VCHS Academic Affairs—October 5, 2015

Procedural Updates

File Extensions
As a friendly reminder, files that received extensions beyond June 30, 2015, must be finalized no later than the extension date of October 31, 2015. Please contact your VCHS AA Analyst if you have not submitted materials for files that were extended through October 31, 2015.

Policy Updates

Academic Appointment (PPM 230-20) and Advancement (PPM 230-28) Policy Revisions
Several changes recommended by the UC San Diego Academic Senate Task Force on Faculty Rewards System II have been formalized in policy revisions that became effective September 1, 2015. Some of the key revisions are summarized below:

- Revisions to strengthen the policy on consecutive no change actions, include:
  - Requirement of campus review of proposed consecutive no change actions (PPM 230-28.VII.B.2.c)
  - Clarification that departments or reviewers may propose the reduction or elimination of an appointee’s market off-scale salary component when an appointee is proposed for a consecutive no change action due to insufficient contributions (PPM 230-28.VII.B.2.c.i)
  - Revision to prohibit appointees who have received consecutive no change actions from deferring future academic reviews until the next advancement, when the failure to advance is due to insufficient contributions (PPM 230-28.VII.B.2.c.ii)

- Elimination of the requirement to re-justify market off-scale salaries (PPM 230-28.VII.B.5)

- Removal of the requirement for letters from external referees in the evaluation of appointees proposed for advancement to or through Step VI (PPM-28.IV.B)

- Discontinuation of the use of the term “crossover step” and removal of the requirement to demonstrate that an appointee is making timely progress on substantial research and creative projects that, when completed, are likely to justify promotion (PPM 230-28.VII.A.1)

A complete summary of the major revisions to PPM 230-20 and PPM 230-28 is available at: http://blink.ucsd.edu/go/ppm230-20-28revisions

The revised policies are available at the following websites:


Biography-Bibliography Forms

Bibliography: For academic files submitted during the 2015-16 review year, all new publications should be formatted in subsections (Research Articles, Review and Invited Articles, Books and Book Chapters, etc.). Candidates may either reformat their entire Bibliography into subsections, or they may provide a summary of work “above the line” (summarizing the number and type of publication already credited in the most recently completed academic review, e.g. Research Articles =80, Review Articles=23, etc.). Each publication or work that is not reformatted into subsections must include a descriptor for reviewers (Research Article, Conference Proceeding, etc.) included in the listing of each publication/work in the bibliography.

Biography: It is acceptable to use the cover page that includes personal data for files submitted in 2015-16. In the 2016-17 review year, only appointment files should include the cover page that contains personal data. Review files with an effective date of 7/1/17 must use the new Biography-Bibliography form that omits personal data.

Collaboration between the Candidate and a Reviewer
If the department chair or division chief has collaborated with the candidate, the Vice Chair or another senior member of the faculty should sign in place of the chair or division chief. If this is not possible, the letter should address the collaboration and discuss the reasons why another faculty member could not sign in place of the chair or division chief. As a best practice, if a collaborator is a member of the departmental academic affairs or ad hoc committee, that committee member should recuse him or herself from consideration of the file.

**Referee Letters**

In the interest of transparency, the departmental letter should address any instances of duplicate language among referee letters, collaboration between the candidate and a referee, or other circumstances that have resulted in the receipt of letters from referees whom reviewers may not assess as independent of the candidate. It may be necessary to solicit additional letters to achieve the number required for a particular action, if letters contain duplicate language or are written by previous collaborators. Addressing the issues of duplicate language/collaborations in the departmental letter is preferable to reviewers discovering instances of duplicate language or collaboration during the review process as then the review process will inevitably be prolonged.

**Service**

In an effort to help reviewers assess service contributions, files should distinguish service to the department, Health Sciences and campus from national or international service. The departmental letter should clarify which committees are unique to departments (and provide a general indication of the time commitment involved in various committee assignments) and which involve service contributions that extend beyond the department. This is particularly important as files move to campus-wide committees whose members may not be as familiar with Health Sciences specific service contributions.

**Teaching Quantification Forms**

The data listed on the teaching quantification form should reflect the content of the file. If credit is claimed for a significant amount of teaching and/or mentoring, the file should contain teaching and mentee evaluations to document the candidate’s instructional activities. Evaluations may be provided in summary form if there are numerous individual assessments. The departmental letter should discuss the candidate’s role in instructional activities. In cases in which there is a disconnect between the activities recorded on the teaching quantification form and the content of the file, reviewers are likely to be confused and may request additional information.

**VCHS Faculty Compensation**

The Office of the President has published the new HSCP salary scales. The new scales, issuance letter, and appendices to the issuance letter can be found on the UCOP website by clicking here. Please see Appendix 2 for HSCP faculty (attached).

**Important Points about the Salary Program for HSCP Faculty:**

- The salary program is retroactive to July 1, 2015.
- Faculty who are paid on covered compensation only will see the net 1.5% increase to their salaries, reflecting the updated HSCP salary scale.
- Details of the additional 1.5% discretionary increase:
Per UCOP, “An amount from an appropriate fund source and up to 1.5% of the base salary may be dedicated to this discretionary salary program.” As this is an unfunded program, the funding source for the 1.5% discretionary increase will be from the existing funding source(s) for each faculty member. There is no central pool.

- The discretionary increase will be on the negotiated “Y” component of a faculty member’s salary.
- HSCP faculty may be considered for a discretionary salary adjustment based on one of four factors: 1) equity, 2) compression, 3) inversion, or 4) exceptional merit. Definitions can be found on Appendix 2.
- Departments will have the opportunity to request a mid-year salary increase retroactive to July 1, 2015, based on one of the factors above.

As we are required to report on the discretionary actions, please email Angelica Mangindin (amangindin@ucsd.edu) with a list of any faculty member that received increases based on one of the abovementioned factors. The original due date for this information was Tuesday, September 15, 2015. If you have not already done so, please notify Angelica Mangindin as soon as possible if the department will be requesting a salary adjustment based on the 1.5% discretionary increase.

- If faculty do not wish to participate in the 1.5% discretionary increase, their covered compensation will be adjusted to reflect the 1.5% across-the-board increase of the HSCP salary scales, and the “Y” will be adjusted down accordingly to reflect the negotiated salary.

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**Health Sciences Initiatives that Impact Academic Affairs Operations**

**Expenditure Commitments Committee/Position Review Committee**

**Expenditure Commitments Committee (ECC):** The ECC reviews all expenditures and faculty recruitments that commit funding from the Vice Chancellor’s Office (VCO), the Health System, and/or the Department in the amount of $100,000 or more, as well as all FTE appointments and all new faculty MSP requests. MSP renewals, change in series, or change in effort distribution do not need to be reviewed by the ECC.

Departments shall not initiate position requests, recruitments or issue proposal letters prior to obtaining ECC approval. Please provide evidence of ECC approval once it is received.

The ECC meets every Monday. To be eligible for review on that day, new requests must be received by the end-of-day Wednesday of the prior week. Your submission must include the updated attached SBAR Summary and Research Pro-Forma; all clinical recruitments (including MSPs) will also require a completed Clinical Pro-Forma. Please include relevant backup documentation as appropriate with your submission. A complete and detailed submission will increase turnaround time and reduce the need for follow-up. Submit your requests and any questions to Teresa Kelly at trkelly@ucsd.edu.

A link to the request form is located here: https://healthsciences.ucsd.edu/vchs/business-ops/business-resource-management/Pages/ecc.aspx

**Position Review Committee (PRC):** All requests for new, replacement or temporary non-faculty, academic and staff positions must be submitted to the Position Review Committee (PRC) for review and approval prior to job posting and active recruitment. To submit your request to the PRC, please complete a Position Justification Form (PJF) in Service Now (https://ucsdhealth.service-now.com/). You will find the form under "Forms for Health Sciences Staff Employees" and select Position Justification located in the "Filling a Position" section. Note: Positions that are 100% grant funded may submit an abbreviated PJF. Submit your questions to hsprc@ucsd.edu or call 619-543-2206.

*Note: VCHS Academic Affairs and VCHS Faculty Compensation are not involved in the administration of these committees. However, the new processes will affect academic affairs actions.*

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**VC Announcements from our Units**

**VCHS Academic Affairs Assignments**

We have redistributed assignments for Tier 1 (non-committee) and Tier 2 (committee and delegated-authority/entry-level faculty) files for the 2015-16 review season. An updated list of department and work assignments is located here.
**VCHS Academic Contacts Meetings**
Thank you for attending the recent VCHS Academic Contacts Meeting on September 2. If you have suggestions for future meetings, please send them to Rebecca Woolston (rwoolston@ucsd.edu). Also, be on the lookout for a “Save the Date” email for future VC meetings.

**AP Experience?**
If you have academic personnel experience and are interested in an internship opportunity, please email Denise Marlin (dmarlin@ucsd.edu) and provide a brief overview of your experience.

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**Excerpts from Recent ADEO Announcements**
(To read the announcements in their entirety, please subscribe to ADEO’s updates and announcements by sending an email to adeo@ucsd.edu, subject line “ADEO & Academic Recruitment announcements”)

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**Search Committee Manual 2015-2016**
Every year ADEO reviews and publishes a new search committee recruitment manual, and distributes it to every search committee per recruitment, in order to provide the most up to date best practices for providing fair and equitable opportunities to applicants and for meeting compliance standards. All individuals involved in the Search Committee and Selection process (Committee Chairs, Reviewers, Additional Chairs, Additional Reviewers etc.) should read the 2015-2016 Search Committee Manual found on the ADEO website at: [http://academicaffairs.ucsd.edu/aps/adeo/recruitment/procedures/search-committee.html](http://academicaffairs.ucsd.edu/aps/adeo/recruitment/procedures/search-committee.html)

**Tenure-Track and Tenured Searches**
Recruitments for “Assistant, Associate or Full Professor” ranks will now be set up as two separate search profiles. One will specify the “Assistant Professor” position and the other will specify “Associate or Full Professor.” This separation will ensure search committees are provided with data which accurately reflects diversity availability, and that applicants are evaluated among peers with the same level of experience; this also allows for complete reporting to UC Office of the President. For additional information, go to [http://academicaffairs.ucsd.edu/aps/adeo/recruitment/procedures/ad-text.html](http://academicaffairs.ucsd.edu/aps/adeo/recruitment/procedures/ad-text.html)

**AP On-Line Training:**
Comprehensive fall training has been scheduled for **Friday October 30, 2015!** Space is limited and a first-come, first-served basis. Please search “Academic Personnel: Academic Recruitment” in the UC Learning Center and register.

- Please use the [SYSTEM TRAINING PAGE](http://academicaffairs.ucsd.edu/aps/adeo/recruitment/procedures/ad-text.html) on our website for a quick reference to the system in the interim.

**Recruitment Waivers**
Please take some time to review the guideline for Academic Recruitment Waivers so ADEO can work with you to ensure fair and equitable recruitment processes:
[http://academicaffairs.ucsd.edu/aps/adeo/recruitment/waivers.html](http://academicaffairs.ucsd.edu/aps/adeo/recruitment/waivers.html)

**Recordkeeping:**
Due to the current OFCCP audit which encompasses records from the previous five years **please do not destroy any hiring related documents since 2009 until further notice by ADEO.**

**ADEO Newsletter Archive:**
View the pdf versions of ADEO Newsletters at: [http://academicaffairs.ucsd.edu/aps/adeo/index.html](http://academicaffairs.ucsd.edu/aps/adeo/index.html)
Identification of HSCP Faculty

- This implementation of the President’s plan covers all faculty (including ladder rank) who are both members of an approved Health Sciences Compensation Plan and are also appointed in any of the following six title series: Professor; Professor In Residence; Professor of Clinical X; Clinical Professor of Dentistry (50 percent or more); Adjunct Professor; and Health Sciences Clinical Professor. Acting appointees in these six title series are included as well.

Salary Pool

- The 3% salary pool is calculated on base salary dollars (X and X’) and in accordance with both APM - 670 rules governing use of state funds and also the conditions described below.

Across the Board Increase

- 1.5% of the 3% pool should be allocated for a 1.5% increase in the base salary (X and X’) for all faculty participating in the HSCP through Professor IX, all effective July 1, 2015. The effect of this increase will be to increase covered compensation by 1.5%. Above scale HSCP faculty should also receive a 1.5% increase effective July 1, 2015.

- Now that the President has approved implementation of the budgeted 3% faculty salary increase, Academic Personnel and Programs at UCOP will issue updated HSCP salary scales reflecting the 1.5% increase.

Discretionary Increase

- Faculty in these titles may also be considered for discretionary salary adjustment if one or more of the four criteria below are met. An amount from an appropriate fund source and up to 1.5% of the base salary may be dedicated to this discretionary salary program. The President identified four acceptable uses of the discretionary pool. They are identified below. Any one may be used for HSCP faculty, when justified; however, there is no need to use more than one. The four purposes for which the discretionary pool may be used are as follows:
  
  - **Equity.** Equity is the quality of being impartial, reasonable, fair, just. In this circumstance, equity is considered with respect to faculty salary, what it is, how it compares to others’ salaries, and how it was determined. As appropriate, campuses should draw from their recent faculty salary equity studies in identifying issues of equity in individual faculty member salaries. For HSCP faculty, the most likely application of the 1.5% discretionary adjustments will be to address inequities in pay.
  
  - **Compression.** Compression occurs when faculty members at lower rank/step have salaries that are almost as large as those of faculty at higher rank/step.
  
  - **Inversion.** Inversion occurs when faculty members at lower rank/step have salaries that are larger than those of faculty at higher rank/step.
  
  - **Exceptional merit.** Exceptional merit is identified by such factors as an acceleration of at least one step beyond that which would ordinarily occur at the faculty member’s review, advancement to the next step at least two years earlier than the normative time, and/or receipt of a highly selective, highly prestigious academic award in one’s field. Thus,
exceptional merit may be tied to the regular review process in the case of some accelerations or early advancements (and will accordingly be reflected both in the X and X’ and Y salary components), but it may also be recognized exclusively through the annual salary negotiations process within a department (in which case it would be reflected exclusively in the Y salary component). In any case considered to be exceptionally meritorious, the campus will need to explain the amount of the merit action that is beyond a normal action (and that, as a consequence, may be included in the discretionary actions of up to 1.5%). Other faculty members not in this year’s review cycle may also fit under the exceptional merit category.

- Campuses are expected to use their recent Faculty Salary Equity Studies in reviewing salaries for these discretionary actions; they are not expected to undertake new processes now to determine whether there is a basis for a discretionary salary increase. A campus may choose to do so, but it is not expected to do so.

- The discretionary actions should not include regular merit, recruitment, and retention actions.

- The discretionary program will be effective July 1, 2015. Discretionary adjustments should be made retroactive to July 1, to the extent possible, and should be allocated by the end of December 2015.

- Consultation, according to campus practice, with the Academic Senate on handling of discretionary actions is strongly advised.

- Inversion or compression may in some instances occur because a faculty member has elected to have a salary lower than that of faculty members of lower rank/step because of availability of grant funds, or a desire to minimize clinical service obligations. This salary program is not intended to address situations in which an HSCP faculty member in his or her annual negotiations has voluntarily elected a total negotiated salary level that leads to inversion or compression.

Reporting Requirements

- Campuses will be asked to produce a report on the discretionary actions. An explicit accounting will be due by the end of January 2016. More explicit directions will follow, but as you implement the plan for HSCP faculty, please record the following for each faculty member whose salary is adjusted as a part of the discretionary actions:
  1) Name
  2) Department
  3) Rank
  4) Step
  5) Rationale for the additional compensation to that faculty member (i.e., which of the four reasons explain the increment). When the additional compensation is used to address an inequity, the rationale must be accompanied by a statement that the inequity will not reappear the following year.
  6) Dollar amount of the additional compensation
  7) Percent amount of the additional compensation
  8) Effective date of additional compensation

- Provost Dorr will work with the Executive Vice Chancellors/Provosts and Academic Senate leaders on what should be reported to your campus faculty leaders and, separately, to UCOP.