

October 10, 2016

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0225

Subject:*SIO Department Academic Personnel***Report 2017-28**

The final report for SIO Department Academic Personnel #2017-28 is attached. We would like to thank all members of the department for their cooperation and assistance during the review.

Because the report does not contain any management action plans, a formal response to the report is not requested.

UC wide policy requires that all draft reports be destroyed after the final report is issued. We also request that draft reports not be photocopied or otherwise redistributed.

David Meier
Director
Audit & Management Advisory Services

Attachment

cc: Judy Bruner
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UC San Diego

AUDIT & MANAGEMENT ADVISORY SERVICES

SIO Department – Academic Personnel

Report No. 2017–28

October 2016

FINAL REPORT

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TABLE OF CONTENTS

I. EXECUTIVE SUMMARY 3

II. BACKGROUND..... 4

III. AUDIT OBJECTIVE, SCOPE, AND PROCEDURES 4

IV. CONCLUSION..... 5

V. SUPPORTING COMMENTS 5

ATTACHMENT A – SIO Academic Personnel File Preparation Flowchart

ATTACHMENT B – Academic Personnel Online Review File Preparation Flowchart

I. EXECUTIVE SUMMARY

Audit & Management Advisory Services (AMAS) has completed a review of Scripps Institution of Oceanography (SIO) Academic Personnel Files as part of the approved audit plan for fiscal year (FY) 2016-17. The objective of our review was to evaluate SIO's internal controls for academic appointments and compliance with policies including the Academic Personnel Manual.

We concluded that SIO's internal controls were adequate to ensure that processes were performed in compliance with University policies. However, due to the time and labor intensive nature of their manual processes, we noted that SIO could benefit from an electronic review system that would reduce processing and routing times and increase efficiencies.

Academic Personnel On-Line (APOL) is an electronic system implemented in FY 2009-10 to process a variety of academic personnel actions including merits, reappointments, appraisals, and promotions. The purpose was to streamline manual processes in an effort to increase efficiency for a number of personnel actions. However, Academic Affairs has indicated that future enhancements will not be made to the current campus academic personnel action review system, and it will be placed in maintenance mode and phased out beginning in October 2016. In the absence of future developments to the current system, a new review program is scheduled to be implemented in mid-2017 that will be inclusive of all campus departments, including SIO.

Supporting comments are described in greater detail in section V. of this report.

II. BACKGROUND

Audit & Management Advisory Services (AMAS) has completed a review of Scripps Institution of Oceanography (SIO) Academic Personnel file processing as part of the approved audit plan for fiscal year (FY) 2016-17. This report summarizes the results of our review.

SIO is an academic department of the University of California San Diego (UCSD) with a focus on marine and earth science research and education. SIO offers three Doctoral programs, two Master of Advanced Studies (MAS) programs, three Master Science programs, and an Undergraduate program that includes both degrees and minors. Academic personnel (AP) functions within SIO are managed jointly between the Dean's Office and the SIO Department, both of which operate under the Vice Chancellor of Marine Sciences. AP review actions are primarily managed by a small staff of three within the SIO Dean's Office (DO), while the SIO Department manages recruitment efforts and provides support to the DO for AP review actions on an as needed basis. The DO staff manage file preparation and reviews throughout the entire process, working closely with the Dean on file reviews, and meeting with SIO's Committee on Academic Personnel (CAP). They also provide annual training to AP administrative staff in other SIO sections.

The University process for academic personnel actions involves multiple layers of review and approval based on the action type. Reviews begin in the department to whom the academic belongs. In some instances, the Dean is the final approving authority. However, review by UCSD campus CAP is required for certain actions, including, but not limited to above-scale salary merit, appraisal, promotion, and accelerated advancement. Once campus CAP has made a determination, their recommendation is forwarded to the Executive Vice Chancellor for final authority. SIO reviews have additional review layers, including SIO CAP and the Associate Dean, that reviews and provides recommendations on AP actions prior to campus CAP review.

Academic Personnel On-Line (APOL) is an electronic system implemented by UCSD in FY 2009-10 to process a variety of academic personnel actions including merits, reappointments, appraisals, and promotions. The purpose was to streamline manual processes in an effort to increase efficiency for a number of personnel actions. APOL offers a suite of services including AP Data, e-Recruitment Plan, Recruit, Review, Appointments, and Leaves. Currently, the greater UCSD campus employs the e-Recruitment Plan, Recruit, and Review services of APOL. SIO only utilizes the e-Recruitment Plan and Recruitment portions of APOL, which provide electronic plan routing for recruitment plans and an electronic job application, respectively. These processes are both managed within the SIO Department. The DO manages academic file preparation and review outside of APOL, via a manual system.

III. AUDIT OBJECTIVE, SCOPE, AND PROCEDURES

The objective of our review was to evaluate SIO's internal controls for processing academic files and compliance with policies including the Academic Personnel Manual. In order to achieve our objective, we performed the following:

- Reviewed:
 - UCSD Policies and Procedures Manual (PPM) 230-20: *Appointment of Academic Personnel*,

- UCSD PPM 230-28: *Academic Advancements and Reappointments*,
 - UCSD PPM 230-29: *Policies and Procedures to Assure Fairness in Academic Review Process*,
 - Academic Personnel Manual (APM), and
 - Academic Affairs' Academic Personnel Services website,
- Interviewed the following employees regarding academic personnel processes:
 - Director, Academic Information Systems, Academic Affairs (AA),
 - Director, Academic Policy Development, AA,
 - Assistant Vice Chancellor, AA,
 - Associate Dean of AA, SIO
 - Manager, SIO Department,
 - Manager of AP, SIO DO,
 - Academic Personnel Analyst, SIO DO,
 - Human Resources/AP Specialist, SIO Department, and
 - Principal Analyst, Operational Strategic Initiatives,
 - Reviewed APOL's file preparation and review processes (See **Attachment A** for a flowchart of the APOL file preparation process), and
 - Reviewed SIO recruitment file preparation and review processes (See **Attachment B** for a flowchart of SIO's file preparation process).

IV. CONCLUSION

Based on our review, we concluded that SIO's internal controls in processes supporting academic personnel actions appeared adequate to ensure that processes were performed in compliance with University policies. We observed that the SIO academic personnel file preparation and review process involved an additional level of review by their own CAP, not generally included in the academic personnel processes of the greater UCSD campus. This additional level of review along with the number of joint and split academic appointments at SIO have contributed in SIO being unable to participate in APOL's Review service due to system limitations. While SIO's processes were in compliance with University policies, it relied heavily on manual file preparation and review, which is labor intensive and time consuming for DO staff tasked with managing the process. SIO could benefit from an electronic review system that would reduce processing and routing times and increase efficiencies. Our observations are described in greater detail in the remainder of this report.

V. SUPPORTING COMMENTS

SIO manages their AP review actions outside of APOL. The process is very tedious and time intensive as it involves gathering and maintaining both electronic and hard copy files for each candidate during file preparation as well as creating an additional online file for reviewers once the formal review is ready to begin. As an electronic processing system for academic review files, APOL Review acts as a central repository for all documents and allows reviewers to independently upload and provide electronic signatures. SIO's manual process is longer due to a number of internal reviews that SIO performs on

candidate's Bibliography/Biography and University Academic History documents as a way to ensure accuracy and compliance with policy prior to the formal file review. While time consuming, these additional layers of review were intended to shorten the formal review timeline as they decreased the chance that the file would be returned for revisions later in the process.

Prior to its implementation, APOL was envisioned to support the entire campus AP process, including SIO. However, some departments have been unable to utilize certain streamlined functions due to system limitations within its services, including APOL Review. While initially conceived to meet the needs of all campus departments, APOL Review it is not capable of accommodating the entire campus community in its current state. According to AA, APOL Review cannot process the following actions:

- Actions for academics with joint appointments or split appointments;
- Actions for series that are reviewed by campus-level panels/committees other than UCSD's Committee on Academic Personnel (CAP);
- Actions requiring review by a reviewing body for which there is not yet a role in Review (e.g. School of Medicine CAP, Skaggs School of Pharmacy and Pharmaceutical Sciences CAP, and SIO CAP);
- Career equity reviews;
- Terminal reappointment; and
- Retention or pre-emptive retention.

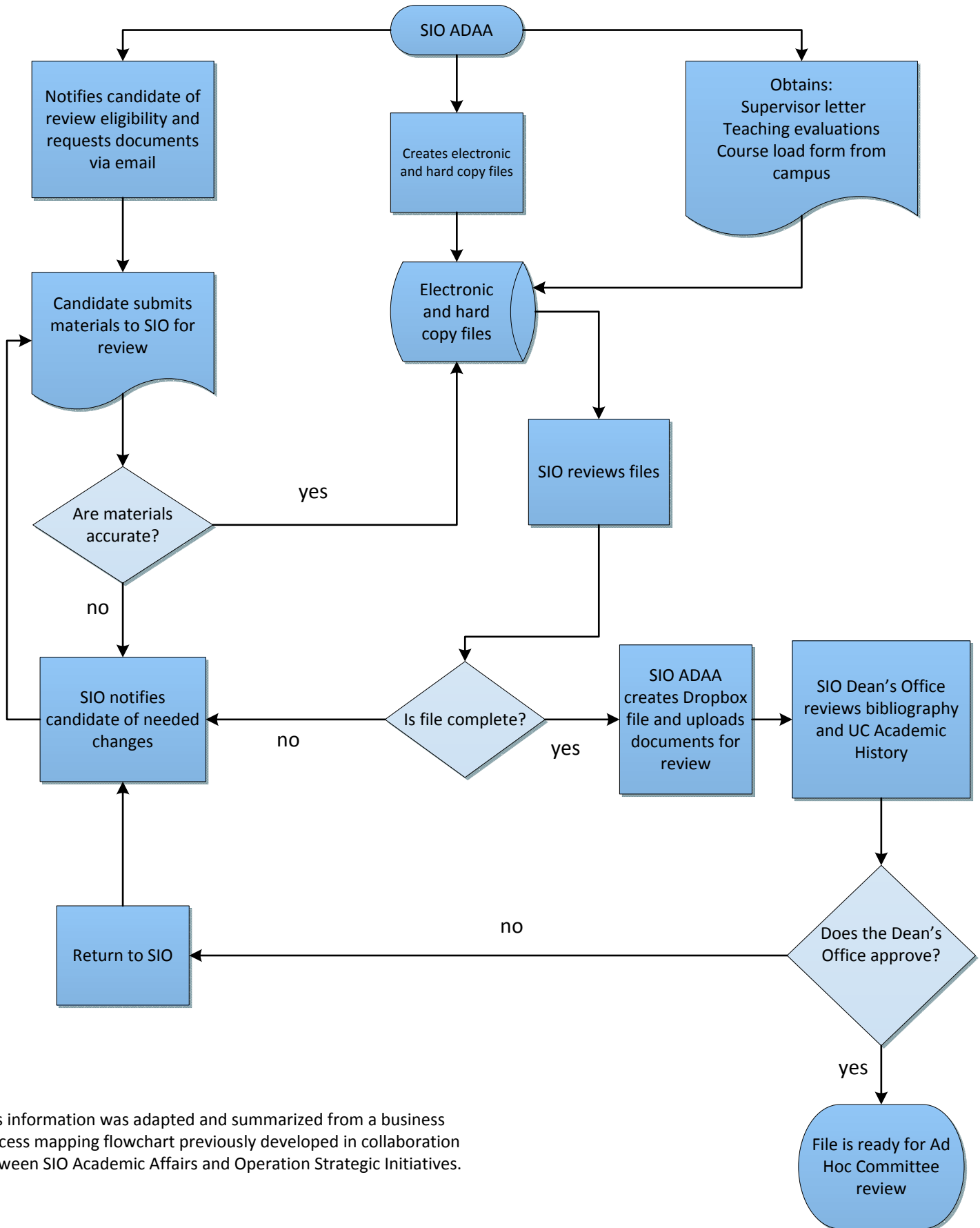
Of the actions listed above, SIO has academics with joint and split appointments as well as its own CAP, which does not currently have its own role in APOL Review. For these reasons, SIO has been unable to utilize APOL Review and has had to rely on manual functions to process AP actions.

UCSD AA has indicated that future enhancements will not be made to APOL Review as the system will be placed in maintenance mode and phased out beginning in October 2016. In the absence of future developments to the current system, AA will be implementing a new review program.

In selecting the new system, AA first mapped out campus department work flows for AP actions, including SIO. As all campus departments must adhere to the APM, AA selected a system that will accommodate basic processes for all academic merits and promotions, including joint and split appointments, across all campus departments. AA indicated that the system may be able to include some system configurations to address specific non-standardized processes. However, some additional department processes not required in the APM may need to continue to be processed outside of the new system as its main emphasis is to be compliant with APM policies.

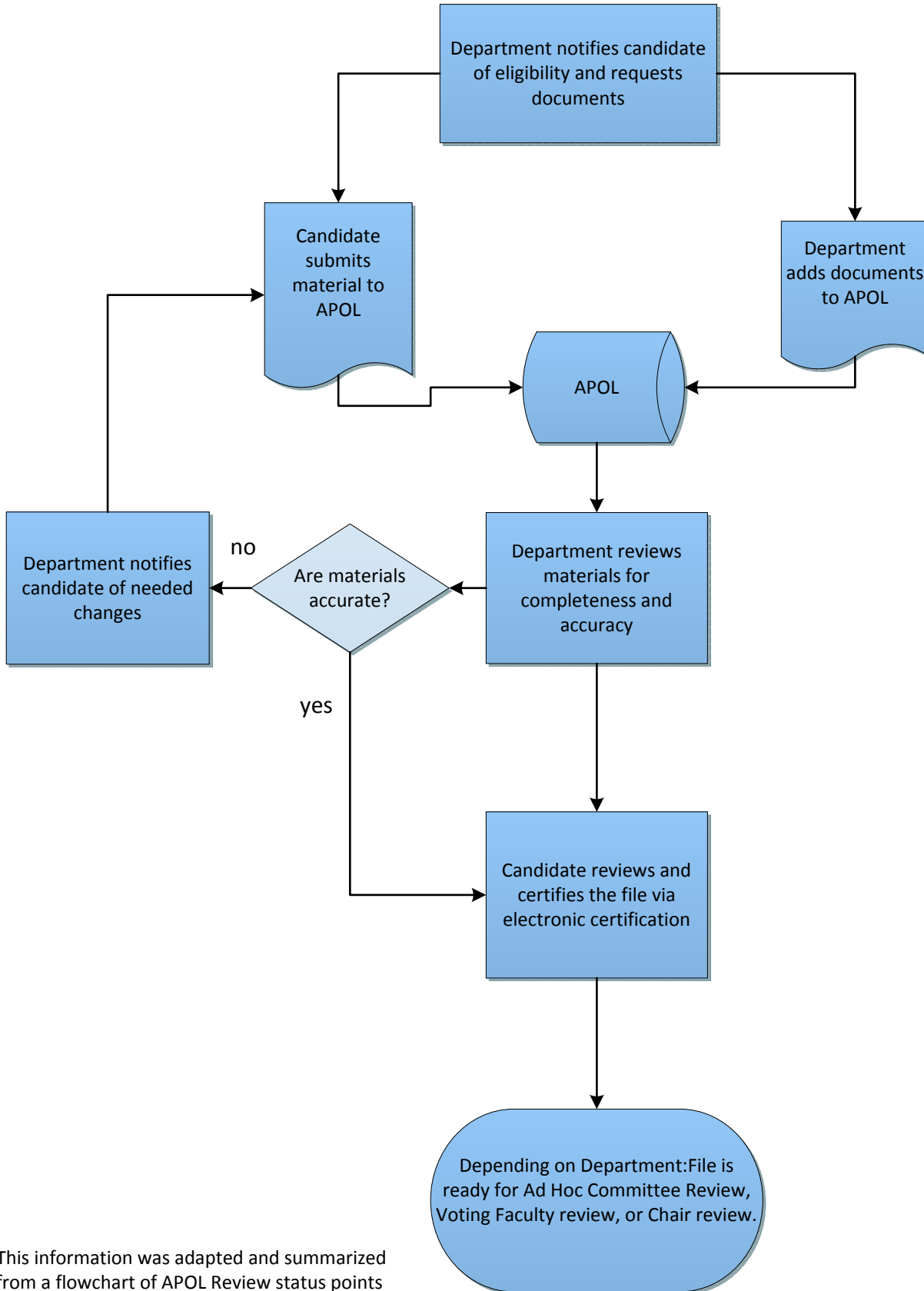
According to AA management, when the new academic personnel system has been implemented, all campus departments will be expected to participate. AA has indicated they are close to finalizing the successor program and have estimated that the process to test and implement the new review system will take approximately 18 months after APOL Review begins its planned phase out in fall 2016, with the hope that the new system can enter a pilot mode in July 2017.

**SIO Academic Files
Audit and Management Advisory Services Project
#2017-28
SIO Academic Personnel File Preparation Process**



This information was adapted and summarized from a business process mapping flowchart previously developed in collaboration between SIO Academic Affairs and Operation Strategic Initiatives.

**SIO Academic Files
Audit and Management Advisory Services
Project #2017-28
Academic Personnel Online Review System
File Preparation Process**



This information was adapted and summarized from a flowchart of APOL Review status points provided by UCSD Academic Affairs.