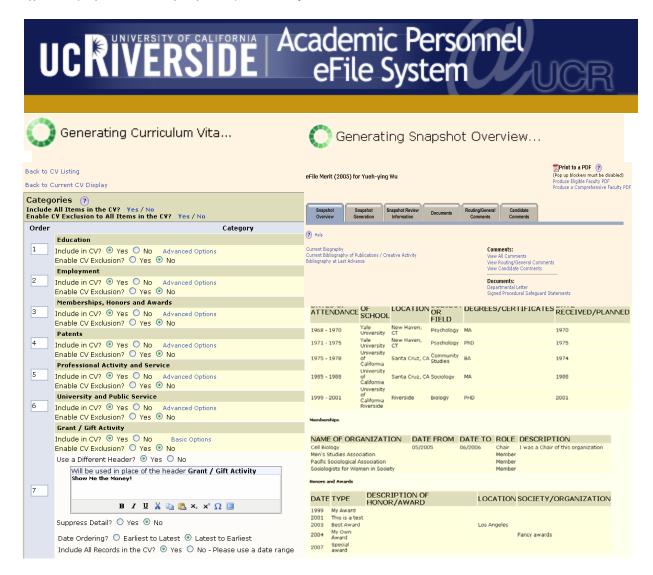
University of California, Riverside

Application for 2008 Larry L. Sautter Award for Innovation in Information Technology

Academic Personnel eFile Online Merit and Promotion System

"The process is very paper driven in the UC and we have now designed a "green" solution, an electronic version called eFile, that will allow us to save time and resources in maintaining this review system... a socially responsible effort to reduce paper waste that also increases the efficiency of the review for faculty." – Betty Lord, Vice Provost Academic Personnel UCR



eFile Project Highlights

eFile has received high praise from faculty and staff at campuses across the UC system. The response has been so positive that a Memorandum of Understanding (MOU) is now in place to allow any UC campus to implement eFile. UCR has presented eFile to large conferences of faculty and administrators from throughout the UC system, sparking unprecedented dialog about

UC's academic personnel processes. The eFile system captures granular data in a relational database in the support of merit/promotion actions and immediate generation of faculty biosketches and other reports supporting various faculty needs (e.g. extramural funds requests).

In summary, the system captures every facet of a faculty member's professional career, supports automated generation of curriculum vita, and is used for a routed, paperless review of merit and promotion files.

eFile Overview:

- Captures granular (table and field) data in the support of merit/promotion actions.
- Features seamless integration with other campus systems to *import* supporting data for Teaching/Instruction, Faculty Evaluations, and Biographical information.
- Supports automated generation of Curriculum Vita and NSF Biosketches for faculty.
- Saves time and paper with online routing of the complete file and documentation for review and approvals.
- System may be adopted for use at other UC campuses with similar infrastructures.
- Represents the collaboration of faculty with technical, financial, administrative, and academic personnel staff.
- Future enhancements will broaden the scope of the system to include more academic personnel actions, eligibility lists, and reporting capabilities.
- Over 350 faculty have active eFiles within the system and two years of merits have been processed with the system.
- All Departmental Academic Personnel Staff have received training for eFile Data Entry and Snapshot generation.

Project Summary

The Academic Personnel eFile system (eFile) at UCR represents a significant improvement of the academic personnel review process for faculty. Assembling and reviewing faculty merit and promotion portfolios online is faster, simpler and more efficient using this stable, secure, and flexible system. Updated, accurate, and comprehensible information is essential to the faculty review process and the eFile system provides faculty with a secure, web-based, environment in which to maintain academic accomplishments and process academic actions.

Features and Benefits:

- The eFile system is a stable, secure, and easily accessible online application.
- Faculty and/or Academic Personnel staff in the departments can quickly modify and add records as the faculty member's file is updated.
- "Snapshots" for specific actions (merits, promotions, etc.) can be generated using the existing records in the faculty member's eFile.

- An academic review file can be routed from the department, to the Dean's office, to the Academic Personnel office, to the Senate Committee on Academic Personnel, to the Vice Provost for Academic Personnel and to the EVCP/Chancellor, all electronically.
- Faculty can use the information in eFile to automatically generate Curriculum Vitae, Custom Reports, and National Science Foundation Biosketches.

Project Team Members

Computing & Communications Academic Personnel Office

Chuck Rowley
David Gracey
Eric Martin
Steven Lee
Betty Lord
Katina Napper
Michael Wu
Stara Umali
Brandon Ayers
Mary Thompson

Department and College Academic Personnel Staff

Laurie Bollinger, College of Natural and Agricultural Sciences

Judy Bliss, College of Natural and Agricultural Sciences

Angie Guzman, College of Natural and Agricultural Sciences

Scheryl Eilander, College of Humanities, Arts and Social Sciences

Cecilia Gonzalez, College of Humanities, Arts and Social Sciences

Sherice Underwood, Department of Botany

Rhonda Peterson, Bourns College of Engineering

Jason Brewington, Bourns College of Engineering

Rachael Easterling, Bourns College of Engineering

Technical Overview

System guidance and oversight

Functionality, enhancements and changes are made to the eFile System based upon input, guidance, and direction from UCR's Academic Information Systems Steering Committee (AIS) to the campus central technology organization, Computing and Communications (C&C). Additionally, the eFile System adheres to the policies and procedures set forth by the UCR Academic Personnel Office Academic Review procedures "The Call" document.

User Authorization and Single Sign-on (SSO)

The campus Central Authentication Service (CAS) provides single sign-on access to eFile. The freely available Central Authentication Service was originally developed by Yale University and has since become a JA-SIG project.

Importantly, CAS utilizes UCR's identity management systems to authenticate users (via LDAP). For more information on UCR's identity management solutions, please visit the following URL: http://www.cnc.ucr.edu/iviews/enterprise_dir/

Integration with EACS.

eFile is seamlessly integrated with UCR's Enterprise Access Control System (EACS). Using EACS, 200+ UCR Systems Access Administrators (SAAs) located throughout campus departments and units assign roles to faculty and staff. Roles grant access to various functionality within the eFile system such as maintenance of faculty career information, peer reviews, approvals and recommendations. *For more information on EACS, please visit the following URL:* http://www.cnc.ucr.edu/iviews/enterprise_acc_control/

Authorization granularity varies by application; moreover, in many cases, EACS also provides applications an as needed routing engine. For eFile, authorization may be "read-only" access (e.g. authorization for a candidate to view their eFile), or may permit approvals and denials (e.g. authorization of Vice Provost Academic Personnel to approve/deny Snapshots).

Integration with Campus Systems

The eFile system integrates with UCR's Course Reporting and Information System (CIRS) and UCR's online Student Evaluation system (iEval) to automatically populate faculty Teaching Load and Evaluations. This import functionality is optional and eFile allows manual entry/editing of teaching information as well as uploading of student evaluations in PDF format. The eFile system also integrates with the campus directory to automatically populate data for faculty biographies.

Automated Email Notifications

During the electronic routing of Merit and Promotion files (Snapshots), the system automatically sends out email to let users know that their action is required. Each email is tailored to a specific part of the review process and provides instructions to each user depending on role.

Search and Reporting Capabilities

The eFile system provides faculty with the ability to perform searches on their career information, whether they are looking for a specific publication or counting the number of pending patents. eFile's reporting capabilities allow faculty to generate a custom report and automatically create a Word document for further editing or printing.

Customer Satisfaction/Testimonials

"Getting the Associate Dean's (Linda's) comments and adding mine plus the overall recommendation is really easy. I really liked using the system and hated it when I had to go back on Sunday and review a regular printed file for someone else. We made a couple of suggestions for improvement in the system to your staff, but I'm really impressed with how well it looks and works!"

Donald A. Cooksey
Interim Dean
College of Natural and Agricultural Sciences

"What I like most about eFile is the reduction of errors. In the past, repeated editing of Word files allowed for a great amount of error (which I discovered when doing the basic entering). So too was the case with the constant changing of format with each annual edition of The Call. With eFile, one can research each entry, make sure the information is completely correct (e.g., final title, publishing date, etc.) and know that even if in the future the format changes, the basic data will not. Updating

and editing are easy. In time, it will reduce tremendously the amount of paper copies generated. The fact that it is electronically available, allows for all faculty who wish to review the file to do so at their convenience (even if that is at 2 a.m.). The subheadings in the snapshot allow one to move quickly to the area one is interested in without sifting through pages of paper."

Robin Whittington Academic Personnel Analyst – Sociology College of Humanities, Arts and Social Sciences

"The Efile system has the capacity to store a wide range of faculty data for a variety of uses in a uniform matter and is ingenious in the way it creates and routes files. It is very straightforward to use for adding a wide range of faculty scholarly activities and has the potential to reduce the possibility of losing information and to help lower future workload. It is especially useful for keeping errors out of complex citations of foreign or technical titles, since once they are correct in the system, they will not have to be retyped. Citations are much more uniform, keeping proofreading at a minimum. There are opportunities built in the system to upload data from other systems, reduce paper waste and it will make it more flexible for faculty to review files. To be able to envision the future use of the system and to successfully submit an Efile merit was a milestone of progress."

Tala Martinez
MSO Art & Art History
College of Humanities, Arts and Social Sciences

"The new efile system, which is fully deployed in our department has had numerous extremely positive effects. It has completely changed my fall schedule from one that was dominated by merits and promotions to one in which the personnel process is manageable and allows time for other endeavors. It has allowed me and the faculty the flexibility to review files while away from campus and as a result has increased faculty participation significantly. It has caused faculty candidates to take responsibility for their own personnel files to an extent not seen before, and therefore has relieved our personnel staff person of a considerable burden. It has obviously streamlined the entire process, made it more efficient, reduced time spent, and saved paper. Finally, it is relatively free of any significant bugs and errors, at least for the users, due to the extraordinary effort of its developers and my faculty are pleased to use it. This whole endeavor deserves great recognition for the UCR staff who developed and deployed it."

Jodie Holt Professor and Chair Botany and Plant Sciences Department

"I have had the opportunity to utilize eFile in two contexts. My merit file in the 2007-08 academic year was an eFile. In addition, as Divisional Dean for the Life Sciences, I have evaluated all of the merit files for the departments of Botany and Plant Sciences, Biology, Biochemistry, and Cell Biology and Neuroscience as eFiles.

I am an enthusiastic supporter of the eFile system. While the system can be tweaked for improved performance, overall this program is fantastic. I love the fact that the faculty files are in a uniform format. This really eases the evaluation of files. I know where to find every piece of

information in the eFile. I find that I am spending less time in file evaluation overall. This is in part due to the uniformity of the files but also due to the fact that I can access the files at any location when I have the time. This accessibility allows me to review the file in the Deans office, department office or at home. It is more secure than the paper files since I no longer carry a "to be evaluated" file with me. I look forward to the day that promotions and career reviews are also eFiles.

From the perspective of a faculty member, I have also found eFile a plus. While it took a little bit of time to get the entered information accurate, since that time, eFile is a breeze. eFile has eliminated my need to keep an excel file of my professional activities. I use eFile to keep track of my published manuscripts, grant and paper reviews and invited presentations. While assembling my file, I sometimes pondered where an entry should be located. I found that my BPS liaison (Sherice Underwood) always identified the correct place for an entry rapidly. It should be noted; I also had these entry location questions with the paper version of merit files.

eFile is a faster, long lasting and flexible mechanism for evaluation of merit files by the departments and Deans."

Dr. Linda Walling
Divisional Dean for Life Sciences, CNAS
Department of Botany & Plant Sciences/ Center for Plant Cell Biology

Timeframe of Implementation

- Fall 2006 The eFile system pilot for faculty Merit files began.
- June 2007 The eFile system pilot was completed with 5 Merit files electronically routed and evaluated.
- Spring and summer 2007 Many training sessions were held for both faculty and staff in order to prepare for a phase 1 deployment of Merits for CHASS and CNAS departments.
- Fall 2007 Phase 1 deployment of Merits began with participation from CHASS, CNAS, Bourns College of Engineering, Biomedical Sciences, and Graduate School of Education; some departments participating and processing all Merits through the eFile system and some departments processing just one Merit through the eFile system.
- Spring 2008 340 eFiles exist and 88 Snapshots are being processed in the eFile system. 60 Snapshots have been completely routed through the online system with a final decision from the Vice Provost.

Importance and Relevance to Other Institutions

UCR has been approached by several UC campuses, including Berkeley and UCSF, who would like to investigate implementing eFile. A Memorandum of Understanding was created to allow UC campuses to install, host and customize eFile to their needs.

Vision for the future of the eFile system

Future enhancements to the eFile system may include:

 Departmental control of ordering of Publications, University Service, and Professional Service

- Snapshot Viewing Multiple Browsers Windows to View Various Sections Support for 2^{nd} , 3^{rd} , Merit specifications and Final Review Outcome
- Support Joint Appointments
- Ability for Faculty to generate Snapshots
- Support for Promotion / Advancements

Site URL

http://efileinfo.ucr.edu/

Submitted by

Eric Martin Project Manager UC Riverside Computing & Communications eric.martin@ucr.edu (951) 827-6424

Selected Screenshots of the eFile System

eFile - Faculty Career Information Sections

VERSIDE Academic Personnel eFile System eFile System ERIC | Exi eFile Detail For Jodie Holt Chair & Professor of Plant Physiology & Plant Physiologist Back to eFile Listing You may review and revise any section of the e-File up until the time you choose to submit the e-File. **Self Statement** Please read these instructions before beginning this section. Self Statement **Personal Profile** Please read these instructions before beginning the e-File. Biographical Information Employment History Education · Membership, Honors, and Awards Published Writings, Patents, and Creative Activities Please read these instructions before beginning this section Published Writings ■ Creative Activities - Under Construction • Difference List Cover Sheet (Optional) **Grant / Gift Activities** Please read these instructions before beginning this section. Grant / Gift Activities Teaching Load Data and Student Support Activities Please read these instructions before beginning this section Teaching Load Data and Student Sponsorship Professional Activity and Service Please read these instructions before beginning this section. Professional Activity and Service University and Public Service Please read these instructions before beginning this section. University and Public Service Other Information Please read these instructions before beginning this section. - Letters of Recommendation Other Information (Optional) • Letters from Other Departments/Programs, Institutes and Centers · View All (Web Page Generator) Curriculum Vita Please read these instructions before beginning this section. Curriculum Vita Generator

eFile Entry of Published Writings Academic Personnel eFile System Published Writing ? Help Publication Type Technical Publication Sub Type Journal Articles Stage of Publication Published Referee Status Electronic Yes Invited Yes Year of Publication Article Title (Do Not Abbreviate) B / U 🐰 🤖 选 ×, × Ω 🗐 Journal Name Page Number(s)* Number of Pages*

eFile Snapshot Overview (Showing partial Current Bibliography) UCRIVERSIDE Academic Personnel eFile System Routing and Approvals 🕐 Welcome, Eric Martin Consolidate Comments Snapshots in Progress Main Menu Print to a PDF ()
(Pop up blockers must be disabled)
Produce Eligible Faculty PDF
Produce a Comprehensive Faculty PDF Generating Snapshot Overview... Snapshot Review Routing/General Eligible Faculty Ad Hoc ? Help Candidate's Self Statement Comments: View All Comments
View Routing/General Comments
View Candidate Comments
View Ad Hoc Committee Chair Comments Current Biography
Current Bibliography of Publications / Creative Activity Bibliography at Last Advance Bibliography at Last Advance
Difference List
Professional Activity and Service
University and Public Service
Grant / Gift Activity
Teaching
Graduate Student Instruction
Student Evaluation of Teaching
Other - Non-Confidential View Faculty Review Comments Documents: Departmental Letter
Signed Procedural Safeguard Statements
Signed Procedural Safeguard Statements (2)
Signed Procedural Safeguard Statements (3) CURRENT BIBLIOGRAPHY OF PUBLICATIONS / CREATIVE ACTIVITY I. <u>Technical Publications</u> A. <u>Journal Articles</u> 1. Holt, J.S., Stemler, A.J., Radosevich, S.R. 1981. Differential light responses of photosynthesis by triazine-resistant and triazine-susceptible Senecio vulgaris biotypes. Plant Physiol. Vol. 67: p.744-748. (Refereed) 2. Holt, J.S., Radosevich, S.R., Stemler, A.J. 1983. Differential efficiency of photosynthetic oxygen evolution in flashing light in triazine-resistant and triazine-susceptible biotypes of *Senecio vulgaris* L. Biochim. et Biophys. Acta. Vol. 722: p.245-255. (Refereed) 3. Holt, J.S., Radosevich, S.R. 1983. Differential growth of two common groundsel (*Senecio vulgaris*) biotypes. Weed Sci. Vol. 31: p.112-120. (Refereed) 4. Holt, J.S., Goffner, D.P. 1985. Altered leaf structure and function in triazine-resistant common groundsel (Senecio vulgaris). Plant Physiol. Vol. 79: p.699-705. (Refereed) 5. Holt, J.S., Radosevich, S.R., Graves, W.L. 1985. Long-term effects on vegetation of herbicide treatments in chaparral. Weed 6. Horak, M.J., Holt, J.S. 1986. Isozyme variability and breeding systems in populations of yellow nutsedge (*Cyperus esculentus*). Weed Sci. Vol. 34: p.538-543. (Refereed) 7. Holt, J.S. 1987. Factors affecting germination in greenhouse-produced seeds of Oxalis corniculata, a perennial weed. Amer. J. Bot. Vol. 74: p.429-436. (Refereed) 8. Horak, M.J., Holt, J.S., Ellstrand, N.C. 1987. Genetic variation in yellow nutsedge (Cyperus esculentus). Weed Sci. Vol. 35: p.506-512. (Refereed) 9. Holt, J.S., Chism, W.J. 1988. Herbicidal activity of NAA (1-naphthaleneacetic acid) on creeping woodsorrel (Oxalis corniculata) in ornamentals. Weed Sci. Vol. 36: p.227-233. (Refereed) 10. Stowe, A.E., Holt, J.S. 1988. Comparison of triazine-resistant and -susceptible biotypes of *Senecio vulgaris* and their F1 hybrids. Plant Physiol. Vol. 87: p.183-189. (Refereed) 11. Holt, J.S. 1988. Reduced growth, competitiveness, and photosynthetic efficiency of triazine-resistant Senecio vulgaris from California. J. Appl. Ecol. Vol. 25: p.307-318. (Refereed) 12. Cudney, D.W., Jordan, L.S., Holt, J.S., Reints, J.S. 1989. Competitive interactions of wheat, *Triticum aestivum*, and wild oats, *Avena fatua*, grown at different densities. Weed Sci. Vol. 37: p.538-543. (Refereed) 13. McCloskey, W.B., Holt, J.S. 1990. Triazine resistance in *Senecio vulgaris* parental and nearly isonuclear backcrossed biotypes is correlated with reduced productivity. Plant Physiol. Vol. 92: p.954-962. (Refereed)

17-A. Wilen, C.A., Holt, J.S., Ellstrand, N.C., Shaw, R.G. 1995. Genotypic diversity of kikuyugrass (*Pennisetum clandestinum*) populations in California. Univ. Calif. 1995 Turfgrass Res. Releases. p.40-45. (Refereed) (REPRINT)

14. McCloskey, W.B., Holt, J.S. 1991. Effect of growth temperature on biomass productivity of nearly isonuclear triazine-resistant and -susceptible common groundsel (*Senecio vulgaris* L.). Plant, Cell and Environ. Vol. 14: p.699-705. (Refereed)

15. Holt, J.S., Orcutt, D.R. 1991. Functional relationships of growth and competitiveness in perennial weeds and cotton (*Gossypium hirsutum*). Weed Sci. Vol. 39: p.575-584. (Refereed)

16. Holt, J.S. 1994. Genetic variation in life history traits in yellow nutsedge (*Cyperus esculentus*) from California. Weed Sci. Vol. 42: p.378-384. (Refereed)

17. Willen, C.A., Holt, J.S., Ellstrand, N.C., Shaw, R.G. 1995. Genotypic diversity of kikuyugrass (*Pennisetum clandestinum*) populations in California. Weed Sci. Vol. 43: p.209-214. (Refereed)

eFile Snapshot Overview (Showing partial Teaching Load) Academic Personnel eFile System Routing and Approvals ? Welcome, Eric Martin Consolidate Comments Snapshots in Progress Main Menu Print to a PDF (Pop up blockers must be disabled)
Produce Eligible Faculty PDF
Produce a Comprehensive Faculty PDF eFile Merit (2007) for Jodie Holt Snapshot Snapshot Review Routing/General Ad Hoc Eligible Faculty ? Help Candidate's Self Statement Current Biography Current Bibliography of Publications / Creative Activity Comments: View All Comments
View Routing/General Comments
View Candidate Comments
View Ad Hoc Committee Chair Comments Current Bibliography of Publicatio Bibliography at Last Advance Difference List Professional Activity and Service University and Public Service Grant / Gift Activity Teaching Graduate Student Instruction Student Evaluation of Teaching Other - Non-Confidential View Faculty Review Comments Documents: Documents:
Departmental Letter
Signed Procedural Safeguard Statements
Signed Procedural Safeguard Statements (2)
Signed Procedural Safeguard Statements (3) **TEACHING Teaching Load Data** 2005 FALL SUBJECT CROSSLISTED CAMPUS TEAM TAUGHT PERCENT AND SUBJECT AND COURSE TITLE UNITS ENROLLMENT EVALUATION COURSE COURSE NUMBER NUMBER ECOSYS IMPCT OF INVASIVE BPSC 240 2.00 Riverside No 6 No SPECIES INDIVIDUAL Riverside No BPSC 291 VAR No STUDY:COORD THESIS OR Riverside No VAR BPSC 299 1 No DISSERTATION DIRECTED BPSC 297 VAR Riverside No RESEARCH 2006 WINTER SUBJECT CROSSLISTED TEAM CAMPUS TEAM TAUGHT AND COURSE **TAUGHT** SUBJECT AND UNITS ENROLLMENT EVALUATION COURSE TITLE PERCENT COURSE NUMBER NUMBER DIRECTED Riverside No BPSC 297 VAR 1 No RESEARCH 2006 SPRING SUBJECT CROSSLISTED CAMPUS TEAM TAUGHT AND SUBJECT AND TAUGHT COURSE TITLE UNITS ENROLLMENT EVALUATION COURSE COURSE PERCENT NUMBER NUMBER UC Riverside No TEACHING **BPSC 302** VAR No PRACTICUM DIRECTED Riverside No **BPSC 297** VAR 1 No RESEARCH FOUNDATIONS BPSC 104 BIOL 104 OF PLANT 4.00 60 Yes Riverside No

UCRIVERSIDE Academic Personnel eFile System Routing and Approvals Pending Dean's Recommendation Return to File Preparer Welcome, Eric Martin Consolidate Comments Snapshots in Progress Main Menu Print to a PDF (Pop up blockers must be disabled)
Produce Eligible Faculty PDF
Produce a Comprehensive Faculty PDF eFile Merit (2007) for Jodi Holt Associate Dean Reviewer Comments Dean's Analyst Comments Associate Dean Lead Comments Routing/General Comments Dean Comments Snapshot Review Information Snapshot Overview Documents Manage Associate Deans Open to Associates and Deans for Viewing and Comments Open to Associates Only for Viewing and Comments ⊙ Open to Dean Only for Viewing and Comments O Closed Name Net ID Title Add UCR Net ID Georgia Warnke WARNKE Professor Role Save Main Menu Net ID Remove Name Stephen Cullenberg SCULLEN Dean

Scott Coltrane

COLTRANE Associate Dean Lead

eFile Curriculum Vita Generator

