

October 29, 2002

ASSOCIATE ACADEMIC DEAN BRIAN ALLDREDGE
GRADUATE DIVISION DEAN CLIFF ATTKISSON
VICE DEAN NEAL COHEN
DEAN OF ACADEMIC AFFAIRS TROY DANIELS
ASSOCIATE ACADEMIC DEAN MARYLIN DODD

Re: Annual Call for Academic Personnel Actions Effective 2003-2004 and 2003 Academic Appraisal

ACADEMIC PERSONNEL ACTION	DATE DUE IN VC ACADEMIC AFFAIRS
Merits - Normal	January 28, 2003
Merits - Accelerated, Professor V - VI, IX - Above-Scale	December 2, 2002
Academic Advancement Status List	November 1, 2002
Appointments, Changes in Series	December 2, 2002
Promotions	December 2, 2002
Appraisals	To Be Prepared Before the End of Fourth Year
Five Year Review	January 28, 2003

WEBSITE

The Annual Call website is <http://www.ucsf.edu/acpers/>. Each School in setting their deadlines and providing information specific to their School uses information and deadlines provided by me. Please refer to the instructions from your Dean's Office. This website will continue to provide announcements of new or proposed changes in academic personnel policies; lists of Deans, Directors and Department Chairs, checklists and forms for Academic Personnel actions; and links to other websites.

PROPOSED ACADEMIC PERSONNEL POLICY CHANGES

Office of the President issues proposed changes or new policies to campuses for circulation and comment. At UCSF, academic listservs have been developed to notify employees impacted by the policy. In order to contact academic employees, departments are encouraged to keep information on the Campus Locator System current. In addition to the use of listservs, notices also appear in [Daybreak](#) and on the [Academic Personnel](#) website.

[ACADEMIC SALARY INCREASES](#)

The University of California did not receive range adjustment funds for 2002-03. Therefore, the academic salary scales remain unchanged. New scales have been distributed to the Dean's Offices to reflect the changes in dates. Academic merit increases for 2002-03 have been funded in accordance with academic compensation programs and collective bargaining agreements.

Large numbers of academic files were received after last year's deadlines. Many actions were not completed prior to fiscal closing that resulted in financial obligations transferring to the 2003-04 allocations. While UCSF has historically been able to fund late actions, the increasing number of late packets is serious cause for concern. Please monitor the deadlines closely. The Committee on Academic Personnel (CAP) has indicated that if dossiers are not received on time, it is likely that the review will be delayed until September after CAP has returned from its summer break.

[ACADEMIC DOSSIERS](#)

Reviewing agencies have noted that confusion arises when initial proposals are modified at the departmental level. When a dossier is initially prepared, external and internal letters of evaluation are requested and received. In some cases, based on the review of the documentation, the department may alter the original proposal, e.g. changing the step or the series that was originally proposed. In such case, it is not necessary to seek new letters from external reviewers. However, in cases that could be confusing, there should be assurance from the department that internal reviewers and departmental faculty support the revised recommendation. For instance, this assurance may take the form of attached emails from internal reviewers acknowledging their support for the change.

Also, there is concern about changes in the dossiers made with whiteout or cross marks. It is sometimes difficult to assess at what point in the process and for what purpose the changes were made. Please make sure that the documentation is clear.

When preparing dossiers going to the CAP, please submit to me an original and three copies of the summary sheet and an original and two copies of packets. However, all other review packets need only an original and two copies of the summary sheet and an original and one copy of the packet. The checklists have been revised accordingly.

When preparing an accelerated advancement, the dossier should always include a discussion of the reasons for the acceleration. Accelerated advancement is an important form of recognition that rewards faculty who perform at an exceptional level over a sustained period. The case made should be commensurate with the degree of acceleration proposed. ([Attachment A](#))

When additional information is being requested at any time during the review process, the original dossier needs to be returned to my office by the reviewing agency seeking the additional information along with the request for the additional information.

OFF-SCALE REMINDER

In order to preserve the significance and values of the salary scales, salaries should be on-scale to the greatest extent feasible. Only titles in the Ladder Rank, In-Residence, Clinical X, Clinical and Adjunct Professor series as well as titles in the Professional Research series are eligible. Note that titles in other series such as Academic Administrator, Academic Coordinator and Specialist are not eligible.

PROFESSIONAL RESEARCH SERIES

A reminder that all Professional Research appointees must advance to the maximum of their approved rank and step, no later than October 1, 2004. The salary range for UCSF can be found on [Table 15](#) of the September 26, 2002 salary scales issued by the Office of the President. Departments may adjust salaries within the range at time of reappointment/continuation.

FIVE -YEAR REVIEW

University policy requires that all faculty are reviewed every five years. Each department must ensure that timely reviews are initiated. CAP has agreed that faculty who are employed less than 50% time will not be required to submit a five-year review. Chairs should be asked to send out a reminder to all faculty who are less than 50% time and have not been reviewed for five years that they may be reviewed for possible advancement if they wish. These individuals would be invited to contact the department chair to discuss the process if they would like the opportunity for review. However, all faculty who have a full time commitment to the University but who are paid by the University on a part time or without salary basis will be required to submit a five-year review.

The [Five-Year Review](#) process was implemented at UCSF in the year 2000. Experience shows that the process is not always clear. CAP and Administration will be reviewing the process this year. However, it is essential that an updated CV is provided, with information regarding the reviewee's recent research/creative work, teaching and publications, any clinical practice and service. Please submit to me any comments or suggestions on how to improve the process.

RETIREMENT/ RECALL

Questions have been raised about the difference between an employee taking a lump sum payment and a retirement annuity. The lump sum cash out is not considered a retirement option, but may be chosen in lieu of monthly retirement income. At UCSF, all employees who are eligible for emeritus status will be given the emeritus title regardless of election of regular retirement or lump sum cash out. However, all individuals will be subject to a maximum of the 46% time reemployment/recall limit.

ACADEMIC COORDINATOR TRANSITION GUIDELINES

As you know, the new Academic Coordinator series was implemented throughout the University of California system on July 1, 2002. The implementation required a review of a current job description and a current curriculum vitae as well as the recommendation of a proposed title and step by the supervisor. There appears to be Academic Coordinators who have not yet been converted to the new series at UCSF. It is imperative that this be done.

FAMILY AND MEDICAL LEAVE ACT (FMLA)

University policies provide an array of opportunities for faculty to meet faculty and work life demands. A handout to promote access to information about pertinent policy provisions is provide in [Attachment B](#). It is intended for wide distribution to all academic employees. This brochure will be included in all new hire packets.

AFFIRMATIVE ACTION GUIDELINES FOR RECRUITMENT AND RETENTION OF FACULTY

The University of California is an equal opportunity/affirmative action employer in compliance with Federal affirmative action regulations that apply to Federal contractors. We are also required to comply with the provisions of Article 1, Section 31 of the California Constitution (Proposition 209) which prohibits discrimination against, or preferential treatment to any individual or group on the basis of race, sex, color, ethnicity, or national origin.

A publication is available ([Attachment C](#)) that is being distributed to each member of academic Search Committees that outlines their responsibilities as a search committee member. A Summary of Applicable Law and Policy that outlines our Federal Compliance requirements will be given to each Search Committee chair. This document is available on the [Academic Personnel](#) website.

In response to findings of the Bureau of State Audits, all campuses were asked to ensure that vigorous efforts are made to get diversified pool of applicants. Campuses were asked to develop Academic Recruitment Plans before a search is initiated. Two forms have been developed to document search and waiver efforts and activities. ([Attachments D1](#) and [D2](#)) These forms should now be used in place of other correspondence.

STEWARDSHIP REVIEW

University policy requires that all department chairs, directors and deans be reviewed every five years. In an effort to ensure a timely review, CAP has developed a timetable for initiating the review and monitoring its progress. [Attachment E1](#)) The initial contact will occur at 4.5 years. (In addition, CAP has created a report format that will be given to the Committee members ([Attachments E2](#)). This format will serve as a guideline for the preparation of the Committee's written report. The only section of the report that will be provided to the candidate is the Committee's Recommendations. The rest of the report will remain confidential.

In order to preserve the confidentiality of stewardship reviews and to maintain an environment that allows the sharing of information, CAP requires that the members of stewardship reviews and all individuals who participate in the interview process sign confidentiality statements. ([Attachment E3](#) and [E4](#))

A packet of information regarding the Stewardship Review will be given to each newly appointed Department Chair, Director and Dean so that they have a clear understanding of the process.

We recognize that the stewardship review process has been prolonged in the past and will continue to work with CAP to accelerate it. Those of you who will be reviewed will be notified in the next few months.

SUMMARY OF CHANGES TO THE UC MORTGAGE ORIGINATION PROGRAM AND THE SUPPLEMENTAL HOME LOAN PROGRAM

UC home loan programs will provide greater flexibility for our newly recruited junior Senate faculty in the areas of monthly payments and reduction of down payment cash requirements. They are:

1. Increased Supplemental Home Loan Program (SHLP) Maximum Loan-to-Value Ratio (LTV) Thresholds to 95% for combined Mortgage Origination Program (MOP) up to \$753,500 and to 90% (from 85%) for combined loan amounts over \$753,500. These thresholds will be automatically indexed based upon any increases to the annual All-Campus Average House Price Index each April.
2. Increased the Maximum MOP and SHLP Repayment Period to 40 Years. Previous maximum was 30 years.
3. Addition of a MOP Graduated Payment Option (GP-MOP) that allows Departments to provide borrowers a reduced interest rate for a maximum of 6 years. The duration is determined by the Department. The proposed initial rate paid by the borrower is negotiable, but could be as low as 3.0%, with the Department providing funds to reimburse the resulting interest rate differential. Under this option the differential paid by the Department will be reduced by between 0.25% and 0.50% annually until the borrower is paying the program rate. Your Dean's Office should be contacted for additional information specific to each School for this option.

Complete information about all of the UC Faculty Housing Assistance Programs can be found at on the [Academic Personnel](#) website.

CAREER REVIEW

Various academic personnel actions reflect the progress of a faculty member's career. Current academic personnel policies authorize merits and promotions at normal intervals of service throughout a faculty member's career based on academic accomplishments. While reviews normally are initiated by the department chair and faculty, an individual faculty member may request that a career review be initiated. A career review allows a faculty member to request an evaluation of

his/her rank and step within a series. If the department does not support the action, the faculty member may request that the file move forward. The normal review process will be followed. To help clarify the review process, the faculty member should provide a letter with his/her rationale for the review.

NEW FACULTY APPOINTMENT DISCUSSION POINTS

CAP has developed a checklist for early discussions with new faculty. It is hoped that this will be a useful document to both the Department Chair and the new faculty member. It is to be used as a guideline and may be beneficial to periodic career/advancement discussions. ([Attachment F](#))

FAMILY FRIENDLY POLICIES

In September 2002, Office of the President launched a site for Family Friendly Policies for Faculty and Other Academic Appointees. This is a useful tool in navigating the complex academic personnel policies. It can be found at <http://www.ucop.edu/acadadv/family/site-map.html>.

FACULTY ENRICHMENT PROGRAM

The Office of the President has informed the campuses that the Faculty Enrichment Program that was announced by President Atkinson to strengthen academic diversity programs will be changed. You may recall that funds were made available to provide supplemental start-up funds for ladder rank faculty who are engaged in research that advances issues such as race, ethnicity, gender, and multiculturalism as they intersect with traditional academic fields. The President has changed the program to an after-the-fact funding. The purpose is to provide additional funding to campuses that identify greater number of outstanding candidates who meet the program criteria and lesser funding for campuses that do not identify suitable candidates. The allocation will be on a first-come, first-serve basis dependent on the availability of funding. If you are recruiting a ladder rank faculty member who will meet the criteria, please let me know as soon as possible.

UCOP AUDIT

The Office of Academic Advancement will be auditing compliance with APM 025, Conflict of Commitment and Outside Activities of Faculty Members. We expect notice after January 1, 2003. A random list of faculty names will be provided prior to their visit. This policy does not replace the health sciences policies. We have not yet been instructed if they intend to review annual reports of compensation plan faculty, but we assume they will.

We have requested clarification regarding how the prior approval and reporting requirements of APM-025 relate to compensation plan faculty and will distribute any additional information we receive.

WHISTLEBLOWER AND WHISTLEBLOWER PROTECTION POLICY

The University's Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy) and Policy for Protection of

Whistleblowers from Retaliation and Guidelines for Reviewing Retaliation Complaints (Whistleblower Protection Policy) have been finalized and issued by the Office of the President, effective October 4, 2002.

The University policy was revised to conform with the California Whistleblower Protection Act, which was amended effective January 1, 2000. The primary changes made to the Whistleblower Protection Policy include the expansion of evidentiary standards required by the law and the addition of clarifying language throughout the policy. President Atkinson's announcement letter with links to the policies can be found at:

Whistleblower Policy <http://www.ucop.edu/ucophome/coordrev/policy/10-04-02.html>

TEACHING AND MENTORING

The Supportive Work Environment's Blue Ribbon Committee recommended that mentoring be added as a separate, fifth category of evaluation for academic advancement. While CAP agrees that mentoring is a vital responsibility of all faculty, it believes that such evaluation should fall under the current criterion of teaching rather than be an independent criterion. The evaluation of mentoring should be formalized and the "Teaching" category should be renamed "Teaching and Mentoring".

Mentoring relationships are important to enhancing professional growth and monitoring and advising on academic/career progress. Documentation should address both formal and informal mentoring activities that include a description of who is mentored, of the roles in which the mentor serves (preceptor, advisor, etc.) what the activities include and an evaluation of the outcomes, e.g., remedial work with students or collaborative projects.

Additionally, CAP has requested clarification and consistency in the reporting of teaching hours. To the extent possible, the following categories should be addressed separately: didactic teaching (formal courses or podium hours), laboratory teaching and clinical teaching. It is helpful especially in the category of clinical teaching to identify teaching hours devoted to students versus teaching hours devoted to housestaff.

Faculty should be encouraged to differentiate teaching and mentoring efforts during this academic year. Because this is a change in procedure, however, these changes regarding teaching and mentoring are not required this year, but should be implemented as soon as practical and for files effective July 2004.

Dorothy F. Bainton, M.D.
Vice Chancellor, Academic Affairs

[Attachments](#)

cc: J. Michael Bishop, Chancellor
 Craig Van Dyke, Director, Langley Porter Institute
 Todd Margolis, Director, Francis I. Proctor Foundation
 Ara Tahmassian, Assistant Vice Chancellor
 Sandra Weiss, Chair, Committee on Academic Personnel
 Michael Adams, Director, Affirmative Action/Equal Opportunity/Diversity
 Karen Butter, University Librarian

2003 Annual Call

Attachments

UCSF Guidelines for Accelerated Advancement	Attachment A
University of California Family Care Policies	Attachment B
Your Responsibility as a Member of an Academic Search Committee	Attachment C
UCSF Academic Recruitment Plan	Attachment D1
UCSF Search Waiver Request	Attachment D2
Stewardship Review Procedures	Attachment E1
Template for Stewardship Review Reports	Attachment E2
Stewardship Review Confidentiality Statement (Members)	Attachment E3
Stewardship Review Confidentiality Statement (Interviewees)	Attachment E4
Important Points for Discussion Between Department Chairs and New Faculty Appointees	Attachment F
Description of Academic Series for Use in Correspondence with External and Internal Referees	SF-AP-01
Criteria for Normal Advancement in Rank - Professorial Series	SF-AP-02
Approving Authorities for Dossiers - Appointments and/or Changes in Series	SF-AP-03
Approving Authorities for Dossiers - Merits	SF-AP-04
Approving Authorities for Dossiers - Promotions	SF-AP-05
Checklist for Dossiers - Ladder Ranks, In Residence, and Professor of Clinical____	SF-AP-06
Checklist for Dossiers - Salaried Clinical	SF-AP-07
Checklist for Dossiers - Adjunct	SF-AP-08
Checklist for Dossiers - Clinical without Salary	SF-AP-09
Checklist for Dossiers - Professional Research	SF-AP-10
Checklist for Dossiers - Specialist	SF-AP-11
Checklist for Dossiers – Academic Administrator	SF-AP-12
Checklist for Dossiers – Academic Coordinator	SF-AP-12a
Checklist for Dossiers - Five Year Review	SF-AP-26b

Checklist for Dossiers - Emeritus, Recall and Post-Retirement	SF-AP-13
Summary Sheet - Recommendation for Appointment and/or Change in Series	SF-AP-14
Summary Sheet - Recommendation for Merit	SF-AP-15
Summary Sheet - Recommendation for Promotion	SF-AP-16
Summary Sheet - Five Year Review	SF-AP-26c
Summary Sheet - Recommendation for Appraisal of Achievement and Promise	SF-AP-17
University of California Biography	SF-AP-18
Attachment A: Academic Review Addendum	SF-AP-19
Academic Recruitment Procedures	SF-AP-20
Search Process Instructions	SF-AP-21
Search Process Report (SPR)	SF-AP-21a
Applicant Pool (Attachment 1)	SF-AP-21b
Affirmative Action Guidelines for Recruitment and Retention of Faculty	SF-AP-21c
Task Force on In-Residence Report	SF-AP-24
Acknowledgement Form	SF-AP-24a
Curriculum Vitae Sample Format	SF-AP-25
Five-Year Review of UCSF Faculty	SF-AP-26
Professional Research Series Fiscal Year Salary Scale	SF-AP-27