ADVANCE

Online Academic Appointment & Advancement

Submission for 2011 University of California Larry L. Sautter Award for Innovation in Information Technology
# Table of Contents

Project Information ............................................................................................................ 3  
Summary of Project Significance ...................................................................................... 4  
Project Description ............................................................................................................ 6  
Technology Architecture ................................................................................................... 8  
Timeframe of Implementation ........................................................................................... 8  
Objective Customer Satisfaction data ............................................................................... 9  
Appendix A: Candidate tools ........................................................................................... 10  
Appendix B: Academic Personnel Analyst tools ............................................................. 12  
Appendix C: Reference submission ................................................................................ 15  
Appendix D: Reviewer Tools ........................................................................................... 18  
Appendix E: Relevant links ............................................................................................. 20
Project Information

The following information is being submitted for consideration for the 2011 University of California Larry L. Sautter Award for Innovation in Information Technology.

Project Name:
Advance, Online Academic Appointment and Advancement System

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Summary of Project Significance

University of California policy requires that faculty be reviewed and evaluated on a regular basis, usually every two to four years depending on the series, rank and step. This process is called the academic appointment and advancement review and requires the development of a packet of information detailing a candidate’s accomplishments in research, education and healthcare.

Each year, the Vice Provost of Academic Affairs reviews more than 800 faculty advancement actions; Dean's Offices review those as well as hundreds of junior faculty and non-faculty academic actions. The paper-based UCSF promotion process workflow cycle took up to 18 months from initiation to completion and consumed enormous amounts of faculty and staff time.

The project team developed a matrix of functional requirements with UCSF faculty, staff, Deans, Directors, Chairs and the Vice Provost of Academic Affairs and then examined solution options developed by the UCSF School of Medicine, UC campuses, other higher education institutions and vendors. This examination was conducted in 2008 (and again in 2010 at the request of new leadership) and it was decided to build a custom solution that fulfilled the UCSF requirements and could potentially be shared across campuses.

The Advance System supports academics and staff across the campus by providing a streamlined web-based tool for submitting, tracking, and reviewing academic appointment and advancement materials. Concurrent collection of academic advancement data allows the university a means to evaluate the process and make meaningful changes to the campus merit and promotion framework.

Benefits

- **Supports UCSF Operational Excellence**: Much of the savings to be achieved in the Operational Excellence - Human Resources initiative is dependent on a centralized HR delivery model. This model, which has been vetted with senior campus leadership, relies on campus clusters of HR professionals who serve multiple campus/department clients. Because HR professionals will serve more than one client, a central, accessible repository of faculty data as well as automated academic processes, will be essential to providing consistent, compliant and efficient HR service to the campus.

- **Time savings by automating the paper process**: Moving from paper to an electronic packet provided tangible time savings at each step of the process.
  - Generating an eligibility list was reduced from days to minutes.
  - Reference gathering process was reduced from months to weeks.
  - Packet review was reduced from days to hours.
  - Routing a packet was reduced from hours to seconds.
  - Notification of decisions was reduced from days to seconds.

- **Reduces cost of processing appointment and advancement packets**: There will be an estimated 20% reduction in the cost of processing packets in fiscal year...
2011-2012 due to the efficiencies in administration and elimination of printing costs and soft savings due to recovery of faculty time (less time spent reviewing packets on paper) and an estimated 30% total cost reduction in the following fiscal year.

- **Record keeping improvements and efficiencies:** Since all documents and notifications related to these processes become part of the personnel record in Advance, shadow systems developed and maintained in individual departments can be eliminated.

- **Compliance to policy and process standardization:** Most departments handled the appointment and advancement process differently and did not necessarily understand or comply with UC policy related to appointment and advancement. The Advance system is built in accordance with UC policy and can reduce compliance liability if a grievance case is filed.

- **Printing, scanning and manual routing costs eliminated:** The paper-based process required manually printing and scanning of supporting documents. Paper packets were manually secured and delivered to the Department, the Dean’s Office and the Vice Provost’s office for sequential review. The web-based system eliminated the costs of these tasks.

- **Transparency:** Faculty candidates, faculty reviewers, and administrators can access the status of proposed actions simultaneously and in “real-time”.

- **Fills information gap:** Advance fills much of the gap in academic data and processes which cannot be addressed in the new campus HR management system (HRMS) which is scheduled to go-live in December 2011. Potential collaborations with other systems (CTSI, PubMed, local UC systems for contracts/grants, course evaluations, ) can occur with the centralized repository of academic CV information.
Project Description

In June 2008, the UCSF PMO, in partnership with the office of the Vice Provost of Academic Affairs, wrote the initial business plan for building Advance, a Faculty Information System. The Information Technology Services team subsequently took on the work of developing and implementing the system. The goal of Advance is to provide a single centralized repository of faculty information that can used for multiple business needs, including standardized reporting and automated business processes. It should be noted that this goal has taken on an added level of significance in light of the campus’ Operational Excellence (OE) initiative as the ability to realize cost savings identified in OE is dependent on the availability of tools such as Advance in the centralized HR delivery model.

Functionality for Advance includes centralized and accessible faculty information (Phase 1), and automation of the following processes: appointment and advancement process (Phase 2), stewardship reviews and leaves of absences (Phase 3) and recruitment (Phase 4). Phase 1 has been completed and Phase 2 will be completed by June 2011. Phase 3 will be completed in December 2011 and planning for Phase 4 is commencing now in collaboration with the UC Irvine Recruit staff.
Phase 1 was completed in April 2009 and combined the data tracking currently collected by the office of the Vice Provost of Academic Affairs (VPAA) with profile data from the payroll system in order to provide a clear description of current faculty appointment status. Features include a web interface that allows the faculty, department and Dean’s office users the ability to view appointment and packet history data and the ability for the Vice Provost, Academic Affairs office to update certain faculty information system data fields.

Phase 2 facilitates the academic appointment and advancement process by providing a streamlined tool for submitting, tracking and reviewing academic promotion materials for all academic actions within all series and ranks. Several modules for the electronic packet functionality were delivered that benefit faculty and administrative staff (see Appendices A-D for screenshots). These include:

- **My CV information** – allows faculty or their delegate to upload their CV and add or modify information; faculty can also create NIH Biosketch and UCSF CV reports

- **Proxy** – allows faculty to grant View or Modify access to another person (faculty assistant, mentor, Academic personnel analyst) to modify their CV information or add referee names to their packet

- **My Packet** – allows the faculty to certify a copy of their CV to their packet for review and to add names to the referee list for Academic personnel to contact for the reference letters that become part of the packet

- **Packet/Manage Packet** – enables Academic personnel to create a packet and provides for the creation of documentation that comprise the advancement packet as well as the ability to attach extraneous documents

- **References management tool** - allows direct entry of internal/external/teaching and mentoring reference information by candidates, administrators, automated notification to referees, entry of reference letters directly by internal/external/student referees and tracking/receipt of reference letters; this step in the process was identified as the most time-consuming bottleneck in the system and usage of this module has reduced the time that a packet has spent in the department.

- **Committees** – allows Academic personnel to define groups of reviewers to facilitate the decision-making process for a candidate’s packet; packets are routed to these committees where committee members can review and comment on the packet action

- **Packet Review/Faculty Vote Tools** – enables reviewers to review the packet elements as well as the online references; reviewers praised the ability to review the candidate’s CV using filters that provide different views of CV information

- **Packet Routing and Notification** – allows routing within the department and school, between departments and schools, to committees of reviewers, to individual reviewers, to the Dean’s Office, to the Vice Provost of Academic Affairs (VPAA) and to the Committee on Academic Personnel (CAP) and incorporates specific notification to reviewing parties
• **Vice Provost Administration** – functionality to allow users in the office of the Vice Provost, Academic Affairs to maintain email templates and other configuration elements of the Advance system (June 2011)

• **Reporting** – standard reports as defined by the office of the Vice Provost, Academic Affairs and Academic Personnel analysts

**Technology Architecture**

The following lists the technologies used for this application.

<table>
<thead>
<tr>
<th>Layer</th>
<th>Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authentication</td>
<td>MyAccess webseal service with migration to Shibboleth on June 30</td>
</tr>
<tr>
<td>User Interface</td>
<td>HTML/CSS/JSP/JSTL/JQuery/JavaScript</td>
</tr>
<tr>
<td>Middleware</td>
<td>Java, JEE (Spring Framework Core, Spring Security, Hibernate, JAXB, XMLBean, javamail), JasperReport, Aspose, POI, DWR, DisplayTag</td>
</tr>
<tr>
<td>Database</td>
<td>Oracle on AIX</td>
</tr>
<tr>
<td>AppServer</td>
<td>Websphere/Jboss</td>
</tr>
<tr>
<td>WebServer</td>
<td>Apache</td>
</tr>
<tr>
<td>OS</td>
<td>Linux/Windows</td>
</tr>
</tbody>
</table>

**Timeframe of Implementation**

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 2009</td>
<td>Appointment and packet history data web interface</td>
</tr>
<tr>
<td>January 2010</td>
<td>Eligibility list generation to facilitate the 2011 paper packet process</td>
</tr>
<tr>
<td>April 2010</td>
<td>Packet creation and References management module for collection of reference letters for the 2011 paper packet process</td>
</tr>
<tr>
<td>July 2010</td>
<td>Routing to Dean’s office and VPAA to facilitate the 2011 paper packet process</td>
</tr>
<tr>
<td>November 2010</td>
<td>CV upload tool released to allow UCSF project team to upload collected faculty CVs (~2500)</td>
</tr>
<tr>
<td>March 2011</td>
<td>My CV and Proxy module to allow faculty to review uploaded CVs, make their own edits, generate NIH Biosketch and UCSF CV outputs and designate others as proxies to update their CVs</td>
</tr>
<tr>
<td>April 2011</td>
<td>Electronic packet elements and review Tools</td>
</tr>
<tr>
<td>June 2011</td>
<td>Dean’s Office, CAP, VPAA review tools; VPAA system management tools; Shibboleth conversion</td>
</tr>
</tbody>
</table>
Objective Customer Satisfaction data

The following includes client feedback received following the product rollout and usage. The names have been omitted and replaced by titles.

I have meant to email you in the past 2 weeks as I wanted to let you know how happy I am with the Advance system. The painful reference request process has been completely streamlined and the reminder emails are a boon to me! Management of the packets is so much easier as one gets a snapshot of everyone in 1 page.

Many thanks!

Administrative Services Coordinator, Bioengineering/Therapeutic Sciences

Hi Team,

Just a quick kudos to you all. The referee/reference function is a godsend. Look forward to the new modules being as good!!!

Admin Director, Proctor Foundation

Thank you so much!!! Have a fantastic day and weekend too:-) I'm so glad we can have something like this to capture in full circle of the "promotion packets". Keep up the good work!

Assistant to the Chief of Cardio
Appendix A: Candidate tools
(The information depicted is fictional and does not represent a real candidate.)

Overview of current appointments and next eligible action

Salary and distribution information

Current packet locations
**My CV information**

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**John Adams**  (UCSF ID: 023334445)

**Overview** | **Salary** | **Packet tracking** | **MyCV** | **My Packet** | **For Review** | **Proxy**
---|---|---|---|---|---|---

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**EDUCATION:**

- 1975-1978: University of Michigan, Ann Arbor, B.S. Physical Therapy
- 1978-1983: University of California, Los Angeles, Ph.D. Biological Science
- 1994-1996: University of California, San Francisco, Postdoctoral Fellow
- 1996-2001: University of California, San Francisco, Neurobiology

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**LICENSES, CERTIFICATION:**

- 1990-2001: Medical Licensure, California

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**PRINCIPAL POSITIONS HELD:**

- 1990-2001: University of California, San Francisco, Assistant Adjunct Professor
- 1994-1996: University of California, San Francisco, Associate Adjunct Professor
- 1997-2001: University of California, San Francisco, Associate Professor

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**My Packet information**

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**John Adams**  (UCSF ID: 023334445)

**Overview** | **Salary** | **Packet tracking** | **MyCV** | **My Packet** | **For Review** | **Proxy**
---|---|---|---|---|---|---

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**Merit from Professor of Clinical Pathology, Step 5 to Professor of Clinical Pathology, Step 6**

- On-time action
- Years at Rank: 11
- Years at Step: 4
- Current % Time: 100%
- Proposed % Time: 100%
- Paid by Affiliate: none

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**Packet History**

<table>
<thead>
<tr>
<th>Action</th>
<th>Series</th>
<th>Rank</th>
<th>Step</th>
<th>Accr/Decr</th>
<th>Effective Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Merit</td>
<td>Clinical X</td>
<td>Full</td>
<td>5</td>
<td></td>
<td>06/12/1999</td>
<td>Approved</td>
</tr>
<tr>
<td>Merit</td>
<td>Clinical X</td>
<td>Full</td>
<td>4</td>
<td></td>
<td>07/01/2003</td>
<td>Approved</td>
</tr>
<tr>
<td>Appointment</td>
<td>Clinical X</td>
<td>Full</td>
<td>3</td>
<td></td>
<td>07/01/2003</td>
<td>Approved</td>
</tr>
</tbody>
</table>
Appendix B: Academic Personnel Analyst tools

Overview screen shows all packets in progress

Managing the packet: allows for packet creation and deadlines
ADVANCE: Online Academic Appointment & Advancement

Managing references: Multiple email reminders can be sent and tracked

Create Committees

Reviewer List
The Faculty Vote

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Vote Complete</th>
<th>Vote Due Date</th>
<th>Not Eligible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adama, John</td>
<td>Professor of Clinical Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Adama, John Quincy</td>
<td>Professor of Clinical Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Arthur, Chester Alan</td>
<td>Professor of Clinical Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Burns, Martin Van</td>
<td>Associate Professor in Residence Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Bush, George H. W</td>
<td>Associate Professor of Clinical Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Cleveland, Grover</td>
<td>Associate Professor in Residence Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Taylor, Zachary</td>
<td>Professor of Clinical Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
<tr>
<td>Washington, George</td>
<td>Associate Professor in Residence Medicine</td>
<td></td>
<td>04/04/2011</td>
<td></td>
</tr>
</tbody>
</table>
Appendix C: Reference submission

The referee will receive an email request for a reference and a link to provide their assessment. They are also given the opportunity to opt-out and Advance will track these statistics. Advance allows for three types of references: Intramural, Extramural and Teaching and Mentoring assessments. The reference management module allows the referee to view the CV online as well as view any PDF attachment.

Email request

Dear Ms. Fong,

Dr. Jonathan Adams is being considered for Merit to Full Professor, Step 1 at UCSF, effective 07/01/2012.

Your name has been given as a reference for an assessment regarding Dr. Alexander's teaching and/or mentoring performance and the impact he/she may have had in your education, training and career. Please use the following hyperlink to access a website where your comments can be collected.

Provide reference

In order to consider your assessment in the review process, we need your response no later than 05/31/2011. If you cannot, or do not wish to, provide input by the deadline date, please click the hyperlink and so indicate.

Sincerely,

John Smith, PhD
Professor and Chair
Department of Cell and Tissue Biology

Opt-in/Opt-out
Intramural/Extramural Reference submission

Under University of California policy, the identity of authors of letters of evaluation, which are included in the personnel review files, will be held in confidence. A candidate may, upon request and at certain prescribed stages of the academic personnel review process, be provided access to such letters in redacted form. Redaction is defined as the removal of identifying information (including name, title, institutional affiliation, and relationship to the candidate) contained either at the top of the letterhead or within and below the signature block of the letter of evaluation.

The full text of your letter will therefore be provided to the candidate if so requested. Thus, if you provide any information that tends to identify you in the body of the letter, that information may become available to the candidate. If you wish, you may provide a brief factual statement regarding your relationship to the candidate at the end of your letter but before the signature block. This brief statement will be subject to redaction and will not be made available to the candidate.

Although we cannot guarantee that at some future time a court or governmental agency will not require the disclosure of the source of confidential evaluations in University of California personnel files, we can assure you that the University will endeavor to protect the identity of authors of letters of evaluation to the fullest extent allowable under the law.

I have read and understand the UC Confidentiality Statement.

Please refer to the Chair's email when writing your recommendation. You should complete this section of the reference in such a way that your name, affiliation, and personal associations with the candidate are not revealed. This section is not subject to redaction. Note that at certain prescribed stages of the academic personnel review process, candidates will be able to access evaluations in redacted form if they choose to do so.

[NOTE: Your session will time out in ONE HOUR. To prevent any loss, please click 'Save as Draft'.]

If you wish, you may provide a brief factual statement regarding your relationship to the candidate. This brief statement will be subject to redaction and will not be made available to the candidate (maximum about 4,000 characters).

[NOTE: Your session will time out in ONE HOUR. To prevent any loss, please click 'Save as Draft'.]
Teaching and Mentoring assessment Reference submission

Under University of California policy, the identity of authors of letters of evaluation, which are included in the personnel review files, will be held in confidence. A candidate may, upon request and at certain prescribed stages of the academic personnel review process, be provided access to such letters in redacted form. Redaction is defined as the removal of identifying information (including name, title, institutional affiliation, and relationship to the candidate) contained either at the top of the letterhead or within and below the signature block of the letter of evaluation.

The full text of the body of your letter will therefore be provided to the candidate if so requested. Thus, if you provide any information that tends to identify you in the body of the letter, that information may become available to the candidate. If you wish, you may provide a brief factual statement regarding your relationship to the candidate at the end of your letter but before the signature block. This brief statement will be subject to redaction and will not be made available to the candidate.

Although we cannot guarantee that at some future time a court or governmental agency will not require the disclosure of the source of confidential evaluations in University of California personnel files, we can assure you that the University will endeavor to protect the identity of authors of letters of evaluation to the fullest extent allowable under the law.

I have read and understand the UC Confidentiality Statement.

Submit
Appendix D: Reviewer Tools

Reviewers will see packets added to their For Review page and click on the name to review the packet elements.

Packet Elements
CV filters to change views
Appendix E: Relevant links

Advance Project:
http://its.ucsf.edu/main/projects/facultyadvancement.html

Academic Affairs – Advance information:
http://academicaffairs.ucsf.edu/advance/index.php

Advance Guides for Faculty and Academics:
http://academicaffairs.ucsf.edu/advance/guidesfaculty.php

Advance Guides for Academic Personnel Analysts:
http://academicaffairs.ucsf.edu/advance/guidesapas.php