

**FY 2009 – 2010 Academic Federation
Administrative Series Personnel Committee**

Joyce Strand, Chair
Judith Kjelstrom, John Sherlock
Diana Strazdes, Barbara Sutherland

September 10, 2010

DANIEL WILSON

Chair, Academic Federation

BARBARA HORWITZ

Vice Provost, Academic Personnel

RE: Academic Federation Administrative Series Personnel Committee
Annual Report 2009-2010

The AF Administrative Series Personnel Committee (ASPC), with members Joyce Strand (Chair), Judith Kjelstrom, John Sherlock, Diana Strazdes, and Barbara Sutherland, met 13 times during the year. A total of 43 personnel actions were referred to the committee for review. The actions under review were appointments, merits, and promotions of 11 Academic Administrators and 32 Academic Coordinators. In addition, the ASPC also reviewed 11 position screenings and 8 departmental voting and peer review plans. A summary table of the committee's activities for 2009 -2010 is attached.

Issues

The committee notes that some issues appear repeatedly as we review personnel actions and screen positions.

- **External Letters in Appointment Actions**

The Committee was asked to review a few appointment actions this year where the external letters included in the packet were dated after the search was completed. In one case there was not a single external letter that pre-dated the candidate's acceptance date. It is clear in these cases that the department is not following the correct procedure for searches and appointments. The Committee suggests that new departments/programs team up with a department that has experience with academic searches and appointments. Procedurally, the Committee hopes that the packet contains exactly the documentation used to support the appointment.

- **Academic Federation Streamlining Proposal**

The Committee received a proposal in July from the Vice Provost Academic Personnel regarding streamlining Academic Federation personnel actions. The proposal delegated all normal appointments, merits, and promotions (except above scale actions) in the Academic Administrator, Academic Coordinator, Specialist, and Continuing Educator series to the Dean. All actions would be

sent directly to the Academic Federation office. If the Dean's intended decision differs from the Academic Federation personnel committee recommendation, delegation would revert to the Vice Provost. In addition, the original dossier for all the title series above would be sent to the Academic Personnel office after the action is complete. The above delegations are for a three-year trial basis and subject to periodic audit by Academic Personnel.

In addition to the delegations listed above, the Dean would also have the authority to approve all position screenings for the Academic Administrator and Academic Coordinator series after review by the Administrative Series Personnel Committee (ASPC). During the process, if the Dean's intended decision differed from the ASPC recommendation, delegation would revert to the Vice Provost.

The Committee reviewed the proposal and overall agreed with the proposal. However, the Committee did recommend that Vice Chancellor be added as one of the administrators with final approval authority on redelegated actions since Academic Federation titles within the Office of Research report to the Vice Chancellor for Research.

- **Accelerated Merits/Accelerated Promotions**

The Committee reviewed requests for six accelerated merits and two accelerated promotions, which is a higher number compared to previous years. In general, the documentation provided was insufficient to justify an acceleration over a normal action. Clear criteria for acceleration would give better guidance for the candidate and the department, and allow for an easier, more streamlined review by the Administrative Series Personnel Committee as well as the Vice Provost and will also preserve the integrity of the merit process.

The Committee suggests that more detailed documentation and stronger justifications related to specified criteria for acceleration need to be provided for these actions.

- **Assistant/Associate University Librarian (AUL) Criteria**

Vice Provost Horwitz and Jo Anne Boorkman met with the committee at the beginning of the year. They reported that their office is working with all the AULs on campus and looking at procedures on other UC campuses to come up with review criteria for the AUL series. The criteria would be similar to the review criteria for the Academic Administrator series. The Administrative Series Personnel Committee recommended that AULs prepare a 3-5 page candidate statement similar to the other title series reviewed by the committee. This narrative would describe performance in the areas described in the position description and provide more information for the Committee to use in its analysis. Since the packet currently contains virtually no qualitative information from the candidate and a review by only one administrator, more information would be very helpful. Input from a peer and/or voting group would also be informative (as well as helpful to the candidate), and the Committee suggests reaching out to Academic Coordinators and Academic Administrators on campus as needed to

form peer-review groups since the AUL series currently doesn't have peer groups.

- **Effective Dates and Schedules**

As a continuing issue, several times the Committee was asked to review a request for an appointment with either a retroactive effective date or a date that would necessarily be retroactive after the approval process was finally concluded. The process takes time, and the effective dates requested by departments/deans often are highly unrealistic. Clearly, in no case should the candidate be working under the proposed position before the appointment is approved. Retroactive appointments undermine the process and can lead to unnecessary conflict if the Committee and/or Vice Provost do not support the appointment.

The Committee is committed to acting promptly so as not to delay the process, but we request that steps be taken to avoid this situation in the future.

- **Position Descriptions**

In another continuing issue, position descriptions for merit candidates are often dated about the time the packets are submitted for the current review process. This leaves our committee wondering what the expectations were for the review period, information that is important in our analysis and recommendation. We have a concern that in some cases the position description is written to reflect whatever the candidate did during the review period, rather than indicating what was expected of him/her in advance of the period so that performance can be measured. We expect the position description to reflect expectations and activities for the period, in advance, rather than being developed at the end of the review period, as would be indicated by the signature date on the included description.

The Committee recommends that, if responsibilities and expectations change during the review period, the position description be updated at the time of change, and all position descriptions in effect during the review period be included in the packet.

Organizational charts are submitted with Academic Coordinator/Academic Administrator position descriptions, and they are sometimes incomplete so that the Committee has difficulty determining the scope of the position and its supervisory responsibilities. The major problem is that they don't show the title and number of positions supervised.

- **Final Vice Provost Decision Notification**

The Committee again noted the issue about how merit and promotion candidates are notified of the Vice Provost's final decision. The common practice seems to be for the personnel committee's recommendation letter to be used to notify candidates of the decision. This process has led to some confusion, as candidates often believe that the personnel committee is making the final

decision on their review packages rather than the Vice Provost. This was particularly evident in one appeal case reviewed this year. The candidate specifically referenced each committee member's name in the rebuttal letter as if they made the final decision. Departments have also expressed confusion over just what the final decision was, in some cases. This appears to be a common frustration in departments, and with senate and federation reviews. The Vice Provost usually notes her decision on the Committee's recommendation letter to her, then forwards the letter to the Dean. For positive decisions, and where the Committee and Vice Provost are in agreement, the current process doesn't cause a problem.

The Committee feels that a cleaner way to handle negative decisions or ones where the Vice Provost disagrees with the Committee would be for her to prepare a separate letter directly to the Dean, clearly indicating her decision and any reasons for it that she wishes to document.

Other Committee Activities

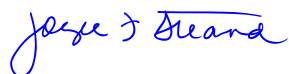
Chair Strand met with the AF Committee on Committees to discuss issues related to the workings of the ASPC.

Chair Strand attended the Academic Federation Executive Council meetings.

The members of the Administrative Personnel Series Committee formed an outstanding team, actively participating in the academic review process throughout the year and always looking for ways to ensure the integrity of the reviews. We appreciated working with Kimberly Pulliam, whose excellent assistance supported our work and contributed to our effectiveness.

Thank you very much for the opportunity to serve in this critical role.

Respectfully submitted,



Joyce Strand, Chair

Members: Judith Kjelstrom, John Sherlock, Diana Strazdes, and Barbara Sutherland

**ANNUAL REPORT OF THE ASPC FOR THE YEAR 2009-2010
(Period covering September 1, 2009 – August 31, 2010)**

Personnel Actions:

Title Series →	Academic Administrators		Academic Coordinators		University Librarians		TOTAL
	Yes	No	Yes	No	Yes	No	
Accelerated Merits ¹	0	0	4	2	0	0	6
Appeal(s) ³	0	1	0	0	0	0	1
Appointments ⁴	2	0	10	2	0	0	14
Appointment(s) via Change in Title ⁵	0	1	1	0	0	0	2
Conferral of Emeritus Status	1	0	0	0	0	0	1
Normal Merits ²	4	1	12	0	0	0	17
Accelerated Promotion	1	0	1	0	0	0	2
Promotions	0	0	0	0	0	0	0
Reclassifications	0	0	0	0	0	0	0
TOTAL	8	3	28	4	0	0	43
Total per Title Series	11		32		0		43

¹Accelerated Merits: The Committee voted against two accelerated merits for Academic Coordinators. In both cases, the documentation and materials submitted for two year review period did not provide enough evidence for an exceptional advancement. The Committee recommended normal merits in both cases. The final decision was in agreement with the Committee’s recommendation for both cases.

²Normal Merit: The Committee voted against one normal merit action for an Academic Administrator. In this case, the documentation and materials submitted did not provide justification for a merit recommendation in the committee’s judgment. The final decision was in agreement with the Committee’s recommendation.

³Appeal: The Committee voted against a normal merit appeal for an Academic Administrator. The final decision was in agreement with the Committee’s recommendation.

⁴Appointments: The Committee voted against two appointment actions for Academic Coordinators. In both cases the dossier contained no justification for the proposed high step and salary. The Committee recommended a step no higher than the middle step of the salary range in both cases. The final decision was not in agreement with the Committee’s recommendation in either case.

⁵Appointment via Change in Title: The Committee voted against one appointment via change in title action. In this case, the committee felt that the candidate did not have the exceptional experience and reputation required for appointment at level VII, the highest Academic Administrator level. The Committee agrees that hiring candidates at the very top of the pay scale does not leave the candidate any room to move up the salary scale. The final decision was not in agreement with the Committee’s recommendation.

Voting Trend (including Final Decisions)

Committee Vote	Vote	# Actions	VP Final Decision	
			Yes	No
Unanimous	Yes	34	34	0
	No ¹	7	3	4
Split	Yes	2	2	0
	No	0	0	0
	Totals	43	39	4

¹Of the two accelerated merits, one normal merit, one appointment via change in title, two appointments, and one appeal that ASPC did not support, the final authority agreed with the ASPC recommendation in four of the cases. The Vice Provost agreed with the ASPC on (93%) of the total number of actions.

Position Screenings:

Title Series Proposed	Total	Accepted As Proposed	Accepted with Revisions	Rejected with Revisions
AA	3	2	0	1
AC ¹	8	7	1	0
TOTALS	11	9	1	1

¹One University Extension position screening reviewed and accepted as proposed by ASPC is still pending final decision.

Voting & Peer Review Plans:

Total Reviewed	Accepted as Proposed	Accepted Contingent on Revisions	Rejected with Required Revisions
8	5	3	0