 1 (the beginning of the review period))

    (c) pre-dissertation committees

Year(s)	Student Name	Role	Department
2023	John Goodrich	Member	Dev & Cell Biology
2023	Jane Martin	Chair	Biological Chemistry

    (d) other research supervision

Year(s)	Student Name	Role	Department
May list rotation students.

2. **Master's Thesis Students Supervised** (indicate whether as chair, co-chair, or committee member)

Year(s)	Student Name	Role	Department
2023	Yasmin Newton	Chair	MS Biotech Program

Section II: Teaching/mentoring

3. Postdoctoral Scholars Supervised

Year(s)	Student Name	Role	Department
2022-present	Carl Lis	Mentor	Biological Chemistry

4. Undergraduate Student Research Supervision – UROP, honors courses, 199's or equivalents

Year(s)	Student Name	Role	Department
2023-present	Chris Kim	Mentor	Biological Chemistry
	2023 UROP award, Excellence in Research		
2022-2024	Michael Tora	Mentor	Biological Chemistry
	2023 UROP award, 2023 SURP award, Excellence in Research		
2022-2023	Jennifer Liu	Mentor	Biological Chemistry

List here! ➡️

5. Other Research or Teaching Supervision

Year(s)	Student Name	Role	Department
2023	Hitoshi Nakano	Mentor	Biological Chemistry
	Mr. Nakano is an undergraduate student who came to do a 2-month internship in my laboratory. I met him daily to supervise his research activities.		
2022-preesent	John Reed	Supervisor	Biological Chemistry
	Mr. Reed has been an assistant specialist in my lab.		

Explain! ➡️

(List visiting students/scholars, lab personnel, summer high school student research program, etc. Briefly indicate what this supervision entailed.)

CLINICAL FACULTY (LIST RESIDENTS, FELLOWS WHO YOU MENTORED FOR RESEARCH OR CLINICAL TEACHING)

Section II: Teaching/mentoring

F. TEACHING AWARDS AND SPECIAL PEDAGOGICAL ACTIVITIES

Date(s)	Description	
2023	Excellence in Graduate Student Teaching Award	UCI School of Medicine
7/6-7/30/2024	California State Summer School for Mathematics and Science (COSMOS) Cluster 6: Genes, Genomes, and Skeletal Muscle Dystrophies	
2010 – 2024 (interrupted by COVID)	Judge for undergraduate poster presentation	

List here the types of items that relate to university teaching, such as on-line or multi-media instructional programs and resources, unpublished laboratory preparations or manuals, course guides and packets, etc. Asterisk (*) items included in the file

G. TEACHING INNOVATIONS AND CURRICULUM DEVELOPMENT

Date(s)	Description
Summer 2024	COSMOS **Cluster 6**: Genes, Genomes, and Skeletal Muscle Dystrophies A 4-week program for high school students to learn advanced topics in science, technology, engineering, and math (STEM) fields together with Dr. Stem. I developed the lecture series on muscular dystrophies.
2017 – present	Course Co-Organizer (contact organizer) BC225/NB230 Epigenetics in Health and Disease We revamped our BC225 chromatin course focusing more on epigenetics relevant to human health and disease and also moved it to the Fall quarter with the effort to increase more student enrollment. We also put more emphasis on student discussion by dividing the students in two groups (authors and reviewers) to critically analyze research papers.
2023	GI Fellows Handbook, The Inside Scope (updates), 8th edition

If you organized a new course or revamped an existing course during the review period, report it here!

Section II: Teaching/mentoring

H. **PROFESSIONAL DEVELOPMENT ACTIVITIES RELATED TO TEACHING**

Date(s)	Description
December 2 and 9, 2023	IGEN Equity in Graduate Admissions Workshops
2023	UCI Active Learning Institute
August-September, 2023	Digital Learning Institute Summer Workshop series

Contributions to inclusive excellence section
New guidance will be on the website by July 1, 2025

Two pieces of evidence for teaching (required)

- ❑ <u>Reflective Teaching and Mentoring Statement</u>
    - ▪ CAP looks for candidate's engagement with teaching evaluations, addressing any problems and explaining how they are / were resolved. (major issues should also be mentioned in the departmental letter)
    - ▪ Discuss mentoring of graduate students, post-docs, undergraduates, etc.
    - ▪ Describe efforts, activities, time commitment, and contributions for both formal and informal   mentoring along with impact and outcomes.
    - ▪ Maintain confidentiality of mentees (exclude names!).
    - ▪ Informal mentoring may also be in service activities statement depending on specific activities

- ❑ Student Evaluations of Teaching (SET)
    - ▪ Include most recent SETs, <u>up to the last 5 years</u>
    - ▪ Response rates are important (indicate if low response rates are normal within unit)
    - ▪ Student comments are often more valuable than numerical scores
    - ▪ Any major negative comments should be addressed in <u>the teaching statement and the department letter</u>.

Section III. Research and Creative Activity

A. → PUBLICATIONS AND CREATIVE ACTIVITY NOT CREDITED IN A PRIOR REVIEW

Published after the last review period (typically 2-3 years).

INTELLECTUAL CONTRIBUTIONS

Category	→	Publication	→

▪ *Original Research Articles, Peer-Reviewed*

78. Author, Author, **Anteater, P.*** and Author.* (2025) Title. **Journal** Volume:Pages.

   *Co-corresponding author. Both co-corresponding authors were responsible for designing the experiments, organizing the data figures, overseeing the manual confirmation of critical results, and writing of the manuscript together.

77. Author, Author, Author and **Anteater, P.** (2024) Title. **Journal** Volume:Pages.

   Anteater is the corresponding author who was primarily responsible for conceiving the idea, designing the experiments, analyzing data, and writing the manuscript.

76. Author, Author, **Anteater, P,** and Author. (2024) Title. **Journal** Volume:Pages.

   Anteater lab helped with some of the protein biochemistry experiments. 10% contribution.

▪ *Review Articles, Peer-Reviewed*

Invited Reviews and Book Chapters, Peer Reviewed

Case Reports, Peer Reviewed

Books, Peer Reviewed

Commentary

- ❏ Reference numbers must be sequential from old (#1 is your first ever published paper) to new (#78, in this example, is the latest paper) in your CV.
- ❏ This numbering should **NOT** change over time and CV numbers *must* match with numbering on AP-10
- ❏ Include all author names, year, manuscript and journal titles, volume and page number (may also include PMID).
- ❏ **Separate or clearly mark original research articles and review articles.**
- ❏ **Your name in bold** for easy detection**.**
- ❏ Explain your role in each paper. You may describe your contributions as minor, moderate, and major, or % contribution.
- ❏ Stipulate your role as **corresponding or co-corresponding author.**
- ❏ Do NOT include non-peer-reviewed articles, such as BioRxiv/MedRxiv, or manuscripts submitted or in revision.

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Section III. Research and Creative Activity

B. **PUBLICATIONS AND CREATIVE ACTIVITY PREVIOUSLY SUBMITTED IN A PRIOR REVIEW**
(do not list any work already credited for the last promotion or advancement (Professor VI, A/S)

INTELLECTUAL CONTRIBUTIONS

Category	Publication
74. Author (2020) Title|. Journal| Volume|:Pages|.	
73. Author (2020) Title|. Journal| Volume|:Pages|.	
72. Author (2019) Title|. Journal| Volume|:Pages|.	
71. Author (2019) Title|. Journal| Volume|:Pages|.	

If BioRxiv publications were previously listed as "**non-peer-reviewed**" in Section IIIC (not recommended), they need to be listed in Section IIIB once published in peer-reviewed journals (cannot have different pub numbers).

(This section should only be used for promotion, advancement to Step VI, and promotion to above scale. Web files are only for the last 5 years)

ARTISTIC AND PROFESSIONAL PERFORMANCES AND EXHIBITS

Category	Creative Work

C. **COMPLETED PARTS OF LARGER WORKS**

Category	Publication or Creative Work

Only for a multi-year work that would not be published until later, but the completed portion can be evaluated now.

- BioRxiv publications may be listed here as "non-peer reviewed".
But CAP recommends those to be in your research statement, not in AP-10.
CAP will not consider BioRxiv papers in their merit/promotion reviews.

Section III. Research and Creative Activity

- **Publishing peer-reviewed original research articles**, case reports, review articles ("invited" review is a plus), and book chapters
  - Important to publish as a <u>first or senior author – corresponding author status is crucial</u>
  - Middle authorship should be documented/explained (subject matter expert, supply of special resource, expert analysis of dataset). Do not assume peers 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. **Helpful to have a Google Scholar page.**
    -**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**.

- **Publishing "peer-reviewed"** case reports, review articles, and book chapters, development of teaching materials or web site content, and clinical trials are also considered important creative activity for HS, Clinical X and Adjunct faculty members.

Section III. Research and Creative Activity

D. PROFESSIONAL ONLINE & SYSTEM RESOURCES PRODUCED/MAINTAINED

Date(s) Active   Description

If you have any video or other online resources during the review period, list here

E. INTELLECTUAL PROPERTY – PATENTS, COPYRIGHTS, ETC.

Date(s)   Description

If you had a patent during the review period, list here

F. CONTRACTS, GRANTS, FELLOWSHIPS

Previously Submitted	Funding Source	Number or Title	Role*	Amount**	Date Span of Award	
No	NSF	MCB-XXXXXXX	PI	$778,653 (T)	08/1/2023	07/31/2026
No	NIH	R21 ARXXXXXX	MPI (contact PI)	$242,000 (D)	09/1/2022	08/31/2024
No	CRCC	C21CRXXXX	PI	$75,000 (D)	10/1/2022	09/30/2023
No	UCI SOM Seed Grant		PI	$10,320.57 (T)	10/1/2021	09/30/2022
Yes	NIH	R01 ARXXXXXX	MPI (contact PI)	$2,241,185 (T)	09/1/2019	08/31/2024
Yes	NIH	R01 GMXXXXXX	Co-I (5%)	$2,300,000 (T)	09/1/2018	03/18/2023
Yes	NIH - National Institutes of Health Biomedical Informatics Training Program		Mentor	-	2020	2024
Clinical Trial						
Yes	Genentech/Hoffmann- LaRoche		Site-PI	$449,729	11/5/2018	7/1/2023

For Co-I, stipulate the % effort, allocated resources.
Short descriptive grant title and spell out the acronym of funding agencies

Do not list grants or fellowships awarded to trainees under contracts and grants with the role of mentor or sponsor, but list these under teaching as evidence of mentorship.

- ❑ **Make sure that grants and trials overlap with the review period.**
- ❑ **Include all the information indicated at the top, including a descriptive title of the grant.**
- ❑ **Amount can be Direct (D), or total (T).**
- ❑ **Stipulate your role as PI, MPI or co-I/sub-contractor/conultant (then list the PI name).**
  - ❖ There is no "Co-PI" for NIH! (either MPI or Co-I)

Section III. Research and Creative Activity

G. ALLOCATION OF OTHER NON-FINANCIAL RESOURCES

H. PROFESSIONAL DEVELOPMENT ACTIVITIES RELATED TO RESEARCH/CREATIVE ACTIVITIES

Date(s)	Description
2022-2023	NIH Bootcamp

Contributions to inclusive excellence section
New guidance will be on the website by July 1, 2025

Section III. Research and Creative Activity

❑ AP-10 bullet points with supporting self statements that are clear, concise and provide <u>additional context</u> are helpful.

❑ CAP looks for connections between <u>research activity, impact and leadership</u>.
  - ◼ Example: For co-authors, co-artistic directors, designers, collaborators, "team science," inter- or cross-disciplinary work – Provide context: did the candidate initiate the work? Did they have a minor or a major role in the development and final production of the work?

❑ Research grants, external funding:
  - ◼ A mark of stature / research accomplishments
  - ◼ Explain grant / funding totals – indicate candidate's role as PI or Co-I

- **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.

Section IV. Professional Recognition and Activity

- <u>Awards</u> and Honors, media coverage

- Participation in activities of clinical and/or <u>professional organizations</u>

- Membership on <u>editorial boards</u> and manuscript review

- Grant review, NIH and other <u>study section membership</u>

- <u>Invited lectures</u> 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., Super Doctor, USA)
- **Board certification** **(list under Section IV.B)**
- Leadership role in your division, clinical program (**List in Section V**, university service)

Section IV. Professional Recognition and Activity

SECTION IV – Professional Recognition and Activity during review period

A. HONORS AND AWARDS

Date(s)	Description
2021-22	Best Doctors of America
2022	Physician of Excellence, Orange County Medical Association
2021	Physician of Excellence, Orange County Medical Association
2022	Fellow, American Society of Cell Biology
2022	UCI ICTS Team Science Award

B. MEMBERSHIPS

Date(s)	Description
2000-present	American Society of Cell Biology
2000-present	American Society of Biochemistry and Molecular Biology

Also list board certification!

Section IV. Professional Recognition and Activity

C. **PROFESSIONAL ACTIVITY**

Invited presentations at outside educational, governmental institutions (or similar organizations)

Date(s)	Description

Separate local and national/international invited talks.

4/4/2024	Invited research seminar speaker	University of Michigan
5/8/2023	Invited research seminar speaker (Zoom)	University of South Florida
12/11/2022	Invited research seminar speaker (Zoom)	University of Maryland

Presentations at UC Irvine.   New!

Date(s)	Description
6/4/2024	Invited research seminar speaker	UCI Dept. Dev Cell Biol.
12/8/2023	Invited research seminar speaker	UCI CCBS

Invited presentations at professional meetings

Date(s)	Description
2023	American Society for Cell Biology; 39th Annual Meeting; San Francisco, CA Symposium speaker and session chair

Accepted presentations at outside educational, governmental institutions (or similar organizations)

Date(s)	Description

Accepted presentations at professional meetings

Date(s)	Description
6/24-25/2023	73. The XXX Society annual International Research Congress "Genetic engineering and characterization of XXXXX." Hernandez, B., Clay, J., Meadows, M., Ng, P., Sakamoto, K., Saleh, Z., and **Anteater, P.** (oral presentation by Hernandez)
3/19/2023	72. Second Annual Southern California Rare Disorders Symposium "Relationship of *XXXX and XXX in XXXXX*" Hernandez, B., Clay, J., Meadows, M., Ng, P., Saleh, Z., Sakamoto, K., and **Anteater, P.** (poster presentation).

Include poster or selected oral presentations in this section

Other presentations at professional meetings

Date(s)	Description

Media Appearances and Interviews

Date(s)	Description

List any media appearance during the review period. Provide a link with a **brief** description of your contributions.

| Aug 5, 2022 | UC Irvine Health Facebook Blog |
| Aug 6, 2022 | UC Irvine Health Instagram |

Professional articles in this period about you or published reviews of your work

Date(s)	Description

List articles that talk about your work. Provide a brief description of your contributions and include link to article (if available).

D. PROFESSIONAL AND PUBLIC SERVICE

Service to Professional Societies / Outside Institutions (board of advisors, session chair, conference organizer, etc.)

Date(s)	Description
2023	ASCB selected to be on the nomination committee Through 4 meetings over 3 months, we came up with the list of nominees for the president and executive committee for the Society.
Aug 2023-Jan 2024	Anteater Foundation Congress Social Planning Committee

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Journal Editor / Membership on Journal Editorial Boards

Date(s)	Description
2015 – present	Frontiers in Genetics, Editorial Board Epigenomics and Epigenetics, Associate Editor
2008 - Present	BMC Cell Biology, Associate Editor

Reviewer of Manuscripts / Journal Articles

Date(s)	Description
2023	reviewer, EMBO Journal
2023	reviewer, Frontiers in Genetics
2019-2023	reviewer, Journal of Biological Chemistry
2017-2023	reviewer, eLife
2022	reviewer, Scientific Reports

Standing Member of Review Boards for Funding Agencies

Date(s)	Description
2023	NIH/ SEP ZRG1 MOSS-K02 (3/23) (Co-Chair) ZRG1 CB-S (70)/4D Nucleome (5/23) Friends of FSH Research RFP (5/23 and 9/23)
2022	NIH/MGB Study Section (member) (2/22) American Cancer Society Seed Grant Friends of FSH Research RFP (2/22 and 10/22)

Ad hoc Service as Referee of Proposals

Date(s)	Description
2023	NIH/ SEP ZRG1 MOSS-K02 (7/23) (Chair) NIH/SMEP (10/23) UKRI Future Leaders Fellowship
2022	NSF MCB the Program of Genetic Mechanisms (8/22)

Section IV. Professional Recognition and Activity

Consulting Activities (industry, government; indicate whether paid or *pro bono*)

Date(s)	Description
	e.g., serving as an advisor for a company during the review period.

Community Service (including activities related to the improvement of elementary and secondary education)

Date(s)	Description
	List any outreach activities
2020-present	Orange County Outreach Program: gave talks to elementary, middle and high school students to encourage their career path in STEM.

E. **PROFESSIONAL DEVELOPMENT ACTIVITIES RELATED TO PROFESSIONAL AND PUBLIC SERVICE**

Date(s)	Description
5/09/23	Faculty Development Series – "Communication and interpersonal styles" via Zoom
6/04/23	AAMC Professional Development Series – "Building Better Curriculum" webinar
10/17/23	Faculty Development Series – "Managing your clinical research career" in person

Contributions to inclusive excellence section
New guidance will be on the website by July 1, 2025

Section V. University and Systemwide 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).

❑ 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 ranks/steps.

SECTION V – University & Systemwide Service during review period

A. UNIVERSITY/SYSTEMWIDE - Academic Senate, Administrative Service; Senate Assembly; MRU, UCOP

Date(s)	Description
2022-present	The Cancer Research Coordinating Committee (CRCC)

B. CAMPUS - Academic Senate and Administrative Service:

Date(s)	Description
2021 - 2024	The Council on Faculty Welfare, Diversity, and Academic Freedom, UCI, Member.
2021 - Present	The Institutional Biosafety Committee, UCI, Member, Appointed.
2020 - Present	The Radiation Safety Committee, UCI, Member, Appointed.

C. SCHOOL

Date(s)	Description
2020-2024	SOM Mentoring Committee. This committee meets monthly and requires considerable pre-meeting outreach and review activities to ensure that the highest standard of mentoring is provided for the senate faculty covered by this group. We provide support for approximately 24 junior and mid-career faculty per year.

UCI Medical Center
2019-present   OR steering committee

D. DEPARTMENT (other than listings in Section I)

Date(s)	Description
2019-present	Division Chief
2020-present	Graduate Advisor
2023-2024	Faculty Search Committee

Section V. University and Systemwide Service

E. **PROFESSIONAL DEVELOPMENT ACTIVITIES RELATED TO UNIVERSITY/SYSTEMWIDE SERVICE**

Date(s)	Description
2023-2024	SOM Leadership Academy

Contributions to inclusive excellence section
New guidance will be on the website by July 1, 2025

Examples of University service for HS faculty members

University: Across the UC system, UCOP advisory committee, EPIC liaison for UC system

Campus-wide: work with school of nursing, school of arts, Samueli Institute, Administrative role

School of Medicine: Interview medical student applicants, office of medical education, curriculum review, advisory committee for dean's office, cross collaborations across depts

UCI Health, Hospital committee (may include a brief bullet point about their contribution)

Division/Department Committees: PEC, CCC, Educational, Wellness, Resident/fellows Interviews

Please note!

Section II

-Fellowship/scholarship for mentees----should be in Section II

-**No names for diversity students**!

Section III

-Clearly mark peer-reviewed and non-peer-reviewed articles.

-CAP will NOT consider any non-peer-reviewed publications (e.g., BioRxiv) especially for acceleration.

-CAP requests the AP-10 to distinguish between **original research** and **review** articles.

-**Your name in bold** for multi-author publications for easy detection of your name.

-Explain your contributions to the paper (major, minor or % plus your specific contributions). Clearly stipulate if you are the corresponding or co-corresponding author. If you are a middle co-author, please do NOT call yourself "senior author".

-You can mark your trainee on the paper (e.g, with an asterisk)

-**Meeting abstracts** go to **Section IV-C** (accepted presentations at professional conferences)

Section IV

-Membership for UCI ORUs---should be in **Section V** (University)

Please note!

Section III-F. Contracts, Grants, Fellowship section (also include clinical trials and industry-funded clinical research)

-Avoid discrepancies between the AP-10 and information on the funding organization's web site and/or incomplete information for grants listed on the AP-10.

-Do not list grants or fellowships awarded to trainees under contracts and grants with the role of mentor or sponsor, but list these under Section II as evidence of mentorship.

-Please ensure that all details match publicly available records with respect to:

    a. Funding agency

    b. Grant title or grant number

    c. Grant PI

    d. Grant durations (starting and end dates)

    e. Amount the faculty received from the grant (you can also list total)

    f. The faculty's role in the grant (#there is no "Co-PI" in NIH! (either MPI or Co-I))

Self Statements

Put your accomplishments in context!
<3 pages **each** for CAP-delegated
<2 pages **total** for Dean-delegated

- **Reflective teaching/mentoring statement:** discuss your teaching and mentoring philosophy, highlight any teaching innovation, and address negative teaching evaluations.

- **Research statement:** focus on providing context (explain the significance of your study in the field, define your contribution in team science, etc.) rather than going into details of your projects. Describe any unfunded clinical research/IRB.

- **Service statement:** Briefly summarize your service, elaborate if a certain committee activity requires a lot of hours/work!

- No more separate inclusive excellence statement.

Letters

External letters for promotion (do not provide drafts!)

- Assistant to Associate
- Associate to Professor
- Professor Step V to VI

4-5 external letters required

Letters not required

- Professor above scale (Distinguished Professor)

4-5 external letters required

- At least 3 letters must be Department-nominated, Non-conflicted
- 1-2 of them should be from **other UC campuses**.----important for CLINX!
- Your former mentors are "conflicted" forever
- Collaborators are conflicted for 4 years.
- Candidate and department generate two independent lists. Any name that appears on both is marked as Department.
- The letter writers must be at/above rank of the proposed candidate rank.

External Letters Tips

❑ On AP-11, give details regarding connection with candidate for ALL letter writers (e.g., "was a colleague of former advisor, but never formally collaborated").

❑ Do not quote substantially from external letters in the Department letter.

❑ Avoid selecting reviewers from previous actions for the same candidate.

❑ For senate faculty files, letters from UCI faculty (even in another department/school) are considered conflicted.

- Solicitation for external letter guidance remain the same, APP 3-60, II-B-I
- Templates for external letters include language about ARO, Inclusive Excellence, and so on.
- **Website materials should be updated by July 1**.

Department/Chair/Dean Letters

- No more than three pages. Shorter is often better.

- Avoid reiterating AP-10 content or other letters.

- Role is to evaluate the context and point out the strengths and weakness, not to advocate for the candidate.

- Help CAP understand the context of the activities listed on the AP-10.
  - "Prof. X's service on this committee was commendable because of Y"
  - "Prof. X had a heavier teaching load than normal because of Y. Normal load for the department is Z."

- Address any negative aspects of the file, especially negative votes from department members, negative comments in the external letters, and any major negative teaching evaluations.

Conflict of Interest (COI) - Department, Chair, and Dean Letters

- **Conflict of Interest (COI):** mentor-mentee or family member (for life) co-authorship (last 48 months and   pending); grant collaborations (last 48 months and pending); other relationships that a reasonable person   might consider a conflict of interest

- **If CAP determines that there is a COI**, file sent back to the school with a request for a new letter:
  - **Department Letter:**
    - Conflicted member should not be the lead writer and signer.
    - If drafted by multiple faculty members, the letter should be signed by a non-conflicted writer.
  - **Chair Letter:**
    - Option 1: A non-conflicted faculty member, who did not participate in the department discussion or vote, writes a NEW letter that replaces the conflicted chair letter.
    - Option 2: Chair does not submit a letter. The original chair letter is removed from the file and chair votes with the department.
  - **Dean letter:**
    - Appoint a surrogate dean, who has not participated at other levels of review, to write and sign a NEW letter that would replace that of the conflicted dean.

- **Conflict of Interest: Frequently Asked Questions (FAQs)**

Other Actions

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**

Stop the Clock (STC) for Assistant Professors

- **COVID-19 Stop the Clock**:
  - Applies to eligible faculty at the Assistant Professor rank, which fall under the provision of APM 133
  - Faculty must have started on or before June 30, 2022

- **Two COVID-19 Stop the Clock**:
  - An eligible faculty may only request up to two STC due to COVID-19
  - In total, a faculty may not exceed 3 Stop the Clocks at the assistant rank
  - For second COVID-19 STC, complete the UCI AP-92 Stop the Clock Certification and provide memo (no more than 1 page) with rationale for the request

- **Third Stop the Clock**:
  - Eligible faculty with two Stop the Clocks (STC) previously acknowledged that are non-COVID related, who are requesting a third Stop the Clock due to the COVID-19 pandemic must provide:
    - A completed UCI AP-92 Stop the Clock Certification
    - Form should indicate that this is the third Stop the Clock request
    - Include an explanation on how the COVID-19 pandemic has impacted their work
    - The Office of Academic Personnel will manage the exceptional approval request to UC Office of the President

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 four areas* (research plus either teaching or service for senate/adjunct) 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!**

- **UPDATE: Review letters must indicate on which areas the acceleration is based.**

Accelerations: Outstanding Contributions in Two Areas

- **Expectations in Professor Series compared to non-accelerated action at same rank/step**
  - Research/Creative Activity is a required area
    - Volume and impact twice as high, evidence of leadership
  - Service as second area
    - Volume and impact twice as high, evidence of leadership
  - Teaching/mentoring as second area
    - Volume does NOT have to be twice as high but impact does, evidence of leadership
- **If department support for acceleration is mixed: departments should have one vote on acceleration and a second vote on normative action.**

Acceleration For Senate Faculty

SOM Senate

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)

FY23-24: ~26% success rate

There is a higher bar required for accelerations

Acceleration for HS Faculty

Fiscal Year	# of Accelerations Requested	# of Successful Accelerations	% of successful accelerations	HS Files Reviewed
23-24	13	9	69%	~230
22-23	14	10	71%	~221

About 5% of HS files up for review went for acceleration

There is a higher bar required for accelerations
Discuss with your Chair if it is appropriate.
Can also meet with Associate Dean of Faculty Development

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)

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

APP 3-60: Merit and Promotion File Documentation for Academic Senate Titles
https://ap.uci.edu/policies-procedures/app/3-60/

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 (2025) and AP-10DD (section II only) (2025) can be found after July 1st! at
https://ap.uci.edu/forms/