ADVICE REGARDING PERSONNEL CASES REVIEWED AT CAMPUS LEVEL (CAP+AP)

(AY 2024-25)

DEADLINES FOR CAP CASES: (strictly enforced)

1. Postponement of Promotion to tenure and second consecutive deferral request for Professor, Step V and above
    a. Due at AP by November 1
    b. Due at the Dean's office by October 20
2. Accelerated Merits, Merits with MCA, MCA only, No Change, and Reappointments
    a. Due at AP by December 1
    b. Due at the Dean's office by November 10
3. Five-year reviews and Advancement to Professor, Step VI
    a. Due at AP by January 3
    b. Due at the Dean's office by December 1
4. Promotions, Advancement to Above Scale, Above Scale merits, and Non-reappointments
    a. Due at AP by February 1
    b. Due at the Dean's office by December 20

REQUIRED DOCUMENTATION (Unchanged):

- AP-10
- Vita
- Student evaluations
- Teaching statement: 3 pages maximum
- If applicable: External Letters and AP-11
- Departmental letter (3 pages maximum)
- Chair letter
- Access to publications
- Optional:
    - Research statement: 3 pages or less
    - Service statement: 3 pages or less
    - Inclusive Excellence Activities statement: 3 pages or less

Conflict of Interest (COI):

- Definition: (any) papers, grants, student supervision, or significant collaboration in the last 48 months
- If the occurrence(s) is/are minimal, the AP-COI form can be filled to request exception/exemption
- COI avoidance is mandatory by all whose name/signature appears in the file: Chair of Drafting Committee (a.k.a., Ad-hoc), Dept Chair, Dean, etc.
- In case of Chair and Dean: Surrogates will be appointed by the next level `up' in the review process

AP-11:

- Adequate explanation is needed: why is this person chosen, and not just cut and paste from web-page! Key information (e.g., NAE membership, major awards or other sign of prominence) should be highlighted.
- Correct order: most recent letter be `A' and second most recent one `B', etc. (CAP direction)
- Ideally, the information is checked by faculty for accuracy and relevance and not fully delegated to staff.
- Clear statement regarding relationship, or lack thereof, with the candidate (beyond yes and no).
- A letter writer on both candidate and department list should have both boxes checked (it counts as department candidate) to be consistent with names suggested by candidate which should be in the file.

AP-10:

- Teaching record: periods of leave (WOS/Sabbatical), course release or course buyout clearly identified.
- Student names: Primary advisees only. Membership in the exam committee can be summarized as one entry with an approximate number (optional).
- Demographic information of students, research personnel, or other parties (ethnicity, race, gender identity, etc.) should not be listed in the file.
- Information regarding health of students, research personnel, or other parties, cannot be in the file.
- Consistent numbering of journals, conference papers, etc. both between the CV and AP-10 as well as with AP-10 from previous reviews.
- `Previously submitted' only for cases that go for a period beyond one step (e.g., promotion to Associate or Full or Advancement to VI or A/S). In other parts of campus, it is used to list items such as chapters of a large project/book which were submitted/reviewed as evidence of productivity.
- First review only: items that were not part of the recruiting c.v. but appeared before joining UCI can be listed under an appropriately worded title, in the very first review only.
- Role played in journal or conferences: dividing 100% by number of authors is not considered helpful. Brief (or extensive) explanations of the role (major vs minor, responsible for key portions, etc.) would be far more helpful.
- Multi-author papers: students/trainees identified (e.g., underlined), as well as corresponding/senior author of each paper marked, are among highly effective practices.
- Grants: listing the names of all PI and/or co-PI, with portion assigned to candidate's program is the requested information (as indicated on AP-10).
- In fields where some conferences are as critical and prominent as journals, having two categories for conferences (one for prestigious and high impact, one for not highly competitive and not prestigious) will be helpful.
- Link to publications: Check list has a place for providing the link. Additional provision of the link at the start of the publication section will be VERY helpful.
- Links: papers linked need to have consistent numbering with the C.V. and AP-10.

- Uncritical data (papers reviewed, talks at non major research institutions, talks at the department level, etc.) are not considered important and over emphasis on them might be counterproductive.

External letters:

- Letter codes (A, B, C) should be mid page on right side on every page, not top or bottom of pages.
- Redaction: removing identifying stationary heading and the signature line and everything below that. No changes to the main body of the letters, even if the letter writer self-identifies.
- Candidate gets to examine (redacted) letters BEFORE faculty meeting.

Dept Letter:

- Maximum 3 pages, no exceptions – even for major promotion cases.
- The vote summary can be put on a 4th page, if needed.
- **NO Extensive verbatim, or a dedicated section, quoting from extramural letters**.
- Separate justification and paragraph are needed for acceleration recommendation.
- Repeated entry of the same information is not considered useful.
- Providing context (importance of contributions, reputation of venues, etc.) is the most helpful practice.
- Tenure cases: addressed to Chancellor, other campus cases addressed to the Provost. Dean delegated cases: addressed to the Dean.

Teaching statement (required): 3 pages maximum

- Reviewers at other levels expect awareness of student sentiments, and thoughtful response, when appropriate.
- Teaching evaluations: organizing course by course, and chronological for each course, will be helpful in seeing the evolving history of the same course.
- Separate links for each course would prevent confusion when a large number of courses are listed, some with a minimal number of responses.

Inclusive Excellence Activities, Research, Service Statements (not required): 3 pages maximum

- Providing context, vs repeat of data, is the most helpful function of statements
- Inclusive Excellence Activities statement: From CAP:
  - Activities listed on the AP-10, or statements, should be substantive; simply attending a seminar or lecture is not generally considered appropriate.
  - The impact of activities on society, i.e., outputs vs input, is key objective of evaluation.
  - Activities that are considered regular aspects of a faculty members duties (e.g., writing letters of recommendation or supervising `some' students with important attributes) do

not make compelling data, unless the scope of the activity and its impact are noteworthy.

- Campus provides advice on preparing these statements: https://ap.uci.edu/faculty/guidance/