

Committee on Academic Personnel
Kirsten Fleischmann, MD, Chair

ANNUAL REPORT
2016-2017

Total Files Reviewed: 475
Stewardship Reviews: 8 completed, 5 in progress (13 total)
Statistical Information:

	16-17	15-16	14-15	13-14
Total Files Reviewed	475	479	443	390
Merits	70	65	81	68
Promotions	191	204	202	193
Accelerations	50	45	33	65
Decelerations	16	11	10	6
Change In Series	56	55	39	29
Ad Hoc Committees	0	0	0	0
Merits to Step 6	21	25	29	28
Appraisals	33	23	19	32
Merits to Above Scale	7	13	11	10

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.

Campuswide or Divisional Task Forces and Subcommittees:

- Kirsten Fleischmann served on the Academic Senate Executive Council
- Kirsten Fleischmann served on the Personalized Mentoring Advancement & Promotion (PMAP) Subcommittee
- Catherine Waters served as the Divisional representative to the Systemwide UCAP Senate Committee

Issues for Next Year (2016-2017)

- Developing Guidelines for Review for the APM Changes to Health Sciences Clinical and Clinical X Series
- In Residence Faculty Series Task Force
- Revision to Section 4.0 of the *Faculty Handbook*

2016-2017 Members

Kirsten Fleischmann, Chair (SOM)
Jeffrey Critchfield, Vice Chair (SOM)
Lundy Campbell (SOM)
Pamela Den Besten (SOD)
Patrick Finley (SOP)
David Lovett (SOM)

Jacquelyn Maher (SOM)
Robert Nissenson (SOM)
David Saloner (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 for a second time on Systemwide Revision to Academic Personnel Manual (APM) 210-6 [Instructions to Review Committees Which Advise on Actions Concerning the HSC Professor Series], and 278 [Health Sciences Clinical Professor Series], ([Appendix 1](#))

UCAP Discussions

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

1. APM 015, 016, and SB 336: Review of Faculty Code of Conduct (015) and University Policy on Faculty Conduct and The Administration on Discipline (016) along with Senate Bylaw 336 Governing Privilege & Tenure Hearings --- all within the context of the Sexual Violence and Sexual Harassment Policy (SVSH) and systemwide policies governing faculty conduct and the discipline process;
2. APM 285, 210-3, 133, 740: Review of Lecturer with Security of Employment Series (285); Instructions to Review Committees Which Advise on Actions Concerning Lecturer with SOE (210-3); Limitation on Total Period of Service with Certain Academic Titles (133); and Leaves of Absence/Sabbatical Leaves (740)
3. Quinquennial Reviews: A question were raised by another UC campus, related to how each campus used Five Year Reviews.
4. UC's Commitment to Excellence and Equity
 - a. Discussion was prompted by reviewing a section of APM 210-1-d and giving due consideration to contributions and achievements in diversity, equal opportunity, and inclusion within the UC system, and especially by its faculty:

"The University of California is committed to excellence and equity in every facet of its mission. 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." (APM 210-1-d)

- b. UCAP concluded continue its in-depth conversation next academic year, so as to produce quality measurements and approaches that can be disseminated and adopted by each of the UC Divisions.

5. CAP Practices Survey

- a. Review of 2015-2016 combined Divisional Surveys
- b. Examination of questions for deletion or inclusion of particular questions
 - i. UCSF requested a question be posed to determine which campuses have separate non-Senate CAPs or Health Science-related CAPs.

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.

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, Jackie Maher, MD. The 2016-2017 recipients of the Distinction In Teaching Awards were Jennifer Perkins, DDS, MD, Health Sciences Assistant Clinical Professor, Department of Oral and Maxillofacial Surgery, School of Dentistry (Category 1) and Vincanne Adams, PhD, Professor and Vice Chair, Department of Anthropology, History & Social Medicine, School of Medicine (Category 2).

This year's Distinction In Mentoring Award Selection Committee was Chaired by CAP member Pamela Den Besten, PhD. The 2016-2017 recipients of the Distinction In Mentoring Awards were M. Maria Glymour, ScD, MS, Associate Professor, Department of Epidemiology & Biostatistics, School of Medicine (Category 1) and to Miriam Kuperman, PhD, MPH, Professor In Residence, Department of Obstetrics, Gynecology & Reproductive Sciences and Epidemiology & Biostatistics, School of Medicine (Category 2).

Chair Fleischmann presented the awards to each of the recipients on April 25, 2017. The poster announcing the awards ceremony is attached as [Appendix 2](#).

Faculty Handbook Revision Subcommittee

CAP members attempted to put together a task force comprised of one CAP member and one member of the Senate's Committee on Research (COR) to review the Faculty Handbook, *Section 4.0 Development an Excellent Research Program & Professional Reputation* along with Appendix IV. *UCSF Guidelines on Conflict of Interest (2005)*. They were unable to obtain a representative from COR for this task force. As such the project was shelved until the 2017-2018 academic year.

Personalized Mentoring Advancement & Promotion (PMAP) Module Roll-out

In spring 2017, the PMAP educational module was added the MyAccess single-sign on page and rolled out to the campus. This module aims to personalize information related to advancement and promotion to a faculty member's current series, rank, and step. As a faculty member advances through their series, or changes series, information within the module will change as well. A PMAP Advisory Council comprised of former CAP members from all Schools, and with representation from the current CAP Chair, created the module over a two-year period with funding from the Chancellor's Office. Members from that Advisory Council are making presentations at Department meetings to educate faculty on how to use the module and to answer questions as they arise.

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 24, 2017. All CAP members were present. Also present were Brian Alldredge, Vice Provost Academic Affairs; Paul Garcia, Associate Dean, Academic Affairs, School of Medicine; Sheila Brear, Associate Dean, Academic Affairs, School of Dentistry; Shari Dworkin, Associate Dean, Academic Affairs, School of Nursing; and Thomas Kearney, Associate Dean, Academic Affairs, School of Pharmacy.

Multiple issues were discussed. Significant items are presented below.

Accelerations: Methods for accommodating ill-fitting accelerations

CAP is concerned about the number of ill-fitting accelerations they've seen this year. A recent example includes a proposed A3 which was recommended for modification, and which then enacted a one-year acceleration (A1) for the interim step. There is both the decision – which CAP usually comes to quickly – and then the logistics of how to enact what is determined to be the modified action. Separately there is also the issue of timing; files that come in nearer to the end of the academic calendar year, CAP is able to forward date the modification as it'll go through VPAA Office on the cusp of when future files for the next academic year would be received. Core issues around this topic are:

- Rule for not backdating actions.
- Rule of having accomplishments fall between the dates of action dates.
- Further, if this percolates back to the departments it could be seen as a way for everyone to apply for and get an A2 or a A1 because CAP just can't "figure it out"

Some general principles to be used include:

- Once we operationalize guidelines, it eliminates CAP or Deans having to come up with a new decision each time. Plus it also enables faculty to submit another packet very quickly.
- Perhaps in future cases like this, CAP can recommend a final decision, and then suggests in the VPAA Communication box what they might do – and then leave it up to VPAA to decide.
- Plus, in cases where we are recommended a promotion at a later date, then the faculty member is at that interim step one year longer than usual, then skips to the next one.

VPAA Alldredge advised that the final guideline should be to do what seems fair. No final decision was made on the above general principles, however CAP will keep an eye on this issue next academic year to see if it was a single-year trend or if it continues.

Stewardship Review Committees

CAP has sometimes seen in prior SRC Final Reports interim recommended actions. Yet they're not included in the current SRC, or at least no mention of follow-up is included.

CAP asked who signed off that interim recommended actions have actually occurred? VPAA Alldredge advised that in the past the responsibility fell with the School, and in current cases, responsibility needs to be made clear in the Final Report. The default is for it to reside with the School Dean. CAP encouraged SRC members to modify language in the Communication to the SRC Chair to make this clear in the Final Report.

CAP encourages the development of Best Practices that are conveyed to Department Chairs and with CAP. Further, on the CAP conversation with the faculty member being reviewed, in the cases of a positive review, should this conversation still occur? VPAA Alldredge such discussions should always occur and if feasible, they should be happening with both the CAP Representative and the SRC Chair.

VPAA Alldredge said not to soft-pedal news of any kind, because it doesn't do anyone any favors. Even if the SRC is going well, there are still going to be concerns which should be communicated. Conversation should be at the level of strengths and/or weaknesses.

Because right now about a third of all SOM Department Chairs are new, the SOM Dean has developed a workshop to go over the SRC Process for all SOM Dept Chairs.

Separately the SRC Process itself is under review by the VPA Office in the next academic year. They'll be focusing on the speed and trying to increase that while maintaining top quality SRCs themselves. Those in attendance commented that the definition of successful leadership is also changing – so the SRC questions and process need to reflect that.

In response to CAP members' inquiry about support for faculty who received a less than positive SRC Final Report, VPAA Alldredge already does a completion survey with SRC Candidates under review, to assess the process, the candidate's opinions, and to see if anything might be finessed with the current SRC model for review.

APM Changes to both Clinical X and the Health Sciences Clinical Series

CAP is seeking guidance on what the increased expectation of creative activity will be for HSC v. Clinical X faculty once the new APM changes go into effective July 1, 2017? It's understood that there will be a grace year 2017-2018 but it's unclear how these new expectations will be determined and how all faculty in impacted series will be notified – especially as now UCSF now views clinical care as a way to expand into the community and the state of California (UC Health).

VPAA Office and Associate Deans advised that they will be determining these new criteria and expectations during the next academic year. CAP raised the following points and questions:

- Within CAP packets, the Chair's Letters have to be clear as to the definition of creative activity.
- Clinical X will be the tougher series to codify rather than HSC. This is because some of them will be 20% clinical and 80% on a grant conducting research. That's very different than someone who has 9 half-days a week plus participates in brown bag lectures for their department.
- CAP will provide feedback to Department Chairs/Deans if we have a different opinion.

Retention/Appointments with Official Searches

Initial Appointments with official searches

VPAA Office advised that Department Chairs can only advise new faculty that they will put them up for an appointment level, not that they are being hired into that specific appointment level. VPAA and Associate Deans requested CAP "not rubber stamp". However CAP advised its difficult not to do so when the appointment is eight to nine months after the person actually started.

Retentions

If someone doesn't have basis or justification for specific advancement, and it is a retention issue, VPAA Office advised that CAP can always suggest a modification plus advocate that the Y be increased.

Feedback to Institutions about Packet Completeness and Quality

These are ongoing issues with particular groups, to the point that there's nothing for CAP to review within the received packets. VPAA Office advised that there's a new academic affairs person at UCSF Fresno. Therefore they anticipate issues any lingering issues with that group to be resolved soon.

SOD Associate Dean Brear asked about peer observation being part of the review process. In particular if it was standardized, and parameters made clear to CAP and to Departments and faculty. CAP had two questions: was it fair to have one school do this if other schools aren't? If any School is going to do it, they will need to have information in Dean and Chair's letter advocate for it.

CAP's other concern is how to assess different metrics from one school to another. It's ok to make metrics more stringent, but they can't make it less stringent. There seem to be easy wins to at least advise faculty to conduct at least one lecture a year and then to also do either the QI portfolio or the Educational portfolio – but to date they're not consistent across Schools.

Effectiveness of Family Friendly Initiatives

CAP is curious as to how a faculty member's "stopping the clock" impacts the faculty member's career trajectory. Some of this is currently being addressed by the Faculty Family Friendly Initiative whose report will be out sometime in late summer or fall 2017. CAP will request a follow-up presentation after the 3FI report has come out.

Request for Changes in Advance

Members of the Committee on Academic Personnel requested the following two changes within Advance:

- Request for a prompt be added to the Chair's Letter to require information be provided (for initial appointments) describing the role the faculty member is being hired into.
- In actions where prior accelerations have occurred, CAP would like added, to the Summary page, information on the prior acceleration. This could be either the prior CAP letter or information providing the justification for the prior acceleration.

Academic Affairs Office Inquiries

1. Request to initiate a joint Committee to Update the In Residence Task Force Report

This task force will be created in fall 2017 and will aim to review and update both the initial task force report (1999) and the revisions to it (2005). VPAA Alldredge will approach CAP in fall 2017 to solicit members for this year-long committee. There are different interpretations of when the "one year of pay" commences. There are also questions as to liability coverage during an In Residence faculty member's final year. Further CAP recommended the Clinical X Series be included in this Task Force, as some Schools treat them much the same as In Residence faculty.

2. Examining current language prohibiting retroactive accelerated actions

Within the current policy it states that retroactive accelerations won't be approved; this would only impact those faculty with an X component to their salary. However in some cases there's a benefit and flexibility to be able to do so. CAP members asked "where would the line be drawn"; it would have to be something that occurred during the period under review.

CAP members didn't see the downside as it might be a tool helpful in certain circumstances. There are some salary downsides for such people, especially those at ZSFGH. You could in the interim increase their Y, and then their X and corrected in the next fiscal year. CAP members are overall supportive but want VPAA and Associate Deans to consider consequences.

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.

- Executive Council
- Personalized Mentoring Advancement & Promotion (PMAP) educational module

Going Forward

Ongoing issues under review or actions that the Committee will continue into 2016-2017:

- Developing Guidelines for Review for the APM Changes to Health Sciences Clinical and Clinical X Series
- In Residence Faculty Series Task Force
- Revision to Section 4.0 of the *Faculty Handbook*

Appendices

[Appendix 1](#): CAP Communication to Division Chair Greenblatt on Proposed Revisions to APM 210-6, and 278

[Appendix 2](#): Distinction in Mentoring and Distinction in Teaching Event Poster