

CAP Frequently asked questions (FAQs)

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The Council on Academic Personnel (CAP), a standing committee of UCI's Academic Senate, is a faculty body that makes recommendations on appointments, promotions and merit increases to the Chancellor, Provost and the Vice Provost for Academic Personnel. Letters received by Deans, Department chairs, and faculty members from the Executive Vice Chancellor/Provost (Provost) or Vice Provost reflect the input of various levels of review, including the Department, Department Chair, Dean, external reviewers, and CAP.

The University of California Academic Personnel Manual (APM) (system wide) and UCI's Academic Personnel Procedures (APP) are CAP's governing principles, and override anything written below. The following are CAP's responses to questions frequently asked at our meetings with various faculty groups. This document has no legal standing, and merely represents opinions held by members of CAP. The APM and UCI's APP should answer most questions. If something is not clear, a faculty member should ask their school's Chief Personnel Officer, Department chair, the school's Dean, or the Office of Academic Personnel (AP).

The questions below are grouped into five sections and subjects are roughly indicated by the titles. The focus is on the Professor (line) series, except in the last section, but much is of general applicability.

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A. ACADEMIC PERSONNEL STANDARDS AND CRITERIA | FAQs 1-11

1. What standards does CAP use for the various ranks?

CAP reviews research or creative work, teaching, professional competence and activity, and university service. We use the APM for guidance, as quoted below. Please visit: http://www.ucop.edu/academic-personnel-programs/_files/apm/apm-220.pdf

For tenure and all ranks, "superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification." Reasonable

accomplishment in professional competence and activity and in university service is also required, as is documented competence in teaching.

No specific guidelines in the Academic Personnel Manual distinguish the general competence expected of Professors step I-V from Associate Professors. Service at Professor Step V may be of indefinite duration.

CAP views Advancement to Step VI and beyond as steps that require continued output and excellence in all areas, with the addition of great academic distinction. CAP recommends advancements for highly meritorious cases – those that demonstrate greater levels of excellence and distinction with each successive step.

Advancement to Professor, step VI, involves an overall career review. "(G)reat academic distinction, recognized nationally, will be required in scholarly or creative achievement or teaching." Also required is "evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service." (APM 220-18 (4))

Service at Professor, steps VI, VII, VIII, and IX may be of indefinite duration and advancement (from VI, VII, or VIII) to the next step "usually will not occur after less than three years of service at the lower step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI." (APM 220-18) Advancement to Above Scale (A/S) involves an overall career review and is "reserved only for the most highly distinguished faculty (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious. ...Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based." CAP treats advancement to Above Scale as a major promotion. It is obvious that these guidelines are not and cannot be entirely objective, definitive, and mechanically applied.

The duty of a professor's department, chair, dean, CAP, the Vice Provost, the Provost, and the Chancellor is to apply their best judgment in the process of peer review, which presumes that one's academic peers can apply standards to each academic discipline based on their experience. CAP's main job is to apply strict academic standards from a university-wide, disinterested point of view, and to maintain equity across the various fields represented in the university.

2. How does CAP weigh university service?

Service counts. It can be a deciding factor in close decisions. Especially heavy service commitments, with documented effective performance, can partially compensate for reduced

achievement in other areas. However, normal advancement in the University of California cannot take place without effective teaching and continuing superior scholarly or creative productivity as well as good service. CAP expects less service from untenured professors and expects significant service to the campus and university at higher ranks.

CAP understands that certain administrative duties can reduce one's creative output. CAP takes this into consideration in making recommendations; however, university service, especially compensated university service, cannot wholly replace creative activity. The APM provides flexibility for special cases. For example, a department chair's effective leadership and administrative work are in themselves academic activities, and reviewers may evaluate these in personnel actions. Especially burdensome administrative work, such as chairing a large department, can offset diminished accomplishment in other areas of review. The APM says "it is entirely appropriate to award a merit increase, or if performance warrants it, an accelerated increase, primarily for demonstrated excellence in the chair appointment." But note that this last sentence continues, "when accompanied by evidence of continued productive involvement in scholarly activities." Further, the APM specifies that advancements above Professor, Step V "should require substantial justification beyond excellence of administrative service." (APM 245-11)

CAP takes these statements to mean that unusually heavy and effective service should count significantly in personnel reviews (and of course all service should be evaluated and given proper weight), but that even heavy administrative responsibilities cannot compensate for nearly abandoned research or creative activity. Acceptance of administrative activity that reduces scholarly or creative activity nearly to zero must be rewarded by other means than by advancement in the professorial series. This stricture applies more severely at the point of a major action (promotion to tenure or to full professor), or for any step above professor, step V. If service is a particularly important part of a particular action, its effectiveness, not merely its formal responsibilities, should be documented in the dossier.

3. Is "service" an important category for assistant professors?

Much less than for higher ranks. CAP agrees with those departments that assign a relatively light service responsibility to assistant professors, who may think it unwise to decline any service requested of them. Assistant professors should take care not to become overburdened with service.

Still, a willingness to perform university service is welcome, and assistant professors will want to participate in various aspects of academic life. Knowledgeable reports from the department as to whether the service was conscientiously and ably performed is useful to CAP.

Professional service such as refereeing journal articles, chairing a panel at a meeting, or giving invited talks is evidence of impact on the field and therefore considered positively in any review.

4. How does CAP weigh teaching?

Good teaching is essential for any advancement, and can be the deciding factor in an acceleration. In addition to student evaluations, at least one other type of evidence regarding teaching quality is required (<http://ap.uci.edu/evidence-of-teaching-effectiveness/>). This might include, for example, teaching awards, evaluations by other faculty members of teaching effectiveness or reflective self-statements. Additionally, CAP requires careful evaluation by the department of a candidate's teaching, according to guidelines spelled out in APM-210. Faculty may find the services offered by UCI Center for Engaged Instruction to be helpful in identifying the best strategies to strengthen his/her teaching effectiveness. (See cei.uci.edu.)

Bad teaching can sink an otherwise adequate case for a merit increase but it cannot be the sole basis for advancement; CAP is obliged to consider the four areas enumerated in question #1.. The University of California is a research university, and its professors have a relatively low teaching load in order to carry on vigorous research programs. Its faculty cannot be advanced on the basis of teaching alone. CAP also considers supervision of graduate students to completion of their degrees and their subsequent placement as evidence of teaching effectiveness.

5. How can our personnel system reward (and retain) exceptionally accomplished faculty?

CAP's task is to ensure the appropriate advancement and placement of faculty in terms of rank and step relative to other faculty in the UC system. CAP evaluates faculty on the basis of research and creative accomplishments as well as teaching and service. Responsibility for salary adjustments are wholly within the hands of the Provost and Chancellor. Deans and chairs can provide other rewards. CAP's responsibility is to recommend an appropriate professorial rank and step.

6. Why does CAP trouble to review initial assistant professor appointments?

To help ensure equity across the campus with regard to the appropriate step at which a faculty member is hired. CAP also considers the candidate's potential for a distinguished career in independent research and creative activity. CAP rarely recommends against initial appointments, although it may recommend a higher or lower step.

7. What is CAP's view of proposals for the initial appointment of a recent Ph.D. at a level above assistant professor, step I?

Practice from school to school varies. CAP attempts to recommend the proper step based on the criteria in the APM and on achieving equity across campus. In some disciplines, time as a postdoctoral researcher and publication of independent research often occur before the initial assistant professor appointment. This and other professional qualifications can justify

appointment beyond step I. But CAP is reluctant to recommend a step beyond step I for a candidate who has just completed a Ph.D. and who has no publications, formal post-secondary teaching, or other professional qualifications.

8. What are the criteria for tenure? If an assistant professor completes a major project earlier than expected, e.g., turns the dissertation into a book within a year, is acceleration to tenure appropriate?

CAP expects a tenure file to describe a career of a person whose accomplishments match those of an associate professor (see Question #1 above). These include the publication of doctoral work, a start on a second, independent project, renewal of initial funding according to disciplinary norms (e.g., in many of the sciences), and external evidence of visibility in the profession. Reasonable experience in teaching, professional activity, and university service are expected.

Evidence of formal acceptance of books, journal articles and book chapters is essential if the works are not available in published form at the time of the tenure review.

For fields in which book publication is the norm for tenure, a completed book manuscript does not carry nearly as much weight as one that has been fully peer-reviewed and evaluated. A provisional contract does not carry nearly as much weight as evidence that a book manuscript is in its final form, formally accepted for publication, and in production. If a book is primarily a revision of the dissertation, peer-reviewed evidence of a second, independent project is expected. Published reviews in professional journals provide incontrovertible evidence of a book's significance and impact.

Assistant professors are sometimes advanced to tenure in less than six years, especially if they are hired at an advanced step.

9. Are some units more rigorous and demanding of their faculty than others?

Yes, we think so. CAP's role as protector of equity across the disciplines is most effective when it corrects disparities among schools, departments and other units on campus.

10. What is UCI's policy on "overlapping steps"?

Assistant Professor Step V and VI are considered to "overlap" with Associate Professor I and II, and Associate Professor IV and V "overlap" with Professor I and II (see APM 220-18 b (2) and (3)). Time served at the overlapping steps of lower rank may be considered as service at the overlapping step at the higher rank. However, this does not automatically justify "skipping" a whole step at the time of promotion.

The default promotion is to Step I of the next rank even when one has been at an overlapping step. Using the overlapping steps in lieu of steps in the higher rank must be carefully justified.

Promotion is a weighty sign of academic success in itself. On the grounds of equity, the step to which a professor is promoted should be based on the career profile as a whole, as judged in comparison with the professor's peers. Regardless of step, a salary increase at the time of a promotion is always provided by the Administration, as an off-scale salary adjustment, if necessary.

11. How should I report my diversity activities on the Review Profile?

Changes were adopted in 2015 to APM 210-1d, the UC policy which governs faculty appointment, promotion and appraisal reviews to include the following statement: "Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process."

When reporting inclusive excellence, consider answering the following questions:

- a. How do your activities advance equal opportunity and diversity?
- b. What is the significance or impact of your activities?
- c. Have your activities been recognized?
- d. <http://ucnet.universityofcalifornia.edu/working-at-uc/our-values/diversity.html>

For more detail see:

<http://advance.uci.edu/Advance/ADVANCE%20PDFs/Interoffice%20Provost%20Reporting%20Guidelines%2012.15.2015%20doc.pdf>

B. The Personnel Review Process | FAQs 12-25

12. Who can I ask about how to prepare my file and the status of my review?

Talk to your Campus Personnel Officer, School equity advisor, chair, dean, or the Office of Academic Personnel. CAP members may not talk with individuals about specific personnel cases. All file information and CAP deliberations are confidential.

13. Which personnel actions are promotions?

The University of California personnel system designates changes of rank from Assistant Professor to Associate Professor and from Associate Professor to Full Professor as promotions. Six years normally separate the first two promotions. The normal period of service in each of

the first four steps of the rank of Professor is three years. Service at Professor Step V may be of indefinite duration.

In addition, two “barrier” distinctions – movement from Professor Step V to Step VI and from Professor Step IX to Professor Above Scale – are also treated as promotions. Movement to Step VI represents fifteen years of work at the level of Professor with national or international recognition for significant research accomplishments (APM 220-18 b (4)). Advancement to Professor VII, VIII and IX will usually not occur with fewer than three years of service at the previous step. The APM states that, “except in rare and compelling cases,” advancement to Above Scale will not occur after less than four years at Step IX. Promotion to Above Scale is reserved for the most distinguished scholars, creative artists, and clinical researchers whose work achieves international recognition and acclaim, whose teaching performance is excellent, and whose service is highly meritorious.

14. What does CAP look for in a mid-career appraisal (MCA)? What do “positive,” “provisionally positive,” “guarded” and “negative” mean?

The purpose of the MCA is to inform an assistant professor in a thorough and formal way about her or his prospects for tenure on the basis of the accomplishment so far. It is a crucial document and one of the most effective instruments in the UC personnel system.

The mid-career appraisal thus serves a different function from a merit increase. Therefore, the departmental review should incorporate rationale and recommendations for both of these actions. Letters from outside referees are not required for a mid-career appraisal.

Of utmost importance are rigorous evaluation and complete candor. If there are weaknesses in the candidate's career to date, a department's natural reluctance to cause pain can do much more harm than good to the candidate and the university. CAP often discounts mid-career appraisals that withhold severe judgment out of a misguided sense of kindness.

The most common weakness in an assistant professor's early career is a lack of strenuous effort toward research publication. The University of California is a research university and provides generous resources and time for research. A relatively thin publication record, or its equivalent in the arts, cannot be lightly passed over.

Fields vary in their expectations for tenure, and mid-career appraisals reflect this. In general, however, positive mid-career accomplishments show evidence of research independent from doctoral work, of research projects that promise leadership in the field, and peer-reviewed evidence that research will continue once tenure is granted. In the sciences, the award of grants for research is a prominent piece of evidence that the research program is valid, although grants do not in themselves substitute for lack of published scholarship.

CAP tends to evaluate MCA's more strictly than departments. CAP uses all four ratings, positive, provisionally positive, guarded, and negative. A positive MCA from CAP usually means that if the candidate simply continues what he or she has been doing for another few years, the case for tenure will be strong. A provisionally positive MCA indicates that there are some areas that should be improved to make a strong tenure case. A guarded MCA indicates steps to address moderate concerns in research/scholarship and/or teaching and service will be required to change the trajectory toward a positive tenure decision. A negative MCA indicates that a candidate is not on track for tenure, that major improvements are needed, and the candidate cannot request postponement of the tenure case.

15. What is an accelerated action? What are the criteria for acceleration?

Individuals may request early consideration for advancement on the basis of exceptional accomplishments in research or creative activity. Accelerations are rarely granted solely on the basis of exceptional performance in the classroom or for professional, university, or community service alone. Accelerations at a more senior level will require more evidence of exceptional performance than accelerations at a more junior level. Accelerations are an extraordinary request and, as such, require extraordinary justification.

The criteria for an acceleration are unusually vigorous and accomplished research or creative activity beyond the specific disciplinary norm in the period of review, coupled with excellence in teaching and/or service. A doubled number of publications, for instance, with little or poor teaching would not constitute a strong case for acceleration.

Accelerations requested at the time of a normally scheduled review involve “skipping” a whole step, and must show excellence in research productivity, in teaching, and in various forms of service.

Accelerations of more than three years have been requested on the basis of current research productivity and have been denied more often than granted. Superlative teaching and/or extraordinary service are expected together with research productivity and impact. External letters are not required for an acceleration, but may be submitted. Campus level review information is typically sufficient for evaluation.

16. What is a Career Equity Review? Do I qualify for one?

A Career Equity Review (CER) is an examination of a faculty member's personnel actions from the initial hiring at UCI onward in order to determine whether those actions have resulted in an inappropriately low rank and/or step. The purpose of a CER is not to re-open or appeal the decision(s) of any previous action(s), but to see if the candidate's performance, when considered over multiple review periods, may warrant additional advancement. The goal of a CER is to determine whether a faculty member's initial appointment was at too low a step;

whether over time sufficient productivity has accumulated to warrant additional advancement even though individual merit actions did not call for accelerated advancement; and whether contributions have been overlooked, undervalued, or gained delayed impact after particular merit actions. A CER should normally be undertaken within rank, not between ranks.

A Career Equity Review may be initiated by any regular in-line faculty member as well as by Lecturers SOE and Senior Lecturers SOE who are members of the Academic Senate. A CER may also be initiated by any level of review in the course of a regular personnel review, such as by the Chair, Dean or CAP.

The Office of Academic Personnel can provide more information on the process of initiating a Career Equity Review.

17. What are the personnel deadlines?

School and departmental deadlines are based upon those set by the Provost and Office of Academic Personnel. A deadline for submitting one's personnel materials near the beginning of Fall Quarter is usual. Admissible materials and deadlines for submission include:

- For new appointments and tenure/SOE cases, CAP considers all materials and information available up until the time that CAP makes its final recommendation.
- For merit increases, promotion to Professor, advancement to Professor VI, and advancement to Professor Above Scale, and other actions, CAP considers only materials accepted or published by September 30 of the review year.

Actions requiring external letters of evaluation should follow a departmental schedule that assures letters will be in hand in time for departmental review during the Fall Quarter. For additional information regarding external letters see:
<http://ap.uci.edu/wp-content/uploads/2016/06/ExternalLetterGuidelines.pdf>.

18. How can the Department and Chair avoid common mistakes in dossier preparation?

- The department is expected to examine the work first hand and provide a full and independent analysis of the candidate's contribution, especially his/her clear and defined contributions in any collaborative work.
- External letters (which CAP reviewers carefully read for themselves) should not be quoted at length in lieu of independent departmental analysis and evaluation of the work of the faculty member.
- The department should not parrot the candidate's self-statement.

- It is helpful for the department to provide an honest assessment of the quality of the publishing media or performance venues. Indicating that a journal is top-tier, when it is not, is not helpful to the candidate.
- The department is expected to describe the actual effort and effectiveness of the teaching as well as the quality and effort that goes into university and professional service.
- The candidate and department should identify clearly what work has been accomplished within the review period for the specific action.
- The department should address shortcomings that are obvious in the dossier and clarify exceptional circumstances.
- On tenure and promotion cases, the department should obtain sufficient analytical/evaluative external letters (5-7 analytical/evaluative letters with at least 4 from independent reviewers selected by the department). The department should carefully select outside referees, with few, if any, from scholars whose opinion carries less weight than that of professors at our peer universities.
- For the integrity of the review process, it is important to avoid the appearance of conflict of interest at all levels of review. The internal letters (i.e., from the department, the ad hoc committee, chair, and dean) should be written by faculty who have not collaborated with the candidate during the preceding four years.
- Rather than "bean counting," the department should focus on the significant matters, the original and important contributions and discoveries, the exceptional contribution to teaching, the influence of the work on others, and laborious and effective service.

19. What is the purpose of the Review Profile/Addendum to the Biography?

The Review Profile is the most efficient way for a candidate and a department to specify exactly what has been accomplished in a review period. Being time-sensitive, it classifies information in a manner to make CAP review and equivalent judgments across fields as efficient as possible.

20. How can a professor exclude others (department members, chair, dean, members of CAP, extramural referees) from participation in a review?

Although a professor has no absolute right to exclude anyone who would normally participate in the review, the professor may give notice in writing of her or his concerns, which are often honored. Reviewers at all levels will in any case be aware of any potential prejudice and will take the notice into consideration. Explanation of the grounds for suspected prejudice might be helpful to reviewers. The complex and multi-tiered nature of the UC review system goes as far as is practical toward obviating the effects of prejudicial reviews or actions. Sometimes a person who is presumed to be prejudiced against a candidate in fact turns out to be a strong supporter and vice versa.

21. Are the names of extramural referees in fact held in confidence?

Yes. CAP has no direct evidence of breaches of this confidence except, perhaps, for those personnel cases that have gone to court. Gossip on this subject abounds; our impression is that authorship of these letters is generally held in confidence. The authors of letters are urged not to betray themselves as authors in the body of the letter. However, revealing comments probably account for most cases in which the reviewed faculty member learns of the author's identity.

22. What is the typical flow of a personnel action?

In general, files for normally scheduled reviews are due in the Department by the end of September, but consult your departmental personnel officer to determine deadlines for your specific file. Actions requiring external letters of evaluation should follow a departmental schedule that assures letters will be in hand in time for departmental review during the Fall Quarter. The Schools have varying deadlines for departments to submit completed files to their Deans. The files consist of the Review Profile, teaching evaluations, publications and reviewable evidence of creative activity; the departmental evaluation and vote; external letters of evaluation if applicable; and the chair's evaluation or letter of transmittal.

For Dean delegated merit reviews, the Dean judges the file, determines the personnel action if there is no disagreement at a lower level of review (i.e., chair, department), and informs the candidate of that action. The Dean's judgment is final, subject only to procedural appeals to the Senate Committee on Privilege and Tenure.

All other files proceed to the Office of Academic Personnel, where they are reviewed for completeness and consistency, and then are transmitted to CAP. CAP generally meets biweekly in Fall quarter and weekly from January through July. CAP prioritizes files so that Appointment files and Promotion to tenure files are scheduled for review once received, all other actions which require discussion, are generally prioritized in order of receipt. For each case, the chair of CAP then writes up the Council's recommendation, which is reviewed by other CAP members and transmitted to the Office of Academic Personnel.

The Chancellor, in consultation with the Provost, decides on ladder rank promotions and non-reappointments; all other actions have been delegated to the Provost, who has in turn delegated certain merits and appointments to the Deans.

23. What can delay the review process?

Failure of the department or school to submit files in a timely fashion.

Need for additional information. Sometimes CAP sends files "Back to School" to request additional information it needs to make its recommendation. These requests are processed through the Office of Academic Personnel. CAP never contacts individuals or Schools directly.

Need for additional external letters. Inadequacies in the external letters may lead to a delay. For instance, CAP may request that the department solicit additional external reviews when the group of letter writers largely consists of close collaborators and friends of the candidate; too many writers represent non-research or non-academic entities; a UC perspective on appropriate step is necessary; or few of the letters received are sufficiently analytical to assist CAP in its review. Solicitation, receipt and departmental review of additional letters usually adds at least a month to the entire process.

Formation of an ad hoc review committee. At times, the Provost or CAP forms an *ad hoc* committee to provide additional, specific expert evaluation. This adds as much as two or three months, but evaluations by *ad hoc* committees are often crucial for CAP or the Provost to make informed decisions.

Responding to a tentative decision. In some cases, different levels of review have differing recommendations. The Office of Academic Personnel transmits a "tentative decision" to the candidate's dean or department for comment or additional information. CAP usually re-reviews any subsequent response.

24. Why do we preserve the cumbersome "tentative decision" process?

To protect the faculty. Sometimes files are unwittingly imperfect. The Provost's tentative decision, when it differs from that of prior levels of review, affords the department an opportunity to clarify matters, to correct mistakes, or to emphasize overlooked aspects of a case. The tentative decision occasionally may be reversed in the review of the response to the tentative decision.

The Provost's tentative decision takes into account recommendations from all previous levels of review, including that of CAP and the *ad hoc* committee (if there is one); it usually, but not always, agrees with CAP's recommendation. While the comments in a tentative decision letter are generally assumed to be those of CAP, they are in fact a selection or conflation from all levels of review (the department, chair, dean, external referees, CAP, *ad hoc* committees, and the Provost).

25. How can I register a complaint or fix a mistake?

Faculty should take responsibility at all stages of the review process to ensure information is accurate and respond in writing at appropriate times, such as correcting information when a file is returned for a tentative decision or if CAP requires additional information. If a mistake is still

noted, a letter should be written to be forwarded through your chair to the Office of Academic Personnel.

C. What is Reviewed; Contents of the Dossier: | FAQs 26-45

26. Does CAP consider aspects of a professor's career that fall outside the review period?

At the major actions – promotion to associate or full professor, and advancement to step VI and above scale – CAP evaluates the candidate's career since the last positive review and since the last major action, as represented in the Review Profile, as well as the entire academic career, as represented in the CV. For merit increases, CAP focuses on the work accomplished during the review period since the last successful action.

CAP regularly reviews whatever appears in the candidate's dossier, including both the curriculum vitae and Review Profile. CAP may occasionally request and review material from previous review files, especially if questions arise regarding previously submitted material.

27. How can CAP make personnel recommendations about professors whose work the members of CAP cannot understand?

CAP relies on the department's presentation of a candidate's work. For major actions CAP depends as well on the reports of extramural reviewers, and can call upon the advice of an *ad hoc* committee or request that the department provide more extramural letters. A dossier usually includes evidence of the professor's standing in the profession.

In short, CAP must rely on the judgments of others, and on its own experience of the career profiles of professors in similar disciplines. Service on CAP is for three years and each member will have reviewed hundreds of cases outside of their own school by the end of his or her term.

28. Can work in progress be considered in a personnel review?

"Works in Progress" may be listed in the CV, but should be only rarely and judiciously listed in the Review Profile. This category is reserved for completed but unpublished parts of larger creative works that cannot reasonably be expected to appear in a publicly accessible form in a normal review period. It is most appropriate for a normal merit in which a long-term research or creative project does not fit into the normal two- three- or five-year cycle of review and there are few (or no) other publications or creative activities in the review period.

When work in progress is submitted, the department must thoroughly and critically evaluate it, with the aid of extramural reviewers if appropriate.

If work in progress forms a significant part of the basis for the current action, that work cannot again be the sole basis for a future action. In short, work is credited only once.

As in many ambiguous matters in personnel reviews, the key here is for the candidate and the unit to explain fully and candidly, what is taking place. In many departments it is not the custom to submit work in progress for review; it is certainly not required.

29. How does CAP evaluate collaborative research or creative work?

CAP recognizes that for some disciplines, sub-disciplines and individuals, scholarly work may frequently be conducted in the context of collaborations or teams. In these cases, the role of the faculty member in shaping the research or scholarship should be clear. The department should, with the help of the candidate and other collaborators, explain fully the nature of collaborative work including the proportion of the candidate's individual contribution. CAP looks for substantial intellectual contribution, and evidence of a clear and defined creative role in research or artistic production.

For example, for a basic scientist to serve regularly as a technical consultant on experiments devised by others is a sign of good professional conduct but is not in itself a sign of superior academic achievement. In these cases, CAP has sought evidence of leadership, creativity, indispensability, and unique impact in collaborative projects, together with sole- or few-authored publications supporting claims of intellectual contribution or achievement. For a performing artist, participation in a professional orchestra or dance corps is more a confirmation of professional competence and activity than an independent contribution to a creative performance.

For major actions such as promotion to tenure, documentation of clear research contribution and leadership is critical. The dossier should highlight both the candidate's standing and reputation in the field, as well as their specific scholarly contributions regarding the collaborative conceptualization of the project, study design or project development, data analysis, interpretation, and writing. For creative artists, there should be evaluation of the individual's achievement beyond the success of the collaborative work. CAP relies heavily on departmental, chair, dean and extramural letter writers' careful assessments of an individual's contribution to collaborative work.

30. How does CAP evaluate such impermanent productions as plays, dances, and installations?

As always, the department is CAP's main source of knowledge, and full analysis of creative works is important. CAP cannot consider work that has not been witnessed and judged by others.

CAP has equipment available to review recordings, DVDs, photographs, etc. These may be equivalent to professional publications (as with commercial audio recordings of musical compositions or dramatic readings). When such media are self-produced, however, and not in

national or worldwide distribution, they are considered solely as illustrations to the Review Profile items and not departmental or external evaluations.

Apart from competitions, juried festivals, and the like, the venues or professional levels of performances may serve as indicators parallel to the rankings of publication venues (journals, selective presses). It is incumbent upon the department to articulate these distinctions. Published reviews are helpful. Publicity material serves as documentation that a production occurred, but is not in itself a form of evaluation.

31. Why do we need so many letters in our personnel actions? How many letters are required?

CAP finds that external letters are often written with some degree of bias in favor of the candidate. This may stem from collegiality, from the University of California's confidentiality policies, or perhaps other reasons. Because of this, letters must be read with great care, looking for what is left out as well as what is said. For this sort of careful reading, having more than just a handful of letters is important. For reference, please see:

<http://ap.uci.edu/wp-content/uploads/2016/06/ExternalLetterGuidelines.pdf>.

External letters are essential for major actions (e.g., appointment, promotion to associate and full professor, and Above Scale), where they help CAP evaluate whether the candidate's accomplishments and standing in their field are appropriate for the proposed rank. External letters may also be helpful for some accelerations, especially when skipping steps, such as accelerating to or past Professor, Step VI.

If a name appears on both the candidate's list and the department's list, it is labeled as a department-nominated independent list name.

Appointments at the Assistant Professor level should include at least three external letters. "Candidate" letters are acceptable. Additional "department-nominated" letters may be helpful for appointments at the higher steps of the Assistant Professor rank (Steps V or VI).

Promotion files and appointments at Associate Professor and higher should include five to seven analytical/evaluative letters, at least four of which should be from reviewers from the "department-nominated" independent list.

32. What constitutes a good letter of evaluation?

The most useful letters provide both description of the candidate's work and a thorough analysis of the candidate's important and original contributions. A "thorough analysis" places the contribution in historical and contemporary context; it answers questions such as how a key contribution has advanced the field and addresses the originality and impact of that contribution. It may explain, for example, how the contribution elucidated a long-standing

problem that has been difficult to resolve, or has opened a new area of inquiry or creative expression. An analytical letter often addresses the quality of scholarship of the candidate's work and how the candidate's contributions compare with the work of his/her peers. Since letters for promotions cover work over many years, evaluators should concentrate on the most significant past work but always comment on the most recent work.

Least helpful are perfunctory "testimonial" letters, with no analysis of the scholarship or creative work, and with indications that the only thing actually reviewed has been the curriculum vitae; CAP gives little consideration to such letters.

CAP is aware that departments cannot control the quality of letters received. If departments are careful to specify the kinds of information needed when they solicit extramural appraisals, the letters may be of better quality and more helpful. However, leading language must be avoided in solicitation letters. Solicitation letters should include the rank and step of the action proposed by the department as well as a statement if the proposed action is an acceleration. Solicitation letters for Step VI or Above Scale should have an appropriate description of the expectations for these advancements.

Soliciting advice from experts within the University of California system is especially useful to evaluate appropriate placement of the candidate on the UC step scale or when the action involves a subtle knowledge of the UC step system, such as advancement to Professor VI, Professor Above Scale, distinguished titles, etc.

It may be useful to begin the solicitation process early, so there is time to send a second solicitation if several "testimonial" letters are received. For examples of effective solicitation letters, see the Academic Personnel Procedures manual (APP 3-60).

In general, independent letters carry more weight. Letters from the candidate's dissertation or postdoctoral advisor are never considered independent, although they may be useful. When judging independence for collaborators on publications or grants, CAP uses the federal conflict-of-interest standard and only considers collaborations within the previous four years.

33. How can non-UC referees be expected to understand our step system?

They cannot entirely, but some steps (tenure, full professor) are widely understood in this country. If a letter provides a thorough analysis of the candidate's work, CAP can probably interpret the assessment in terms of the appropriate UC step.

34. Are separate chair's letters in a dossier particularly useful?

Yes, the chair of a department can helpfully summarize a case and provide a different perspective. Often the chair's letter can broadly comment on the candidate's record in

comparison with those of other faculty, a comparison less likely to appear in the department letter.

35. Does CAP require a description of the search and the candidate pool for appointments?

No, but a brief statement about the search can be helpful, particularly if it has yielded few applicants.

36. How does CAP view publication by way of conference proceedings or electronic media as opposed to "archival" print journals and books?

The department should always explain the situation for the specific case. It is useful to make CAP aware of the selectivity and impact of different media and venues of publication in different fields.

37. Does CAP take into consideration the quality of the publisher or the stature of the journal?

Yes. Publication in a broadly respected and highly selective journal can be a sign of the quality of the work, and suggests high professional impact. Publication with an academic press implies selection by expert peer review. Trade books and textbooks are generally considered professional activity or as contributions to teaching. Published reviews and the departmental letter can demonstrate otherwise.

38. How does CAP respond to published reviews of work in scholarly and popular media?

Published reviews can be especially helpful guides to the professional reception of a candidate's work. CAP is able, with the department's guidance, to evaluate the nature of a review, its venue, and the standing and possible prejudices of its author. CAP is conscious that a review in the local press will differ in its quality and helpfulness from the solicited review of an academic peer in a learned journal.

Reviews provided in dossiers from the School of the Arts are expected and helpful. In fields like Humanities and Social Sciences, CAP assumes that there will be reviews of a professor's work in respected journals and uses them in the evaluation of the publication, with the department's guidance.

39. Is grant funding a requirement for advancement?

No. It can be a secondary sign of scholarly or creative achievement, but the scholarly or creative work itself is the basis for advancement (see question #1 above). The awarding of a grant is not itself sufficient for advancement; rather, CAP considers a grant to be a promise of future productivity. In some scientific fields, grant funding or renewal of funding (e.g., an NIH R01

grant) greatly enhances a tenure case or advancement at higher levels. A lack of funding in a discipline that typically requires grant support for doing research raises questions: Is the research effort continuing and what is the acceptance of the investigator's research by other experts in the field? Is the researcher unable or unwilling to seek such funding? Is prior performance such that granting agencies no longer wish to support the researcher? Has the investigator not been successful in competing for grant support?

40. Are peer-reviewed or federal grants counted more than others?

More competitive grants may be taken to indicate a stronger sign of scholarly accomplishment than less competitive ones. Specific comments from departments, chairs, deans and extramural letter writers on the selectivity of major grants can be helpful. Small intramural grants are rarely significant in major actions except when they are the normal means of continuing work.

41. Are prizes and awards necessary?

Not always. Like success in winning grant funding, awards, prizes, and honorific positions in societies can be a sign of achievement and recognition. For the upper steps of the professor rank including Above Scale, however, such indications of professional recognition are expected.

42. Can CAP distinguish and reward real service as opposed to nominal membership on a committee?

Not without the department's help. CAP welcomes testimony from committee chairs or whomever can comment on the real effectiveness of university service as part of the dossier. This is especially the case when extensive service is judged to compensate for weakness in other parts of the profile. The attendance rosters of various UCI committees demonstrates that mere membership on a committee is not itself a sign of service.

43. Does CAP require the "raw" course evaluation forms in every personnel action? Do CAP members actually review them?

CAP requires and reviews written student evaluations, as they provide a basis over time of teaching effectiveness. CAP does not require the actual evaluation but does require a verbatim transcript of all evaluations, if the "raw" material is not provided. APM 210 requires more than one type of evidence of teaching effectiveness so the written comments provide a measure of triangulation when correlated to a reflective teaching statement or evaluative peer observation. It is very helpful if departments summarize the crucial questions (teacher's overall effectiveness, overall quality of course) and provide comparisons with other courses in a summary way. CAP members are conscious of the imperfections of course evaluations as indices of teaching quality. CAP expects that departments provide other evidence as per the requirement for at least two types of evidence of teaching effectiveness, especially where teaching plays an exceptional role in the decision for or against a merit or promotion.

44. Should faculty members provide a self-statement for the dossier?

Self-statements are most useful when they are reflective and most specifically when they address concerns that might have been raised by students. The Office of Academic Personnel requires at least two forms of evidence of teaching effectiveness and the teaching self-statement can be effective if it is reflective and provides illumination as to the individual's contribution to teaching. CAP reviews the self-statement when provided and finds it useful when it can be triangulated with another piece of evidence that contextualizes the candidate's teaching philosophy and resulting success. However detailed a candidate's self-statement may be, the department should provide its independent and thorough analysis of all aspects of a professor's academic work. In departments that embrace a wide range of very different disciplines, a professor's explanation of the character of the work may be helpful to the professor's colleagues in preparing a department letter. Professors should not feel obliged to praise themselves in these statements.

D. COUNCIL ON ACADEMIC PERSONNEL PROCEDURES | FAQs 45-58

45. What can a unit do when there is need for exceptional speed in a personnel case?

Let the Office of Academic Personnel know about the situation. CAP can usually make emergency provisions that should cope with any event.

46. Do CAP members have the right to vote twice on a personnel action?

No. At UCI, once a faculty member becomes a member of CAP, she or he generally no longer attends or otherwise participates in personnel actions at a lower level. If a CAP member has participated in the department's deliberations, he/she does not participate in CAP's deliberations or vote. If the CAP member is closely involved with the candidate, by custom the member leaves the room during deliberations.

47. Should CAP have a representative from each school or other unit?

CAP currently has thirteen members, including one from each school, two from the School of Medicine (one from the basic sciences and one from the clinical areas), and one at large member from the stand-alone programs and departments. No member represents his or her school in terms of advocacy for the school, a department, or an individual. All members have the interests of the campus as a whole as their area of responsibility. The members are therefore representative of the Schools mainly with respect to their expertise and their experience with a particular academic culture. Indeed, rarely is the work of a candidate for advancement within the field of a CAP member; that is why letters of review and levels of review from the Department, chair, and Dean are so important in CAP's deliberations.

48. If a school's representative on CAP is absent at a CAP meeting how are the school's cases handled?

Sometimes the particular expertise of an absent CAP member is needed for a special reason, and CAP will defer review to the next meeting. Other times, CAP will consider the case without the representative being present. It sometimes happens that a CAP member with expertise in a particular area comes from outside the candidate's own school.

49. Do CAP members themselves examine the scholarly or creative works, e.g., read the publications?

This will vary with individual CAP members and the nature of the case, but broadly, yes, CAP members generally sample and read significant parts of the published work included in the dossier.

50. Does CAP make salary recommendations? What is CAP's attitude toward Off-Scale salaries?

CAP's function is to recommend the proper step in the professorial series, not to recommend salaries.

51. Why and how does CAP call for ad hoc committee review of some cases?

The reasons for convening an *ad hoc* committee, its composition, and the importance given to its recommendation can vary from case to case.

An *ad hoc* committee's chair is always from outside the candidate's unit and is not necessarily an expert in the candidate's area of research. The chair almost always has served before as a member of an *ad hoc* review committee and is familiar with the process. The role of the chair is to lead the discussion and to provide an objective, analytical and dispassionate report, including a description of conflicting opinion. To ensure independence and a fresh look, as well as to prevent an individual voting twice on a file, faculty from the candidate's department rarely serve on *ad hoc* review committees. The other campus member(s) is from a department with some intellectual overlap, if not from the same school. The member(s) from outside UCI provides additional expertise in the candidate's field.

The Office of Academic Personnel calls potential members, using a slate recommended by CAP, and makes all meeting arrangements. Both CAP and Academic Personnel are dedicated to the confidentiality of *ad hoc* committee members. The *ad hoc* committee's evaluation is forwarded for CAP's review and, though not determinative, constitutes an important element in the file.

52. Why do ad hoc review committees sometimes include people who are not experts in the field?

The composition of *ad hoc* review committees is confidential. The chair of the *ad hoc* review committee is not normally an expert in the candidate's field, but serves as a moderator and articulator of the experts' opinions.

53. Why am I never/always asked to serve on ad hoc review committees?

The members of *ad hoc* committees normally are tenured professors at or above the rank and step of the candidate. Ideally the members (except for the chair, who is chosen for other reasons as mentioned above) bring to bear special expertise in the candidate's field. Because of these criteria some faculty are rarely asked to serve, and some are asked frequently.

54. Why does CAP send comments back to the faculty member under review?

The comments received by a faculty member are a summary and selection of comments sent to the Provost's office from all levels of review. CAP cannot be assumed to be the author of the comments a faculty member receives. A negative tentative decision, however, provides an opportunity for the faculty member to respond to specific points.

55. Does CAP ever recommend a higher step than the one proposed?

Yes.

56. Why does CAP refuse to talk about personnel cases directly with deans or chairs?

At some UC campuses, deans may address their CAPs about individual cases, but not at UC Irvine. The strongly held view of UCI's CAP is that this can lead to inequity: an especially skillful or relentless verbal advocate of one professor might sway opinion, where another professor may have no such advocacy.

57. Does CAP see postponement of tenure or postponement of promotion reviews?

It is generally not in the interest of the candidate, the department, or the university to postpone either promotion or non-reappointment unless there is a compelling reason to do so. Postponement can be justified if the candidate has significant work in progress or under review, the evaluation of which will occur within a year but not in time to be included in the sixth year review.

Postponements of review will not normally be granted if the candidate had a reappointment without a merit increase in the preceding merit review or received a negative Mid-Career Appraisal. According to campus procedures (see Academic Personnel Procedures 3-50), the

candidate is to provide tangible evidence that the one-year deferral will enhance the record significantly. The department will then review and discuss the request and vote for or against the postponement. The request is then forwarded through the dean to the Office of Academic Personnel and, when additional evaluation is needed, to CAP.

E. CRITERIA FOR OTHER SERIES | FAQs 58-63

58. What are the criteria for appointment and advancement in the Professional Researcher series?

Refer to APM 310. The titles in this series are Assistant Researcher, Associate Researcher, and Researcher. Appointees do not have teaching responsibilities, but the research expectations and the criteria for performance in research are equivalent to those in the Professorial series. The School, program, and PI have a responsibility to mentor an Assistant Researcher and aid him or her to develop an independent career. Advancement to the Associate level is mandatory within eight years at the Assistant level.

According to the APM, the Researcher series is not appropriate for those "whose duties are merely to provide technical assistance to a research project." Such individuals belong in the Specialist or Project Scientist series, where they will be able to advance in their careers. (The Project Scientist series is for individuals who make significant and creative contributions to a research or creative project but are not required to carry out independent research or develop an independent research reputation.)

59. What are the criteria for the Adjunct series?

Refer to APM 280. An appointee in the Adjunct series is judged in the four areas listed in question #1, but the weight given to each is adjusted according to the assignment of duties. These duties may be skewed toward research or teaching in some proportion that should be clearly stated at the time of appointment and reviews. However, every appointee in this series is expected to teach at least the equivalent of one-quarter course per year. Clinical teaching may satisfy the teaching requirement. There is an eight-year limitation of service at the Assistant rank.

60. What are the criteria for the In Residence series?

Refer to APM 270. The individuals in this series are judged in the four areas listed in question #1 by the same standards as for the Professor (In Line) series. They are members of the Academic Senate, but salary is contingent on available funds. Appointments at the Assistant rank are for at most two years at a time and for a cumulative total of at most eight years. Appointments at higher levels do not carry tenure or security of employment and generally should have a specified ending date.

61. What are the criteria for the Professor of Clinical X series?

Refer to APM 275. This series, in the School of Medicine, is designed for clinical scholars in full-time University service. They must be outstanding teachers. Though the major part of their time may be devoted to teaching and clinical service, they are expected to engage in creative scholarly activities aimed at improving clinical practice or medical education. For appointment or promotion to the Associate Professor level, a regional reputation within a clinical specialty is expected, and for the Professor level, a national reputation. Professors of Clinical X are members of the Academic Senate and are an important component of the School of Medicine faculty.

62. What are the criteria for the Project Scientist series?

Refer to APM 311. This series is for individuals who make significant and creative contributions to a research or creative project in any discipline. They do not have teaching responsibilities. They are not required to carry out independent research or develop an independent research reputation.

63. What are the criteria for the different Lecturer series? What is an "Excellence Review"?

For Unit 18 Lecturers, refer to the Memorandum of Understanding (MOU) between the University of California and the American Federation of Teachers. The primary criterion of review is documented evidence of truly exceptional teaching. Such evidence usually includes reports from classroom visits by departmental faculty.

For cases in the Senior/Lecturer P/SOE series, CAP applies the criteria in APM-285 and APM-210. In addition to effective teaching, appointees in this series need to demonstrate some degree of professional recognition and competence. For promotion, the professional activities for a Lecturer SOE are analogous to an associate professor, and for a Senior Lecturer SOE are comparable to a full Professor. The markers of professional recognition are broadly defined and vary by discipline and the candidate. Examples include: member of scholarly committees at the national level; national review boards; publication of teaching materials; scholarly publications and conference presentations; etc. It is incumbent on the department to make the case for how the candidate's record demonstrates more than excellent teaching.