

Academic Review Files: Guidelines for the School of Biological Sciences

Effective academic review files are essential for both individual scholar's and the School's success in merit review, promotion, and advancement. We have developed the following general guidelines for all ranks of Professor and Professor of Teaching faculty. The guidelines are consistent with the broad criteria for professional advancement set out by the Office of Academic Personnel and reflect our four academic units' best practices resulting in successful review of faculty in the School of Biological Sciences. Faculty, particularly early-career faculty or those new to the UC review process, are encouraged to consult with a faculty mentor or colleague regarding preparation of the file.

I. Research and Creative Activity

Faculty are expected to create knowledge through high quality research and creative activity with an impact on the field. For our School, the most common contributions are peer-reviewed journal articles that report on original life science and/or pedagogical research. Other types of contributions include scholarly review articles, books or book chapters, patents or other intellectual property, and publicly available research products. Research is also disseminated through seminars and conferences. Research faculty are expected to secure the funding necessary to support their scholarly approach. You may also include information about how you have been recognized for your research contributions, such as awards, selection for societies, and scientific and lay articles about your work.

Guidelines for presenting research and creativity activity on the UCI-AP-10 Form

Publications:

- List publications in the appropriate location using continuous numbering that matches the CV.
- Briefly categorize the paper (original research, review, commentary, etc.)
- Describe your role (1-2 sentences); do not give a percent value. It also is helpful to note which of the authors are your trainees or lab members. You may indicate if you are "lead author" or "corresponding author" or "co-first author" or "co-corresponding author" etc.
- Include collaborations and published works from postdoctoral training if they were accepted or published during the review period. For these papers, it is particularly important to be clear about your contributions to the project, e.g., study design, development or contribution of methods or resources, data collection and/or analysis, manuscript preparation, etc. Indicate what part of the work, if any, was performed after your appointment at UCI.
- Do not include papers in preparation or under review on your UCI-AP-10. **Do not include papers that have been deposited in archives such as bioRxiv.** Only include papers that are published, in press, or accepted. However, faculty undergoing mid-career review may include these papers to indicate progress toward publications.
- A paper can be counted once at each rank under the "not previously submitted" section; papers that are in press but not published may be listed in your AP-10 for the current or

next merit review period, **but not both**. If you previously listed a paper as in press and it is now published, it should be listed under “previously submitted;” a description any updates may be helpful. For promotions and advancements, or whenever more than one review period is included, be sure to list in the “not previously submitted” section **ONLY** papers that were NOT listed in any previous review.

Grants/funding

- Spell out the funding agency.
- Include your role on the project.
- If it is a multiple PI or co-I grant, include information about how much funding is available for your research.
- Do not list pending grants in your UCI-AP-10 form. You may include any information about pending grants with promising scores in your CV and/or in your research statement.
- For **training grants**:
 - Include training grants in this section if you are PI or co-PI on an institutional training grant. Be clear about the nature of these grants and your involvement.
 - Do not include in this section any funding that supports your trainees, such as individual NRSA, NSF fellowship, or positions on an NIH T32. Instead, we recommend that you include this information under the section on Teaching and Mentoring.

Other evidence of creative contributions

- For your invited and contributed seminars and talks, be clear about the context (research or mentoring talk, keynote, invited speaker, abstract selected for oral presentation, poster presentation, breakout session, etc.)
- Include information about patents, your activities around translating your research into practical applications, or other kinds of products. Include a clear description of your contribution.
- List scientific commentaries highlighting the significance and impact of your work. This does not include articles that merely cite your papers.
- Describe any awards or honors related to your research contributions, such as election as a society fellow, membership in an academy, etc.
- List and describe in the appropriate sections of the UCI-AP-10 form any publicity or other recognition based on your research.

Guidelines for writing an effective research statement

- Be concise and broadly accessible. Please adhere to a 3-page maximum limit. Include just enough background and focus on aspects of your work during the review period that are difficult to understand from the information in the AP-10 alone. Avoid jargon and unnecessary details.
- It may increase readability to cover different aspects of your research areas in different sections. Make sure to highlight the *overall significance* of each aspect of your work.

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- Refer to your publications based on their number in the CV and UC-AP-10. Numbering should be consistent across your documents.
- To maximize the impact of this statement, it is highly recommended that you share drafts with a mentor or trusted colleague before submitting the file.
- For promotion to tenure, describe the unique contributions of your *independent* research and how your expertise was synergistic in collaborative projects.

II. Teaching

All faculty are evaluated during each review for their contributions to our core university mission of teaching.

Guidelines for presenting teaching information on the UCI-AP-10 Form

- Your courses should be listed accurately and completely. Make sure that each course is listed, along with student numbers, your portion of the course, and the correct course name and number.
- For your research supervision, make sure that your committees and trainees lists are up to date, relevant to the review period, and that your role is accurately represented.
- If you have trainees who have won awards under your supervision, you may include this information in the teaching section. If you made significant contributions (beyond writing a letter of recommendation), you may wish to explain this. As noted above, you should include information about individual training grants in this section.
- In the section on undergraduate research supervision, you may include information about students who have participated in UROP, Excellence in Research, or other programs.
- Include information about any teaching awards, relevant society teaching acknowledgements, roles, or leadership positions.
- Include information about innovations, curriculum development, etc. and your contributions to each. For innovations and curriculum development, it is useful to include information about how widely these have been adopted and their impact and access; both can be described in more detail in the Reflective Teaching Statement.
- If you have completed any teaching or mentoring training and/or workshops, list them in the form under “Profession Development Activities Related to Teaching.”

You should include student evaluations from your courses with the file (with exceptions during the switch to online instruction during the pandemic). University policy requires **two forms** of evidence to evaluate teaching during academic review.

Guidelines for writing a reflective teaching statement

- This statement is *not* a teaching philosophy statement, but rather a statement of your assessment of effectiveness. Highlight efforts to incorporate evidence-supported innovations and any actions you have taken to improve your teaching that are not clear from your UCI-AP-10.
- This statement describes your teaching methods, what you have learned from teaching experience, and how you have modified your approach over time to address difficulties

that arise. Be specific about how each strategy benefits students and how you have assessed the effectiveness of any changes you have made.

- This statement can describe mentoring and laboratory training as well as classroom teaching.
- The statement provides an opportunity to address any issues that may arise in student evaluations or discuss systematic improvements in evaluations as teaching practices are adopted or modified.
- Please adhere to a 3-page maximum.
- Your reflective teaching statement may include description of mentoring contributions.
- Additional information and examples of the reflective teaching statement can be found here: <https://ap.uci.edu/faculty/guidance/teachstatement/>

Other forms of evidence for effective teaching

- *Peer evaluation.* A colleague observes your teaching and consults with you to provide constructive feedback. See <https://ap.uci.edu/faculty/guidance/peerevalteach/> for specific guidelines and examples.
- *Other evidence.* This can include student evaluations or other evidence of student learning success. A syllabus and/or learning outcomes may be helpful if accompanied by a reflective teaching statement.

III. Service

University, professional, and public service are expected, valued contributions from faculty and are evaluated as a component of all files for Professors and Teaching Professors.

Guidelines for presenting Service on the UCI-AP-10 Form

- Indicate the service and dates in the appropriate section of the UCI-AP-10 form. For committees, indicate whether you are a member, chair, etc.
- Use the *Description* section to briefly indicate what the activity is about. For committees, indicate how often/long they meet. Indicate also if the committee generated a report or a comparable product and how it is being used. If there was no reporting involved, discuss whether and how the committee achieved its goals.
- Provide information about the nature of activities outside the university that might be relatively unfamiliar to your peers.

Guidelines for preparing a Service Statement

- A brief statement summarizing your service is recommended. This document will provide an opportunity to describe the significance and level of your efforts, as well as an overview about what you value in your service.

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- Do not merely list the items that have already been indicated in the UCI-AP-10. Instead, provide a short narrative defining the significance and impact of your **most significant** contributions to service and leadership.
- Where appropriate, provide additional details about what you did and how much time you committed, especially for the most significant contributions. For example, if you are an editor, how many papers did you handle? If you are on an advisory board, how often did you meet? If you assisted in K-12 science classrooms, how many times/days did you do it?
- Describe any significant outcomes from your work on committees and your specific roles. For example, if you are on a mentoring committee, you can state the number of hours per quarter you worked with your mentees. If you served on a strategic planning committee or other working group, describe any successful product delivered and the impact it had.

IV. Inclusive Excellence

As a collective faculty, we value the principle of inclusive excellence in carrying out our three primary duties of research, teaching, and service. Thus, rather than being considered in a separate category, they are considered as part of each of the three review criteria. These activities are listed and briefly described in the UCI-AP-10. You may expand on Inclusive Excellence activities in your AP-10 or in a separate statement, as described below.

Guidelines for presenting Contributions to Inclusive Excellence on the UCI-AP-10 Form

- List contributions in each section of the UCI-AP-10 as appropriate. For each contribution, list in the appropriate category and describe how it fits.
- Add 1-2 sentences that explain the contribution to inclusive excellence and the extent of the effort.
- Briefly describe the activity rather than providing only the name of the committee.
- Do not simply list numbers of women and URM students trained, which represents a minimum expectation for all faculty. **Do not identify diversity students by name.** Instead, describe *significant* efforts and special contributions to inclusive excellence, such as activities to recruit minority students, or training in culturally aware mentoring to better serve minority students.
- Similarly, do not simply list awards and accomplishments of your URM trainees. Describe *your* specific role in mentoring and sponsorship that contributed to their success.

Guidelines for preparing an Inclusive Excellence Activities Statement.

An Inclusive Excellence Activities Statement should be included to highlight significant efforts beyond what is normally expected.

- The statement should NOT simply repeat the information on the UCI-AP-10, but rather, expand upon the activities with specific details and describe the impact.

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- Give specific details about the amount of time spent and your role in this effort.
- Explain the actual or anticipated impact of grants or awards you received relevant to diversity and inclusion.
- Include educational activities as appropriate and provide details on duration, topics, participation, etc.
- For more complete information on writing this statement, visit <https://ap.uci.edu/faculty/guidance/ieactivities/>

Other evidence of contributions

- A letter from another faculty member, administrator or community leader that describes your contributions to inclusive excellence. **This type of support for your AP-10 and self-statements most often appears in the department letter providing comments from other faculty who have worked closely with you and understand the contributions of a project.** In rare cases, if there is no one in the department who has any knowledge about a significant project, a letter from someone involved in the project could be included. Letters from outside UCI may be helpful if they support work on inclusive excellence at other institutions, organizations, or professional societies.
- Description of any award, recognition, or grant received for activities promoting inclusive excellence.