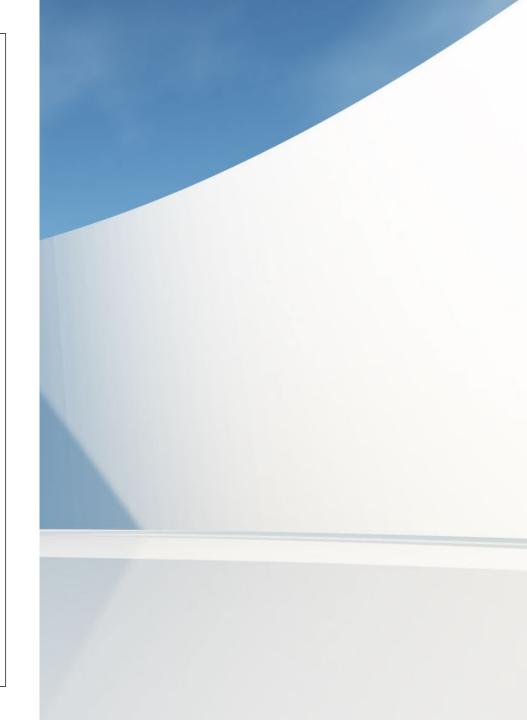# 2022-23

# AREAS OF IMPROVEMENT:

# ACADEMIC PERSONNEL PROCESS

September 2023

# Academic Senate

The Irvine Division of the Academic Senate represents the Irvine faculty in the shared governance of the University of California.

The Academic Senate is empowered by the Regents to **determine academic policy**, set conditions for admission and granting of degrees, advise the Chancellor on the campus budget, authorize and supervise courses and curricula, and **advise the administration on faculty appointments and promotions.**

The Academic Senate consists of several councils and committees, including CAP

https://senate.uci.edu/

# Academic Senate/Council on Academic Personnel (CAP)

Duties: Confer with and make recommendations to the Chancellor and Provost on appointments, advancement, and other personnel matters.

[Council on Academic Personnel (CAP)](#)

# 2022-2023 Feedback on CAP Files

◦ CAP reviewed 91 Senate files between Sept. 2022 and July 2023

◦ **Of the 91 files, CAP sent back:**
  ◦ *21 Administrative Comments (23%)*
  ◦ *8 Requests for Additional Information (9%)*

The 'send-backs' repeatedly point to issues that should be managed better moving forward

Send backs delay the final decision AND files which require revision or additional information can make it difficult for CAP to review

# 2022-2023 Feedback on CAP Files

⭐ 1. Numerous files included a list of **underrepresented student names** as evidence of the faculty member's own accomplishments toward inclusive excellence. (24%)

⭐ 2. The **AP-10 in several files was incomplete or hard to follow, including misplaced items or items that were outside the review period.** (21%)

⭐➡️ 3. There were a variety of **conflicts of interest between the candidate and lower levels of review (i.e., the department letter writer or the chair) that had not been properly addressed.** (21%)

⭐➡️ 4. There were multiple instances where the **department letter was signed by the department chair,** which raises concerns of undue influence at multiple levels. (17%)

5. A department letter for an **MCA did not provide clear guidance** regarding what the candidate should focus on before coming up for promotion. (10%)

6. In several cases, there was an **insufficient number of external letters that were department-nominated, non-conflicted,** and written by external referees who are **at or above the rank of the proposed action**. (14%)

# Recommendations – Diversity and Inclusion

**Feedback:** CAP finds the listing of names of underrepresented students as evidence of faculty's own accomplishments towards inclusive excellence to be problematic insofar as it risks giving the appearance of exploitation and breaches confidentiality

◦ Instead, candidates should consider describing specific activities they designed to increase equity, be more inclusive, or explicitly work towards the success of underrepresented community members

◦ The Office of Academic [Personnel's Guidance for Writing Inclusive Excellence Activities Statement](#) is an excellent resource, please review and share with faculty

# Recommendations – AP-10

**Feedback:** As the AP-10 is the official documentation of a candidate's work over the review period and the document that CAP relies upon most, it is essential it accurately and clearly reflects the candidate's activities

Examples**:**

◦ Faculty AP-10 lacked sufficiently informative descriptions to understand his/her particular role in papers. As UCI values team science contributions in research, CAP looks to these descriptions in the AP-10 to provide important context in understanding a faculty member's role and leadership contributions in papers.

◦ School Service listed erroneously in Campus Service section

◦ AP-10 headers mislabeled

◦ Inclusive Excellence self-statement copy/pasted in the DEI teaching section

◦ Items mentioned in areas of the file but not completed in the AP-10 (example: Service Activity mentioned in the Dept letter, but AP-10 Service Section is blank)

◦ Faculty did not list their precise role in grants

◦ Information duplicated

# Recommendations – AP-10 (Cont'd)

**Resources:**

How to Complete the AP-10 Form (6/12/23)

Academic Affairs Training – Academic File Review (8/22/23)

# Recommendations – Dept. Letters and Conflict of Interest (COI)

**Feedback:**

(1) There were a variety of conflicts of interest between the candidate and lower levels of review (i.e., the department letter writer or the chair) that had not been properly addressed.

(2) Additionally, CAP noted the department letter was signed by someone who published with Professor XXXX in the last four years, which indicates a conflict of interest.  According to the Conflict of Interest –FAQs, *while a current collaborator can serve on the ad hoc committee that drafts the department or school letter, they should not be a lead writer who signs the letter.*

Department Letter: must not be signed by (1) the department Chair or (2) by a faculty member who has a Conflict of Interest (COI) with the faculty under review.

Be mindful of potential Conflicts when assigning letter writers/signers

CAP COI FAQs

# Recommendations – Dept. Letter and Vote

**Feedback:**

"CAP would appreciate if analytical comments from faculty members would accompany both positive and negative votes. CAP looks to the other levels of review to provide important context and faculty comments provide a more complete understanding of their recommendations."

Department letter:(APP-3-60-D1)

(1) Should set out and explain the recommendation of the department faculty for action on a personnel case, **including the reasons for any dissent**

(2) Should support the recommendation by **evaluating analytically**, not merely describing, the candidate's performance in each of the areas of responsibility: teaching, research and creative activity, professional competence and activity, and University and public service

(3) Must not be signed by the Department Chair, or a conflicted member of the department's Merits/Promotions committee

Department Vote: (APP 1-14-E)

 If there are absences or abstentions on procedural grounds (deans, CAP members, near relatives, etc.), the number of such instances should be recorded separately. Negative votes should be explained in the department letter.

# Recommendations – Mid-Career Appraisals (MCA)/Dept Letters

**Feedback:**

"A department letter for an MCA did not provide clear guidance regarding what the candidate should focus on before coming up for promotion."

The purpose of the midcareer appraisal is for the department to provide the assistant professor with a **careful, considered analytical evaluation of his or her performance to date** in the areas of teaching, research and creative work, professional competence and activity, and university and public service, **and to make a candid prediction concerning the probability or improbability of a favorable promotion decision based upon the evidence.**

The chair must also convey to the candidate, **in writing**, the substance of the mid-career appraisal, along with any recommendations for changes in activities or emphasis.

**It is important that the faculty member is made thoroughly aware, in a formal way, of his or her situation in regard to eventual promotion.**

APP 3-50-B

MCA File Training – date TBA

# Recommendations – Letters of Recommendation (LOR)

**Feedback:** In several cases, there was an insufficient number of external letters that were department-nominated, non-conflicted, and written by external referees who are at or above the rank of the proposed action.

For Appointment, Promotion, and Advancement actions, <u>all</u> external Letters of Recommendation (LOR's) must be written by referees who are at or above the rank of the proposed action. The majority of the LOR's must be department nominated and non-conflicted.

Review the SOM LOR Guidelines thoroughly when soliciting letter writers: <u>SOM LOR Guidelines</u>

<u>APP 3-60-B-3, a-i and c</u>