

## Committee on Academic Personnel

David Lovett, MD, Chair

# ANNUAL REPORT

## 2018-2019

**Total Files Reviewed:** 524

**Stewardship Reviews:** 6 in progress; 6 completed, 1 on hold

**Statistical Information:**

	18-19	17-18	16-17	15-16
<b>Total Files Reviewed</b>	<b>524*</b>	<b>534</b>	<b>475</b>	<b>479</b>
Total No. of Meetings	42*	46	38	38
Merits	96	79	70	65
Promotions	231	228	191	204
Accelerations	82	89	50	45
Decelerations	18	12	16	11
Change In Series	44	59	56	55
Merits to Step 6	31	29	21	25
Appraisals	37	30	33	23
Merits to Above Scale	10	8	7	13

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. \* Numbers include files reviewed by Backup CAP which met five times from May – August, 2019.

### Campuswide or Divisional Task Forces and Subcommittees:

- David Lovett served on the Academic Senate Executive Council
- David Lovett/Lundy Campbell alternated as the CAP Rep to the Backup CAP Committee. This ad hoc committee was chaired by former CAP Chair J. Lotz (SOM), with S. Kayser (SOP), J. Leung (SOM - Alternate), A. Miller (SOD), P. Finley (SOP), R. Redberg (SOM), and R. Rushakoff (SOM).
- David Saloner served as the Divisional representative to the Systemwide UCAP Senate Committee

### Issues for Next Year (2019-2020)

- Addressing increase in personnel action files by expanding the number of Backup CAP meetings. If resource issues within the Academic Senate Office are resolved, then we anticipate there being upwards of ten Backup CAP meetings during 2019-2020. This could alleviate some of the meeting burden on CAP.
- Working with EQOP Committee, VPAA Office, and Associate Deans to develop a Communication to faculty stressing the value and importance of including Diversity Contributions in personnel packets.

### 2018-2019 CAP Members

**David Lovett, Chair** (SOM)

**Lundy Campbell, Vice Chair** (SOM)

Mary Helen Barcellos-Hoff (SOM)

Anne Chang (SOM)

Sandy Feng (SOM)

Mallory Johnson (SOM)

Dorothy Porter (SOM)

David Saloner (SOM)

Francis Szoka (SOP)

Meg Wallhagen (SON)

Torsten Wittmann (SOD)

**Number of Meetings: 38 (& 6 Backup CAP Meetings)**

**Senate Analyst:** Alison Cleaver

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

### **Proposed Systemwide Academic Personnel Manual 11:**

CAP Committee members reviewed the newly proposed [APM-011](#) which extends the protection of academic freedom to non-faculty academic appointees. At UCSF, this specifically pertains to librarians, some specialists, and professional researchers, among other groups. While the committee supported the idea behind the APM, there currently exists some areas within the drafted proposal which are lacking in clarity. UCSF CAP drafted a formal communication to UC systemwide Senate requesting those areas be rectified in a second round before being implemented. ([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 David Saloner attended. Discussions focused on Systemwide review of the above listed revision as well as the following:

#### **Inclusion of Diversity Statements in Hiring Packets and Personnel Packets**

UCAP members discussed requiring faculty to include a diversity statement and remained undecided until the March 2019 meeting when they voted to support the UCAADE's recommendations that candidates include such statements in review packets. UCAP members agree that contribution to Diversity, Equity, and Inclusion (DEI) matters should go beyond activity that meets basic job requirements, especially at a campus where the majority of students are underrepresented minorities (URMs). UCAP and divisional CAPs are not inclined to make diversity a fourth leg in the faculty assessment process. UCAP members further discussed the revising/removing of the statement from APM 210.1.d. "*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.*"

#### **Evaluation of Faculty Teaching in Self-supporting Graduate Degree Programs**

UCAP members discussed whether this was considered "outside activity" or equivalent to teaching of campus-specific courses. UCSD, UCSF, and UCR CAP evaluates the teaching as equivalent and advised that these faculty receive qualitative evaluations which are included in the personnel file. UCAP members raised concerns that SSGDP teaching would result in less teaching of in-residence students. It was noted that this is part of a much bigger problem related to lack of guidance about teaching. UCAP members will continue to gather information from their respective campuses, to be presented at a future UCAP meeting.

#### **Inappropriate Comments on Student Course Evaluations**

UCAP members discussed the accurate action to take when these comments are seen. It's unclear on the corrective process to have such comments removed from a personnel file. Students need to be reminded that evaluations are professional documents and language within them should reflect that.

#### **Inquiry – Should CAP Receive Information about Sexual Violence & Sexual Harassment Findings**

UCAP discussed whether CAPs should receive information about findings against faculty involved in SVSH cases. It is unclear if outcomes of informal resolutions should be included; some department chairs will mention issues, others will not – this could result in some faculty being treated differently. UCAP is recommending there be some consistency. The committee will draft a memo requesting a standard be developed to determine if that information should or shouldn't be included in the file, and to make clearer the relationship between the personnel review process and the disciplinary process.

## 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, Dorothy Porter, PhD. The 2018-2019 recipients of the Distinction In Teaching Awards were Pinelopi Xenoudi, DDS, MS, Health Sciences Associate Professor, Division of Periodontology, Department of Orofacial Sciences, School of Dentistry (Category 1) and Andrea K. Marmor, MD, MEd, Health Sciences Clinical Professor, Department of Pediatrics, School of Medicine (Category 2).

This year's Distinction In Mentoring Award Selection Committee was Chaired by CAP member, Mary-Helen Barcellos-Hoff, PhD. The 2018-2019 recipients of the Distinction In Mentoring Awards were Alexander Smith, MD, MS, MPH, Associate Professor, Department of Geriatrics, School of Medicine (Category 1) and Christine Ritchie, MD, MSPH, Harris Fishbon Distinguished Professor of Clinical Translational Research & Aging, Professor In Residence, Division of Geriatrics, Department of Medicine, School of Medicine (Category 2).

Chair Lovett presented the awards to each of the recipients on May 16, 2019. The poster announcing the awards ceremony can be found in [Appendix 2](#).

### **Personalized Mentoring Advancement & Promotion (PMAP) Advisory Council**

In spring 2017, the PMAP educational module was added to 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. A PMAP Advisory Council comprised of former CAP members from all Schools continued to present at departmental meetings, as requested by Dept Chairs, to educate faculty on how to use the module and to answer questions. New this year, upon request by the Senate's Clinical Affairs Committee, PMAP Advisory Council members have reviewed CVs of faculty at affiliates and advised on the accurate series for them within the UCSF faculty series structure.

Upcoming edits to the PMAP Module during 2019-2020 include modifying the mentoring sections to include mentoring changes specified below by Associate Deans/VPAA Office. See "VPAA Office Inquiry" section of minutes.

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

The Committee held its annual retreat with the Vice Provost of Academic Affairs, Assistant Vice Provost of Academic Affairs, and the academic associate deans from the four schools on May 23, 2018. Support CAP Analysts Karla Goodbody and Kirstin McRae, Academic Senate Office, were also in attendance. CAP member Feng was absent due to a work-related commitment. Multiple issues were discussed. Significant items are presented below.

### **Ongoing Implementation of APM Changes for the Health Sciences Clinical Series**

CAP members commented that they're seeing more creative activity included in HSC faculty packets, but find it strange that many packets still list that category as "not applicable".

Associate Deans asked for CAP members to highlight if we're seeing this regularly in particular

departments or divisions. Associate Deans support CAP sending it back to the VPAA/Department if the information is absent, moving forward.

Guests wondered if this was seen more often in packets from affiliates. CAP members cited strong improvement for packets from UCSF Fresno. The newer issue are packets from BCHO. Guests commented that they recently held a mini-faculty development. VPAA Analysts will also send back to the Departments if they find this.

#### Diversity Statements in Files: Next Step for Joint Statement (EQOP)

Guest Sevelius, EQOP Chair, commented that faculty, even those deeply involved in efforts around diversity, equity, and inclusion, still have questions on how to fill out the “diversity contributions” box in Advance.

CAP members and guests present discussed: how do we get this message out to the large faculty body? Associate Dean Garcia pointed out that only when such diversity contributions actually play a part in faculty getting accelerations or advancements/promotions, will faculty self-determine that it’s in their best interest to include in their Advance CV.

Members discussed other opportunities to raise awareness of diversity efforts of faculty, for example, including it as part of service contributions, include in Faculty Development Day or School-specific faculty retreats, and insure faculty participating with the mentor development program are aware of this and are advising their mentees accordingly.

UCSF UCAP Representative Saloner commented on how UCAP committee is handling inclusion of diversity statements in hiring and A/P: it won’t be held against people for not including it, but it can be an additional positive to include it.

The negative side to pushing it could result in faculty including “diversity hours”, which will then be irrelevant in the review process. Guests suggested including within the Advance System the question: “How does diversity influence the way you teach, do research, etc.” This could be included in the “?” question within Advance.

VPAA Alldredge supportive of it becoming a requirement, however for those reviewing applicants with diversity statements — what’s the rubric for measuring these statements. Even though this isn’t a requirement, why is it important? For UCLA, they’re requiring either people include a statement or click a box in Advance saying they’re choosing not to include one. This then gets VPAA Office or the Department off the hook.

**ACTION:** Develop a joint Communication to the Faculty and others within the A/P Review process on why inclusion of diversity, equity, and inclusion efforts is important, even if it’s not a requirement. Need a year to work it out in Advance. A checkbox could indicate that it was discussed with the Chair, and the faculty member is choosing not to include.

The goal will be to make it effective for packets with effective dates of July 1, 2021. Otherwise packets are already in progress. The intention will be to ensure that this won’t be used as a negative — but only an additional positive. So include UCAP phrasing.

CAP and EQOP Committees will jointly work on a draft Communication for distribution in early fall 2019 or over the 2019 summer.

#### Parity between Departments/Schools in Accelerations Seen by CAP

CAP members presented on the large increase in accelerated actions they saw during 2017-2018. CAP usually sees approximately 50 accelerated actions; during 2017-2018, CAP saw 89.

There was great disparity between the departments and schools on who was being put forth for an acceleration. CAP members wondered if departments were accelerating people in the same manner. It's also unclear how many of a faculty member's prior commitments are included in a current accelerated action. CAP members and guests noted that while accelerated actions matter for retirement, for some specialties faculty generate sufficient funds from clinical revenue such that retirement just doesn't matter.

CAP members strongly encourage Department Chairs to include in their Chair's Letters why the acceleration is being recommended.

**ACTION:** CAP will collate additional data to see if these accelerations are more focused in one faculty series or another. Associate Deans encouraged CAP to add in all the one-year accelerations that come to them. Although that information may not be accessible to CAP via Advance.

#### General Resource Issues – Senate Office

The Senate Office is facing some resource issues which—compounded by campus-related issues with room reservations, and the increased pace of business at UCSF—is causing issues with maintaining and growing the Backup CAP. It could also cause potential future issues with cancelling CAP meetings.

Analyst Cleaver provided an overview of the core logistical issues facing CAP. Guests and faculty attending advised that to them it is a Senate Office decision. However, for the Senate Office, which has been advising of issues to campus leadership for over a year, it may soon become a campus leadership issue because the office will be unable to meet UC Regents expectations around CAP and P&T.

Guests present wondered if Merits at Professor level, going from Step 5 to 6 with a career review, could be removed from CAP's review? In 2017-2018, CAP reviewed 29 such files – which is average in examining the past five years. CAP members present also advised that Appointments at affiliates might be best to go through the Deans' Offices. However, the group would need to define what an "affiliate" is.

#### Backup CAP

If we have two parallel committees—primary CAP and Backup CAP--, might it work better to swap their members so more experienced members are partnering with very new members? Current Backup CAP members moving forward should attend a training session, or a current CAP meeting, to see how quickly CAP members review each file.

With the increase of faculty expectation to bring in 75% of their salary, that puts a big burden on faculty to deliver. So stopping that to serve on any University committee, let alone CAP, is very difficult to justify.

#### Faculty Welfare Committee Inquiry

How does CAP intend to address the clinical teaching accomplished by UCSF HSC faculty at affiliates in the A/P process? CAP members acknowledge that APM 210-6-c(1) *Instructions to Review Committees That Advise on Actions Concerning the Health Science Clinical Series Faculty* states: "...Teaching must include registered University of California students and/or University interns, residents, fellows, and postdoctoral scholars...."

CAP members emphasized the "must include" which suggests not all of those taught must be UC registered students, interns, residents, fellows, and/or postdocs. CAP members have encouraged faculty managing peers at affiliates to develop teleconference teaching opportunities which will satisfy APM 210-6-c(1).

Those present declined to specify a percentage of UC-registered students to satisfy the requirement, beyond that it should be "greater than 1 student."

The Senate Office asked: “what about situations where the ‘n’ is small in a classroom? In the past, CAP has had difficulty in assessing such teaching evaluations.” Guests in attendance advised that in such situations, the faculty member/department should encourage the inclusion of teaching and mentoring letters with the personnel packet. These can include non-UC students.

#### VPAA Office Inquiry – CAP’s Valuation of Mentoring in the A/R Process

VPAA Office and Associate Deans asked CAP to expand upon how it evaluates the quantity and quality of mentoring in academic review?

CAP members advised that they do indeed examine mentoring efforts in each review, although in-depth mentoring is weighted more heavily than those faculty who list every single mentee/resident/trainee who passes through their group. What’s of most value is the Mentoring Summary (narrative) within the Advance System.

**ACTION:** CAP will develop a communication--to include in future Calls for Packets and to include in the PMAP module—to provide guidance to faculty on what to list especially if faculty member less frequently. In the latter, the inclusion of mentoring/teaching letters is of value to CAP.

### 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
- Backup CAP

### Going Forward

Ongoing issues under review or actions that the Committee will continue into 2019-2020:

- Addressing increase in personnel action files by expanding the number of Backup CAP meetings from six to eight, and having those meetings be held in January, March, and then May - July. CAP will continue to explore the creation of a separate Clinical CAP which will run parallel to the main CAP during the academic year. Senate Office Resources issues and the ability to find qualified faculty members interested in serving on the committees is an issue, plus Senate Office staff able to staff both.
- Development of a Faculty Communication with EQOP, Associate Deans, and CAP members to highlight the importance of including diversity contributions within their CVs.

### Appendices

[Appendix 1:](#) Formal Communication to systemwide Academic Senate in re APM-011

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