

Committee on Academic Personnel

Jeffrey Lotz, PhD, Chair

ANNUAL REPORT

2015-2016

Total Files Reviewed: 479
Stewardship Reviews: 3 completed, 10 in progress, 4 on hold, 2 cancelled (19 total)
Statistical Information:

	15-16	14-15	13-14	12-13
Total Files Reviewed	479	443	390	432
Merits	65	81	68	67
Promotions	204	202	193	176
Accelerations	45	33	65	40
Decelerations	11	10	6	24
Change In Series	55	39	29	52
Ad Hoc Committees	0	0	0	0
Merits to Step 6	25	29	28	33
Appraisals	23	19	32	19
Merits to Above Scale	13	11	10	12

These numbers are not expected to calculate to the total files reviewed as a file may feature more than one descriptor, and these descriptors do not represent all forms of review.

Task Forces and Subcommittees:

- Robert Rushakoff served on the Subcommittee to Review and Revise the “Guidelines for Health Sciences Clinical Series”;
- Jeffrey Lotz and Jacqueline Leung served on the CV Revision Workgroup (Advance System)
- Jeffrey Lotz served on the Academic Senate Coordinating Committee
- Jeffrey Lotz served on the Faculty Family Friendly Initiative Committee
- Jeffrey Lotz served on the Personalized Mentoring Advancement & Promotion (PMAP) Subcommittee
- Jacqueline Leung served as the Divisional representative to the Systemwide UCAP Senate Committee
- Jacqueline Leung and Jeffrey Critchfield served as Chair and member, respectively, on the *Faculty Handbook* Revision Committee

Issues for Next Year (2016-2017)

- Development, testing, and the launch of the CAP Mentoring Project which arose from the Chancellor’s Funds/Faculty Academic Renewal Funds discussion
- Exploration of “5% Rule” Impact on Faculty and Criteria for Advancement/Promotion

2015-2016 Members

Jeffrey Lotz, Chair (SOM)

Kirsten Fleischmann, Vice Chair (SOM)

Jeffrey Critchfield (SOM)

Pamela Den Besten (SOD)

Patrick Finley (SOP)

Jacqueline Leung (SOM)

Jacquelyn Maher (SOM)

Robert Nissenson (SOM)

Robert Rushakoff (SOM)

Catherine Waters (SON)

Number of Meetings: 41

Senate Analyst: Alison Cleaver

Systemwide Business

Regarding system-wide concerns, the Committee (CAP) reviewed and responded to the following system-wide inquiries.

Proposed Systemwide Revisions to the Academic Personnel Manual and Senate Bylaws:

CAP Committee members reviewed and provided feedback on two Systemwide reviews. Initial documents and Communications are provided below.

- a. UC Health Proposal ([Appendix 1](#))
- b. Proposed Systemwide Revisions to Academic Personnel Manual (APM) 112-4-b[8], 210-6, 278, 279 and the new APM 350 Clinical Associate ([Appendix 2](#))

UCAP Discussions

Systemwide University Committee on Academic Personnel met quarterly at the UC Office of the President in Oakland, CA. UCSF UCAP Representative Jackie Leung attended. Discussions focused on Systemwide review of the above listed revisions as well as the following:

1. APM 260 Librarian Series and 310 Professional Research Series. UCSF CAP declined to opine on these two reviews
2. Distribution of a one-year pilot of a Systemwide Faculty Exit Survey which will survey Ladder Rank Faculty who have left the University system. This was developed in partnership with Harvard. To date it has had a 65% response rate; Harvard will be conducting the analysis.
 - a. Six campuses agreed to conduct the pilot program
 - b. Preliminary results available by late spring 2017
 - c. Seminar in late June 2017 to examine how UC System compares to other Universities nationally and development of strategy for the future
3. Fraud in CVs overview discussion including how often does it exist on campus and how much checking is done by CAP?
4. Initial Appointments discussion on which Campuses review them and which have Dean-delegated appointments with a cursory CAP review (within a single meeting) afterwards
5. UC Provost is collecting information from 2015-2016 salary programs to learn how each campus awarded the discretionary 1.5% to faculty. Results to follow.
6. Stewardship Review Committees and issues related to low response rates of initial surveys, and what they could be indicative of. As practices varied widely on different campuses on the review of Departmental, Division, Institute, or other leaders, consensus was difficult to determine.

Divisional Business

This year, Members of the Academic Senate Committee on Academic Personnel worked closely with the Vice Provost Academic Affairs Brian Alldredge and the Office of Academic Personnel on academic personnel file review. Other business conducted is listed below.

Bridges Curriculum, School of Medicine, Overview

The Committee on Academic Personnel (CAP) heard a presentation from Catherine Lucey, Vice Dean, Curriculum, SOM on the roll-out of the new Bridges Curriculum within the School. CAP had asked to hear the presentation so as to understand the School service many faculty are providing on development and implementation of this new curriculum. This will ultimately allow CAP to better assess faculty service.

Distinguished Faculty Awards: The Distinction In Teaching and the Distinction In Mentoring Awards

This year's Distinction In Teaching Award Selection Committee was Chaired by CAP member, Robert Nissenson, PhD. The 2015-2016 recipients of the Distinction In Teaching Awards were Dr. Jennifer Babik, MD, PhD, Health Sciences Assistant Clinical Professor, Division of Infectious Diseases, Department of Medicine, School of Medicine (Category 1) and Dr. Janet Koo Shim, PhD, Associate Professor, Department of Social & Behavioral Sciences, School of Nursing (Category 2).

This year's Distinction In Mentoring Award Selection Committee was Chaired by CAP member Jackie Leung, MD. The 2015-2016 recipients of the Distinction In Mentoring Awards were Dr. Sheri Weiser, MD, MA, MPH, Associate Professor In Residence, Division of Prevention Science, Department of Medicine, School of Medicine (Category 1) and to Susan Kegeles, PhD, Professor In Residence, Co-Director, Center for AIDS Prevention Studies, Division of Prevention Science, Department of Medicine, School of Medicine (Category 2).

Chair Lotz presented the awards to each of the recipients on June 2, 2016. The poster announcing the awards ceremony is attached as [Appendix 3](#).

Faculty Handbook Revision Subcommittee

CAP members Jacqueline Leung and Jeffrey Critchfield served as Chair and member of the *Faculty Handbook* Revision Subcommittee. In partnership with the Equal Opportunity Committee and its Chair Janice Tsoh and members Linda Centore and Kathy Julian, this subcommittee revised Sections 2.0 *Appointment and Advancement Through the Series* and 3.0 *Mentors* of the Faculty Handbook. In addition to just making relevant information current, CAP had requested EQOP pay close attention to any language that should be made more inclusive.

Sections 4.0 – 9.0 had been revised by CAP Analyst Cleaver in the summer of 2015 in partnership with numerous campus offices including: Human Resources, Office of the CARE Advocate, Office of Diversity & Outreach, Office of International Students & Scholars, Office of the Ombuds, and the Senate's Committee on Research (Section 5.0 *Development an Excellent Research Program and Professional*

Reputation). Further updates will be made to Section 7.0 *Principles of Citizenship at UCSF* to insure the most accurate language is included along with the new UCOP Policy on Sexual Violence & Harassment.

Incorporating APM 210-1-d & Diversity Efforts Into Advance System

CAP met with members of the Equal Opportunity Committee in winter 2015 to draft a Communication to the Advance Steering Committee (ASC) regarding incorporation of changes in APM 210-1-d, with regard to faculty members' contributions to diversity, into the CAP review process and the Advance System. Together, committee members determined that it's difficult for CAP members to review what is not efficiently incorporated within a faculty member's CV. As such, they requested the following changes:

Under the open narrative sections within the faculty member's electronic CV – Clinical, Teaching, Mentoring, Research –, CAP would like to have language added to prompt faculty members to list contributions to diversity. For example, under the Mentoring open narrative section, the heading could read: "Other (including Contributions to Diversity)". ([Appendix 4](#))

This Communication was sent to ASC Member Judy Yee (and former CAP Chair) who shared it with that committee. As there were already revisions ongoing to the CV component within Advance, ASC advised that they had already addressed these concerns by having a full separate section on Commitments to Diversity. CAP members began to see this section in the late spring 2016 when the revised Advance system was launched.

Retreat (CAP, VPAA, & Associate Deans, Schools)

The Committee held its annual retreat with the Vice Provost of Academic Affairs, Director of the Office of Academic Personnel, and the academic deans from the four schools on May 20, 2015. CAP members were present except for P. Finley, who had a prior commitment. Also present were Brian Alldredge, Vice Provost Academic Affairs; Cynthia Leathers, Director of the Office of Academic Personnel; Elena Fuentes-Afflick and Paul Garcia, Associate Deans, Academic Affairs, School of Medicine; Peter Sargent, Associate Dean, Academic Affairs, School of Dentistry; Shari Dworkin, Associate Dean, Academic Affairs, School of Nursing; Thomas Kearney, Associate Dean, Academic Affairs, School of Pharmacy; Emerald Light, Director, Academic Affairs Office.

Multiple issues were discussed. Significant items are presented below.

Health Sciences Clinical Faculty Series

Assistant Vice Provost Cynthia Leathers provided an update on Systemwide APM changes and the proposed impact on UCSF. APMs in question include 270, 278, and the new APM 350 defining the Clinical Associate parameters. For UCSF, this means it is now required that HSC Series faculty do University and public service, and creative activity. Schools will provide guidelines on what is defined as creative activity and work for their HSC Series faculty. The requirement for national recognition for HSC Series faculty at the associate level or higher will disappear.

Of further concern to CAP is how to differentiate between Clinical X Series and HSC Series. This will take a combined effort between CAP and VPAA and the respective School Deans.

ACTION: CAP will look to the Schools and within files, to Chair's and Dean's letters, for guidance. CAP will also examine APM 210-6.

UPDATE: While the San Francisco Division of the Systemwide Academic Senate was in support of these proposed Systemwide revisions—as long as local guidance was also provided—, other Divisions were not supportive especially with the lack of clarity between the Clinical X Series and the HSC Series. These revisions remain “in development” at a Systemwide level. It’s anticipated another version will come to the Divisions for review within the 2016-2017 academic year.

Initial Appointments

Within initial appointments, CAP requests Department Chairs specify which UCSF location new faculty will be at and what their role will be. This information can be included in the either Department Chair or Dean’s letters, especially if the new faculty are arriving at Step 2 or 3.

CAP members are also curious if they need to review initial appointments below a Step 2. Several other Divisional CAPs do not review such appointments. Analyst Cleaver will provide Assistant Vice Provost Leathers with those statistics. This topic will be explored further during the next academic year.

CAP members also proposed have a separate subcommittee to review all initial Children’s Hospital Oakland (CHO) Appointments, if it’s feasible in terms of length of time to review.

Academic Affairs Office Inquiries

1. Credit in the Advancement Process for teaching in non-UC Program

Some UC faculty, especially at CHO, may teach residents but in a non-UC-affiliated residency training program. How will and can CAP recognize efforts in such a situation? CAP advised that as long as teaching/mentoring letters were included, and effort was listed under professional experience within the CV, efforts could be acknowledged. CAP would also hope guidance from relevant Schools or the VPAA Office would be forthcoming in such situations.

2. Accelerated Advancement for Achievements Not Previously Recognized in a Prior Advancement

CAP advised it is open to giving such credit, but it would need to be made very clear in the Chair’s letter that this achievement hadn’t been recognized previously.

3. Promotions from Special Steps – When Should Such Actions Be Considered “Accelerated”?

VPAA Office views such promotions as new ‘appointments’ although the Advance System does consider such a promotion—if a faculty member was appointed initially at Step 2 or higher—as an acceleration. However traditional guidelines for accelerations would still apply.

4. Feedback from CAP when actions differ from recommendations by the Deans’ Offices

In such cases, CAP will provide feedback within the Communication to the VPAA Office section of the CAP Letter within Advance explaining how the committee came to such a conclusion.

5. Contributions to Diversity and Accelerated Actions: Is More Specificity in Criteria Needed?

Open discussion led to new language being proposed for the Faculty Handbook citing examples within accelerated actions section. VPAA also suggested such examples be included in their annual Call for Personnel Action packets.

CAP Personalized Mentoring Advancement Promotion (PMAP) Online Module Project ([Appendix 5](#))

PMAP Subcommittee Chair Judy Yee provided an overview of the project to date and the survey in development. Overall the subcommittee is aiming to create a baseline with this survey to insure the online module educates faculty on relevant advancement and promotion (A&P) topics. In particular, subcommittee members hope this module will demystify the overall A&P process by pulling out key criteria and areas faculty should focus on for their particular academic series.

Retreat attendees provided recommendations for the survey including adding a disclosure that the survey and online module will be for education purposes and not for self-assessment.

Survey was released end of May 2016 to the Allacad and Senate listservs. The PMAP Subcommittee recognizes the former listserv possesses academic appointments not in faculty series (professional researchers, for example), but questions will be included in the survey that weed out those respondents.

The survey had a ten percent response rate (of the 10,000 faculty surveyed), and showed the following:

- 30% of those surveyed understood well the differences between the five series;
- 30% understood the criteria for advancement;
- Only 15% understood well the criteria for accelerated promotion;
- 50% had never consulted the Academic Personnel Manual;
- Roughly 40% don't regularly meet with mentor;
 - About 70% wanted one-on-one meetings with mentors.

Survey results will be used to determine what information (planned or additional) should be included in the online module. ([Appendix 6](#))

Task Forces and Other Committee Service

This year members of the Academic Senate Committee on Academic Personnel served on the following Academic Senate task forces or other campus committees as representatives of CAP or the Academic Senate.

- Subcommittee to Review and Create Standards for Faculty CVs in Advance Online System
- Subcommittee to Revise the *Faculty Handbook*
- Subcommittee to Revise the Guidelines for Health Sciences Clinical Faculty
- CV Revision Workgroup (Advance System)
- Coordinating Committee

Going Forward

Ongoing issues under review or actions that the Committee will continue into 2015-2016:

- Promotion and Advancement Criteria and Guidelines for Review of HSC and Clinical X Faculty
- Development and Expansion of the CAP Mentoring Proposal and Module

- Senate Consultation Regarding the “5% Rule” and how that might affect faculty research funding and percent time. This is part of a larger Divisional Senate discussion.

Appendices

- [Appendix 1:](#) CAP Communication to Division Chair Greenblatt on UC Health Proposal
- [Appendix 2:](#) CAP Communication to Division Chair Greenblatt on Proposed Revisions to APM 112-4-b[8], 210-6, 278, 279, and the new APM 350 Clinical Associate
- [Appendix 3:](#) Distinction in Mentoring and Distinction in Teaching Event Poster
- [Appendix 4:](#) Communication to the Advance Steering Committee on Incorporating APM 210-1-d into Advance System
- [Appendix 5:](#) CAP PMAP Survey to assess faculty’s current level of knowledge about advancement and promotion within their respective faculty series.
- [Appendix 6:](#) CAP PMAP Survey Results

Senate Staff: Alison Cleaver, Senior Analyst Alison.cleaver@ucsf.edu; 415/476-3808