

June 9, 2023

LORI KLETZER

Campus Provost and Executive Vice Chancellor

**RE: Proposed Equity-Based Modifications for Faculty Review Processes:  
Career Equity Review, Special Salary Practice, and Salary Equity Review**

Dear Lori,

The Academic Senate has reviewed the bundle of proposed modifications for campus policy and practice: updates to the Career Equity Review (CER) policy; modification of the special salary practice (SSP) during promotion reviews; and the pilot Salary Equity Review (SER) program. The Committees on Affirmative Action and Diversity (CAAD), Academic Personnel (CAP), Faculty Welfare (CFW), and Planning and Budget (CPB) have reviewed and responded. Their communications are enclosed for your consideration.

After reviewing the viewpoints of the respective committees, we have identified areas of agreement and recommendations for improvement.

**Career Equity Review (CER):** All committees support expanding the qualifications for CER to include all Senate faculty, including Teaching Professors with security of employment. Additionally, there is agreement on extending the review period to include time at other UC campuses, if applicable. However, CAAD suggests making it clear in the policy that faculty members have agency in determining changes to the Special Salary Practice (SSP) during the CER process.

**Special Salary Practice (SSP):** CAP welcomes the proposed modification to SSP, which aims to provide more flexibility for off-scale salary adjustments. However, CAP requests clarification on whether future salary increases will be limited to the on-scale salary portion only. Furthermore, CAP advocates for a revision and possible elimination of the campus practice of limiting off-scale salary increases at barrier steps. All committees acknowledge the long-standing problem of faculty not having enough time before their next promotion following an accelerated promotion, and support the proposed solution.

**Salary Equity Review (SER):** All committees appreciate the effort to address inequities in faculty salaries through SER. CAP recommends allowing department chairs to initiate SER requests, as they are often more knowledgeable about the details of each faculty member. CAP and CFW strongly believe that SER actions should be available at any action, including merit increases. CPB suggests triggering SER by a time frame rather than *only at* major actions, to ensure timely addressing of salary imbalances. There is agreement among the committees that SER should not be governed by a competitive process, as it may perpetuate inequities. CPB also recommends using department, division, and campus data already available to simplify the comparator selection process. It is suggested that the choice of comparators should be carefully considered based on the overall salary equity strategy, with a goal of compressing faculty salaries towards the appropriate median or average.

Consensus Recommendations:

1. Clearly articulate the agency of candidates in determining changes to SSP during CER.
2. Request a commitment that future salary increases will always include off-scale salary components, when permitted by Office of the President policy.
3. Revise or eliminate the campus practice of limiting off-scale salary increases at barrier steps.
4. Allow department chairs to initiate SER requests and trigger SER at any action, including merit increases.
5. Avoid a competitive process for SER and use existing department, division, and campus and system-wide data for comparator selection.
6. Clearly differentiate and articulate the differences between CER and SER to address salary inequities effectively.

These recommendations aim to improve the proposed changes and ensure a fair and equitable salary review process. The committees value the opportunity to provide input and appreciate the administration's receptiveness to their concerns.

Thank you for your attention to these matters. The Senate appreciates the opportunity to provide consultation on the proposed implementation.

Sincerely,



Patty Gallagher, Chair  
Academic Senate

Encl: Senate Committee Responses

cc: Herbert Lee, Vice Provost for Academic Affairs  
Grace McClintock, Assistant Vice Provost for Academic Personnel  
Sylvanna Falcón, Chair, Committee on Affirmative Action and Diversity  
Stefano Profumo, Chair, Committee on Academic Personnel  
Alexander Sher, Chair, Committee on Faculty Welfare  
Dard Neuman, Chair, Committee on Planning and Budget  
Matthew Mednick, Executive Director, Academic Senate

May 19, 2023

Patty Gallagher, Chair  
Academic Senate

**Re: Proposed Equity-Based Modification for Faculty Review Processes**

Dear Patty,

The Committee on Affirmative Action and Diversity (CAAD) has reviewed the Campus Provost/Executive Vice Chancellor's Proposed Equity-Based Modification for Faculty Review Processes memo. CAAD appreciates the attention being given to career trajectory and salary.

Regarding the Career Equity Review (CER), CAAD supports expanding the review period to include time at a prior UC campus.

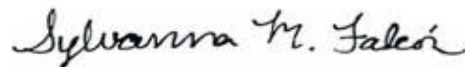
As for Special Salary Practice (SSP), the proposed modification seems to be motivated by disentangling the step promotion from the associated salary scale, giving more flexibility for off-scale and addressing a problem that largely exists for Associate level professors since we do not have a step 5 at UC Santa Cruz. CAAD recommends that the agency of the candidate in determining changes to the SSP be made clear in the policy. That is, as a campus we do not want to assume that faculty members, especially those newer to the campus, will know they are in a position to advocate for their rank and step when their cases are accelerated.

Regarding Salary Equity Review (SER), as stated in the letter, "The overarching goal of an SER program is to identify and correct a salary discrepancy between an individual's salary and a comparator group, which cannot be explained by differences in levels of achievement." CAAD had some questions about this one:

- Why are comparers only limited to a UC group?
- Why can't department chairs initiate SER and why limit SER to major reviews only?
- What is the timeline for SER implementation and will faculty who have had previous CER actions be eligible for SER before their next major promotion to Step 7/distinguished professor?

Lastly, CAAD requests that the differences between CER and SER be more clearly articulated, especially because the CER has been used in past actions to address salary inequities.

Sincerely,



Sylvanna Falcón, Chair  
Committee on Affirmative Action and Diversity

cc: Stefano Profumo, Chair, Committee on Academic Personnel  
Alexander Sher, Chair, Committee on Faculty Welfare  
Dard Neuman, Chair, Committee on Planning and Budget  
Steven Ritz, Chair, Committee on Career Advising  
Onuttom Narayan, Chair, Committee on Privilege and Tenure  
Eleonora Pasotti, Chair, Committee on Rules, Jurisdiction and Elections  
Senate Executive Committee

May 22, 2023

Patty Gallagher, Chair  
Academic Senate

**Re: Proposed Equity-Based Modifications for Faculty Review Processes**

Dear Patty,

During its meeting of May 11, 2023, the Committee on Academic Personnel (CAP) discussed CPEVC Kletzer's request for formal review of Proposed Equity-Based Modifications for Faculty Review Processes.

- **Career Equity Review (CER):** CAP commends the extension of the right to a CER to our Teaching Professor colleagues, and applauds as well the extension of the review period to include time at a prior UC campus when a CER candidate was hired from a senate faculty position elsewhere in the UC system.
- **Special Salary Practice (SSP):** CAP welcomes the proposal to allow awarding the salary equivalent of an acceleration while moving the faculty member a single step, so that faculty are better-placed on the ladder with respect to their progress toward their next promotion. The only concern CAP has is if future salary increases would be limited to the on-scale salary portion only, and asks the administration to commit, whenever possible and compatible with constraints from e.g. the Office of the President, to always extend salary increases to both the on- and off-scale salary components. Additionally, in this context, CAP advocates for a revision and a possible elimination of the campus practice of limiting off-scale salary increases at barrier steps; such limits have historically caused major equity issues on this campus. CAP also requests a clarification and revision of CAPM 803.620, which prevents faculty at Professor, Step V, from receiving a salary increase to a rate equivalent to Step 6 or higher without undergoing a Step 6 review: we ask that this provision be removed from CAPM, or that it be re-discussed in consultation with the Academic Senate.
- **Salary Equity Review (SER):** CAP appreciates the opportunity to opine again on the draft proposal for a SER, a much-needed addition to the personnel review process. CAP recommends that:
  1. Department chairs be allowed to initiate a SER request; at present, policy restricts the right to initiate a SER to deans and candidates only, but we believe that oftentimes department chairs are in a unique position to acknowledge the existence of salary equity issues among faculty members

2. CAP strongly believes that SER should be available at every merit review, and not restricted to major actions; the proposal cites issues of workload, but if SERs are based on UC-wide salary data, the resulting workload could be minimal. CAP envisions that upon preparing candidates' files, APO compare candidates' salaries to system-wide (or other data set, see request below) median salaries, and "flag" a possible SER to all relevant levels of review (departments, divisions, CAP)
3. CAP asks that other sources of salary comparison be used; for example, other UC campuses utilize, for their own version of SERs, data from the Association of American Universities Data Exchange (AAUDE). CAP asks that this and possibly other data sets be considered in the SER process

Thank you for the opportunity to opine.

Sincerely,



Stefano Profumo, Chair  
Committee on Academic Personnel

cc: Sylvanna Falcón, Chair, Committee on Affirmative Action and Diversity  
Steven Ritz, Chair, Committee on Career Advising  
Alexander Sher, Chair, Committee on Faculty Welfare  
Dard Neuman, Chair, Committee on Planning and Budget  
Onuttom Narayan, Chair, Committee on Privilege and Tenure  
Eleanora Pasotti, Chair, Committee on Rules, Jurisdiction and Elections  
Matthew Mednick, Executive Director, Academic Senate

May 22, 2023

Patty Gallagher, Chair  
Academic Senate

**Re: Divisional Review – Proposed Equity-Based Modifications for Faculty Review Processes**

Dear Patty,

During its meeting of May 18, 2023, the Committee on Faculty Welfare (CFW) considered a bundle of proposed modifications for campus policy and practices related to senate faculty rank, step, and salary. The committee wholeheartedly supports the effort to address inequities in salaries and career development of UCSC faculty. Below are our thoughts on the three parts of the bundle.

**Career Equity Review (CER)**

The ongoing program helps to address the cases where faculty find themselves at a rank or step that is inconsistent with where they should be in their career based on their accomplishments. The proposed revisions add teaching professors with security of employment to the eligible faculty members. CFW supports this addition.

CFW members also supported the addition of the achievements since the beginning of the faculty members' start at the UC system for those who transferred to UCSC from other UC campuses. At the same time, CFW members believe that for such faculty, it would be appropriate to have a CER at their first review at UCSC. The main reason for this is that there are currently only a few points in one's career when CER is possible and the argument for item C.2 does not apply to those who transferred to UCSC from other UC campuses.

Committee members had questions about the outside letters and an ad hoc personnel review committee. Given the changes to the Procedures (Section D), we wonder whether the outside letters and the ad hoc committee will be required for CER at the moment of advancement to the Professor Step 6 or Above-Scale. A clarification on this point would be welcome. The members enthusiastically support the proposed inclusion of promotion to the Associate Professor rank as a possible CER point. Previously, only promotion to the full Professor rank was included (in addition to the Step 6 and Above-scale). At the same time, the language used ("promotion to full rank") should be made more clear. Especially, it should be explicitly stated that CER is available at the tenure review. The SER proposal mentions that "*Both SER and CER should be available at the tenure review (CER is not currently available at tenure).*" CFW supports this and members believe that an explicit mention of tenure in both SER and CER policies is warranted.

**Special Salary Practice (SSP)**

The proposal replaces current accelerated promotions (addition of two salary scale steps at the point of promotion to the next rank) with one-step on-scale salary increase plus one step off-scale

salary increase (AC), or 1 ⅓ off-scale increase (A1). This proposal aims to address the long-standing problem of faculty not having enough time before their next promotion following an accelerated promotion. This is a serious problem and CFW members support the proposed solution.

One question was raised about a seeming exception to the proposed policy. In particular, the proposal says that “*Faculty may still qualify for two steps during promotion when their file justifies an acceleration and their progress toward the next promotion justifies the steps.*” CFW members are concerned about how realistic it is to ascertain where a faculty member is on their way to the next promotion. Furthermore, if such a determination is to be made, should the faculty member under consideration (and/or their department or dean) modify in any way the materials submitted for the personnel action?

### **Salary Equity Review (SER)**

CFW supports the effort to address inequities in faculty salaries. SER is a new program designed to do this. The proposed program helps address the cases where faculty find themselves with a salary that is below the salary of their colleagues who demonstrated the same level of performance. Upon reviewing the latest SER proposal, CFW members appreciated the administration's readiness to listen to and take into account Senate's comments on the initial proposal. CFW wholeheartedly supports that the proposed SER will not require any additional work from the faculty except for a request for the review and that the Dean has an option to request SER even if the faculty member has not.

Most of the CFW members' concerns had to do with the details of the program's implementation. The concerns are enumerated below.

1. As proposed, SER will only apply at the major personnel actions (advancements, Step 6, Above-Scale). This would severely limit the number of chances a faculty has to right their salary imbalance. As a result, the imbalance would last longer and its financial effect would be exacerbated. The rationale for limiting SER to major actions given in the proposal is that SER requires pulling of salary data and its analysis to provide a comparator group data and it would overwhelm CAP's analyst. Members appreciate that senate committee analysts are already stretched thin. At the same time, CFW believes that pulling the data once a year might be sufficient. For example, the same salary dataset CFW uses each year can be used. The analysis (once it is clearly decided what constitutes the comparison group, more on this below) should be straightforward. We believe that finding additional resources (maybe an additional position within APO) to do this is justified. Members agree that this should not stay in the way of giving faculty an opportunity to request an SER at any personnel action, including regular merit increases.
2. A measure of a faculty member's performance is an important part of a SER consideration. Rank and step are the clearest measure of that performance. The proposal mentions that “*the history of greater than normal actions will also play into the relationship between salary and performance.*” The meaning of this statement was not clear to CFW members. How would this history be used and who would have this discretionary authority? We

believe that the current rank and step should be used as the main measure of the faculty member's performance. Trying to use the history of previous greater than normal actions would make the review process unnecessarily complicated .

3. The second part of an SER consideration is the salary, making the comparator group extremely important. CFW members see two broad possibilities for choosing such a group.

First, if the proposed SER program is aimed solely at addressing *salary inequities within UCSC campus*, with the salary gap between UCSC and other UC campuses addressed in another way (e.g., through the reinstatement of SSP circa 2012-2017 that CFW advocates for), then the *comparator group should be limited to UCSC faculty only*. One possibility is to use the median salary of UCSC faculty at the same rank and step and from the same division or department as the faculty member under review. *Importantly, CFW members are unanimous in thinking that the off-scale portion of the salaries should be included into the comparison*. It is clear that the on-scale salary steps are inadequate to address cost of living in California, hence the wide-spread use of off-scale across all UC campuses. A concern was raised within the committee that limiting the comparison group to the department or the division will result in continuing imbalance of faculty salaries across divisions. At the same time, members acknowledged that making across-campus comparison groups will not address salary equity issues in the “higher salary” divisions.

Second, if the proposed SER program is aimed at addressing *salary inequities across the UC campuses*, then the comparison group should include median salaries (at the rank and step and including off-scale) across the appropriate departments and/or divisions of all UC campuses.

Overall, all CFW members believe that the choice of the comparator group is crucial and should be made carefully, based on the overall salary equity strategy. Furthermore, after the comparator group is established, the goal of the SER should be to “compress” the UCSC faculty salaries towards the appropriate median salary. In other words, the goal of the SER should be to ensure that all faculty at the same rank and step have a salary that is close to the median.

4. CFW members felt that some parts of the proposal would benefit from further clarification. The term “similarly situated colleagues” is open to interpretation. It should be possible to make the definition less vague when the comparator group is clearly defined (see above). The proposal states that “*Being at the low end of a salary range for a given comparator group does not in itself warrant a salary equity adjustment, but it can provide supporting evidence of one of the qualifying situations.*” CFW members argue that “*being at the low end of a salary range*” begs the question of why it is happening and therefore invites the SER. Finally, the role of the departments in the SER process is not clearly described. Given the stated (and supported by CFW) intent to avoid personal comparisons, it is especially important to have the process well articulated at the departmental level, where personal frictions are most likely to arise.

Thank you for the opportunity to provide feedback.



Sincerely,



Alexander Sher, Chair  
Committee on Faculty Welfare

cc: Kirsten Silva Gruesz, Chair, Committee on Affirmative Action and Diversity  
Stefano Profumo, Chair, Committee on Academic Personnel  
Dard Neuman, Chair, Committee on Planning and Budget  
David Cuthbert, Chair, Committee on Educational Policy  
Andy Fisher, Chair, Committee on Graduate Council  
Senate Executive Committee

May 25, 2023

Patty Gallagher, Chair  
Academic Senate

**Re: Proposed Equity-Based Modification for Faculty Review Processes**

Dear Patty,

The Committee on Planning and Budget (CPB) has reviewed the Campus Provost/Executive Vice Chancellor's Proposed Equity-Based Modification for Faculty Review Processes memo.

**Career Equity Review (CER)**

CPB supports all of the proposed changes for the CER. Specifically:

- Expanding qualifications to all Senate faculty, which would include Teaching Professors with security of employment;
- Expanding the review period to include time at other UC campuses (if relevant).

CPB also supports the proposed restriction of CER Advisor qualifications to former members of CAP, though notes that no rationale was provided for that change.

**Special Salary Practice (SSP)**

The SSP proposed changes seek to disentangle advancement towards promotion from salary increases: whereas the former occurs with the latter, the latter is not limited to the former. All CPB members appreciate the complexity of the problem. Some agreed that the proposed changes help clarify that an increase in step should mark advancement towards promotion, whereas the proposed off-scale increases are adequate pathways to recognize excellence during a review period. Others members expressed concern that amplifying the off-scale variance only complicates another problem: measuring potential equity imbalances (see next).

**Salary Equity Review (SER)**

CPB members find that limiting SER to major actions comes far too late for many faculty (such as Associate Professors) who are stuck at rank. CPB suggests that the SER be triggered by a time frame (e.g., every five years) instead of major actions.

CPB strongly agrees with the memo that the SER should not be governed by a competitive process: The setting of budgetary targets at the school/division (and the subsequent nomination process that would follow) would reproduce the very inequity the program is trying to address.

CPB finds the comparators to be vague and overly complicated. The campus already has information about departments, divisions, norms, and standard deviations from norms. APO and CFW regularly conduct the analysis necessary for these equity assessments, in theory relieving the administrative burden on others.

CPB also questioned if comparators should be discipline specific. If there are long standing inequities between divisions and disciplines (excluding Engineering and Economics), such a policy would reproduce such inequities.

CPB recommends that department chairs also be authorized to initiate SERs, as they are often more knowledgeable than Deans about the details of each faculty member.

CPB appreciates the opportunity to comment on all three proposed changes.

Sincerely,



Dard Neuman, Chair  
Committee on Planning and Budget

cc: CAAD Chair Falcón  
CCA Chair Ritz  
CAP Chair Profumo  
CFW Chair Sher  
P&T Chair Narayan  
RJ&E Chair Pasotti