

COMMITTEE ON ACADEMIC PERSONNEL Annual Report, 2014-15

To: Academic Senate, Santa Cruz Division

The Committee on Academic Personnel (CAP) is charged with providing Senate consultation on faculty personnel cases, and for making recommendations on appointments, promotions, merit increases, and mid-career appraisals for Senate faculty, adjunct faculty, and professional researchers to the deciding authorities: Chancellor, Campus Provost/Executive Vice Chancellor (CP/EVC), and Divisional Deans. In no case is CAP the deciding authority.

In the year 2014-15, CAP had two representatives from the Arts (including the Chair), one from Engineering, two from Humanities, two from Physical and Biological Sciences, and two from Social Sciences. The committee reviewed and made recommendations on 240 personnel cases; the final administrative decider concurred roughly 83% of the time.

Workload

In 2014-15, CAP continued its established practice of meeting weekly on Thursday afternoons. The Committee had two orientation meetings in the fall, and then met to review files 31 times during the academic year (8, 11, and 11 sessions in fall, winter, and spring quarters, respectively, as well as one meeting during the summer of 2015).

As noted above, CAP made recommendations this year on 240 personnel cases. Roughly 52% of the cases involved requests for accelerations and/or greater-than-normal salaries, which typically require more discussion than do normal merit reviews.

The number of appointment cases reviewed increased since the previous year. In 2013-14, CAP reviewed 54 appointment files, 51 of which were ladder-rank. This year (2014-15), CAP reviewed 58 appointment files, 50 of which were ladder-rank. CAP reviewed 1 reconsideration request in 2014-15. The number of retention cases remained the same as last year, with 8 reviewed in 2013-14, and 8 reviewed this year (2014-15). For more on retentions, see the section below.

CAP's Recommendations Compared to Administrative Decisions

During 2014-2015, the final administrative decision and CAP's recommendation concurred roughly 83% of the time (194 out of 234 completed files, with 2 review files being withdrawn before a final authority's decision, and 4 carried over to 2015-16). Although a few disagreements concerned rank and/or step, the overwhelming majority of them involved salary increments, typically in the range of ½ step.

Of the 40 disagreements, 9 involved a decision about the appropriate step. Of these 9, the Dean, CP/EVC, or Chancellor decided on a higher step in 7 instances and a lower step in 2 instances.

The remaining 31 disagreements concerned salary (21 with Dean's authority, 9 with CP/EVC's authority, and 1 with Chancellor's authority). In the Dean's authority cases, CAP recommended a higher salary than was awarded in 6 cases and a lower salary in the remaining 15 cases. Salary

disagreements occurred with the Arts Dean in 3 cases, with the Physical and Biological Sciences Dean in 8 cases, with the Social Sciences Dean in 4 cases, with the Humanities Dean in 6 cases, and with the Engineering Dean in 0 cases. In the 9 CP/EVC's authority cases, CAP recommended a higher salary than was awarded in 5 cases and a lower salary in the remaining 4 cases. Finally, in the Chancellor's authority case, CAP recommended a higher salary than was awarded.

CAP members are particularly attuned to the issue of salary inequity because we are the only reviewers who offer recommendations on *all* personnel actions across campus. Therefore, CAP would like to initiate the tracking of the divisional distribution of faculty in all cases in which the final decision differs from CAP's recommendation. Because the study entitled "Metrics for Evaluating Faculty Advancement," issued by the Committee on Faculty Welfare (CFW) in March 2012 and confirmed by later updates, indicates that serious salary inequities exist among academic divisions on campus, CAP has begun looking for significant patterns in salary recommendations that might contribute to the current situation. The salaries of Arts faculty are of particular interest given that they are significantly lower on average than those of faculty in all other UCSC divisions.

CAP is interested in how campus review practices might be contributing to this apparent inequity. For 2014-15 CAP reviewed 68 files that were Chancellor's or CP/EVC's authority: 9 from the Arts; 10 from the Humanities; 12 from Social Sciences; 25 from PBSci; and 12 from SOE. The CP/EVC disagreed with CAP on 3 of the Arts files reviewed (33%); in all cases the CP/EVC decision was lower than that recommended by CAP. The CP/EVC disagreed with CAP on 2 Humanities files (20%); in both cases the CP/EVC decision was lower than that recommended by CAP. The CP/EVC disagreed with CAP on no Social Sciences files (0%). The CP/EVC disagreed with CAP on 3 PBSci files (12%): 1 lower, 2 higher. The CP/EVC disagreed with CAP on 1 SOE file (8%); the final decision was higher than that recommended by CAP. The Chancellor disagreed with CAP on 1 case—a Social Sciences file; the final decision was lower than that recommended by CAP. Although these numbers are too small on which to base any conclusion, they do raise a concern: the CP/EVC disagreed with a greater percentage of Arts files than the files of faculty in other divisions and always rendered a lesser outcome. We are hopeful that CAP will continue to track these numbers, and might then be able to identify possible biases inherent in UCSC's system of review, and determine appropriate remedies.

Case Flow, Ad Hoc Committees

CAP's workflow was typical of prior years. There were only 4 cases from 2014-15 that were not completed (due to *ad hoc*s, requests for more information, and pending authority decisions) and were carried over to 2015-16.

Delays in the review of files are rarely due to CAP. Our process involves an efficient turnaround from receipt of a file to submission of a recommendation letter. Exceptions may occur when an unusually large number of files comes in during a single week, in which case some files may be delayed (usually no more than one week), or when a file requires further information or analysis. Pressing retention files are usually reviewed within a few days of receipt, and letters are sent

immediately.

Any file that requires an *ad hoc* committee is seen by CAP twice; first, such a file is held by CAP for about a week for review and the recommendation of names for an *ad hoc* committee. Then, when the *ad hoc* committee's letter is completed, the file is considered again. It should be noted that CAP nominates members of these committees (typically nine nominees), but the appointment of members and supervision of the *ad hoc* committee review is the responsibility of the administration. In our view, the Academic Personnel Office (APO) has been very efficient in forming committees quickly and ensuring that the letters are finished and returned to CAP in a timely manner.

In recent years, the campus has reduced the use of *ad hoc* committees, bringing our campus more in line with practices on other UC campuses. Typically CAP does not request an *ad hoc* committee for midcareer reviews, advancement to Step VI, appointments, or promotion to Professor, unless there is substantial disagreement at previous levels of review. However, for major promotions, when there is disagreement between department and dean, or there are one or more "no" votes in a department, CAP is likely to request the additional perspective of an *ad hoc* committee. This year, 3 cases had *ad hoc* committee reviews. Of the 3 *ad hoc* committees that were formed, 2 met to review promotion cases, and 1 to review a merit increase case.

During 2014-15, 9 Senate members served as members of *ad hoc* committees. The academic personnel process cannot function without our colleagues' continued willingness to serve in this capacity. CAP thanks its Senate colleagues who served and encourages other faculty members to consider agreeing to serve in the future.

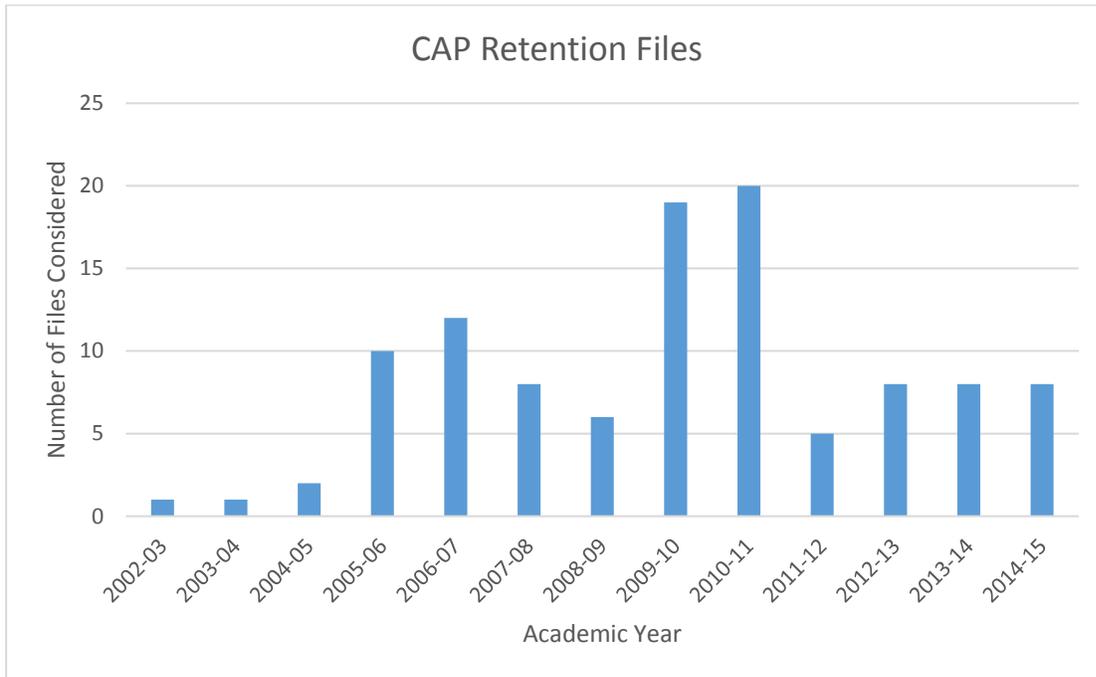
Retention

The loss of excellent faculty is a concern on our campus as well as across the UC system. CAP's goal in making recommendations on these cases is always to retain outstanding faculty, while also considering issues of equity with other faculty. The long-term goal is to improve salaries on our campus and across the UC system. The systemwide Academic Senate continues to seek remedies for the gap between UC faculty salaries and those of the "Comparison Eight Institutions."¹

As noted above, CAP reviewed 8 retention files in 2014-15. One of the retention files was for a faculty member whose file was seen twice, having had a regular merit or promotion case in the same year. In light of the work that the Committee on Faculty Welfare (CFW) has been doing in recent years on the possible effects of UCSC faculty total remuneration on recruitment and retention, CAP finds it important to note that of the 8 cases, 3 retention offers were successful and 2 were unsuccessful; the committee has no information regarding the remaining 3.

¹ The "Comparison Eight Institutions" include the University of Illinois, the University of Michigan, the University of Virginia, SUNY Buffalo, Harvard University, Massachusetts Institute of Technology, Stanford University, and Yale University.

The graph below shows the number of retention files considered by CAP since 2002-03.



Suggestions for Improving Personnel Files

Through the years, CAP has provided suggestions on how to improve the preparation of personnel review files. In the July 22, 2013 CP/EVC and CAP Chair Annual Memo, CAP requested that starting with all 2013-14 academic reviews, departments provide a table of the teaching done during the review period that includes a summary of the quantitative course evaluations regarding teaching effectiveness. This table has proven to be extremely useful as it provides comparable overview statistics for all faculty. It should be noted that a team of readers continues to read all of the evaluations in the review files. However, CAP members no longer have to spend their time tabulating course evaluations and can focus more time on reading individual student comments. CAP encourages the campus to consider adopting a system of student evaluation that can produce the requested table automatically, thereby making the teaching tables more consistent across campus while requiring less work on the part of departmental staff.

In Spring 2015, CAP updated its tips and suggestions for preparing and evaluating faculty files in the form of a “Top Ten List of Tips for Personnel Files for Chairs and Deans,” and a “Top Ten List of Tips for Faculty Preparing Personnel Files” to assist faculty in preparing their files. Both of these documents may be found on the CAP web page at:

<http://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html>.

Acknowledgments

The academic personnel review process depends on the accumulated work of many hands. We acknowledge AVC Pamela Peterson and the extraordinary staff of the Academic Personnel Office (APO). They are a group of special people, extremely knowledgeable, helpful, and hardworking. They are critical to the personnel review process, providing the information that CAP needs to get its work done. In particular, CAP members thank Chris Imai and Ibukun Bloom for their tireless efforts and great patience as we learned the DivData system. We also thank the departmental staff for their hard work and skill in helping to prepare and process personnel review files, and are grateful for the gifted and dedicated divisional academic personnel coordinators and analysts.

Our deepest appreciation goes to Jaden Silva-Espinoza, our Senate Analyst. While juggling the work of several Academic Senate committees, Jaden serves CAP with amazing efficiency and good humor. CAP is able to function smoothly only because of Jaden, whose quick-thinking, problem-solving and multitasking abilities are beyond compare. Her many contributions to the personnel review process are immeasurable.

We would also like to express our appreciation for the collaborative interactions with the divisional leaders—Interim Dean Berger, Dean Kamieniecki, Dean Koch, Interim Dean Konopelski, Dean Ladusaw, and Dean Stovall—and with our campus leadership—VPAA Lee, CP/EVC Galloway, and Chancellor Blumenthal.

We consider it a great privilege to have served on CAP this year, and are extremely grateful for our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted;
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