

November 20, 2024

LORI KLETZER

Campus Provost and Executive Vice Chancellor

Re: Formal Review of Proposed Revisions to CAPM 407.690 - Overlapping Steps

Dear Lori,

The Academic Senate has reviewed the proposed revisions to Campus Academic Personnel Manual (CAPM) 407.690 – Overlapping Steps. Our committees on Academic Personnel (CAP), Faculty Welfare (CFW), and Planning and Budget (CPB) have responded. We understand that the proposed revisions aim to address concerns about ladder rank faculty and teaching professors being prematurely subject to salary limits at barrier steps and note that this policy also applies to the Adjunct, Professional Research, and Project series.

While the Senate greatly appreciates the attempt to address these issues, all committees reviewing the proposed changes raised significant concerns. Many of these centered around the difficulty (or impossibility) of evaluating the full impact of the changes given the review materials. CAP noted that without clear numerical simulations, it is not possible to evaluate the actual impact on career salary progressions, CFW noted the potential for additional unintended salary inequities to be created, and CPB pointedly noted that without data on current or projected salary inversions, it is difficult to assess the justification for barrier steps in the first place, or how the proposed changes would interact with the status quo. In addition, there are a number of equity-related issues raised across the committee responses, ranging from a fundamental consideration of prioritizing equity vs. salary inversion, the possibility that proposed changes could privilege advancement paths in some disciplines over others, and how the changes would address known equity issues in terms of service and mentoring loads. An overall sense in each committee response was that the current proposal is not developed or justified well enough to understand its actual impact across career progression, nor its impact on important equity issues; as CAP noted, the proposed changes here go far beyond the concerns raised by that committee about associate step IV, but without additional data needed to understand full impacts of the widened scope.

The detailed committee responses are enclosed, however main points and concerns can be organized roughly under several themes:

Relevant Data is Needed

- Responding committees noted that it is extremely difficult to evaluate the proposed modifications without relevant data on salary implications.
- The Senate would like to see the following:
 - Data projections on frequency of salary inversion without salary caps, as well as data on the salary inversions that currently exist with current caps. We note that one main rationale for current policy is avoiding salary inversions, but without this data it is not possible to understand the scope of current issue, or how it might shift.

- Numerical simulations for a range of different advancement scenarios. CAP in particular expressed an interest in seeing a numerical simulation for a possible alternate solution of providing a candidate the option to request Step I off-scale or Step II.
- Comparative data from other UC campuses.

Salary Caps at Barrier Steps

- The current salary caps at barrier steps impose inequities for those whose research might move at a slower pace due to the nature of their projects, and/or those who carry a disproportionately heavy teaching, mentoring, or service load. As female faculty and faculty of color often shoulder a larger service burden, these salary caps may result in further inequities that go against our campus's DEI principles. (CPB)
- The proposed changes do not address the issue flagged in the 2023-24 CAP Annual Report¹ concerning the application of salary caps in advancements from Associate Professor Step III to Step IV. CAP notes that the official administrative interpretation of CAPM regulations is often out of step with the interpretation of the policy in department, divisional, and CAP review. This discrepancy should be resolved. (CPB)
- G1 and G2 salary increases are available for Associate Professor Step IV for excellence in research, teaching, and/or service when the file does not support promotion to Professor Step I. Should the same criteria be extended to all files (i.e. excellence is the baseline or G1 or G2)? If not, the change appears arbitrary and may result in further inequities in order to solve for a salary issue that wouldn't exist if the salary caps were removed. (CPB)

Associate Steps Utilized (Step I vs. Step V)

- Why does the Associate rank only have four steps on our campus and not five? How does this compare with other UC campuses? (CPB)
- A clear rationale is needed for the proposal to utilize Associate Step I instead of Associate Step V, as CAP has advocated in the past. If there is concern about salary compression issues later in advancement, numerical simulations are needed to assess the scope of the problem. CAP's preliminary numbers suggest that salary compression would occur with using Step I as proposed. (CAP)
- Concerns were raised that the absence of Associate Step V could negatively affect faculty progression, particularly for those in disciplines where there is an expectation to publish monographs before promotion. Other UC campuses use Associate Step V, as an interim step, which benefits those who spend considerable time at the Associate level while balancing significant teaching and service commitments. Adding a similar step at UCSC could alleviate these pressures and better support faculty progression. (CFW)
- The proposed changes could penalize those in journal-based disciplines, where it is less common to be stalled at barrier steps. (CAP)
- The proposed change may lengthen time spent at the Associate and Full Professor ranks, which could artificially raise UCSC's median salaries at these ranks. This could create the false impression that UCSC is closing the gap with other UC campuses, when comparable

¹ CAP Annual Report, 2023-24: https://senate.ucsc.edu/senate-meetings/agendas-minutes/2024-2025/2024-nov22-senate-meeting/cap-annual-report-2023-24_scp2094.pdf

salaries might remain stagnant. Concerns were also raised that, over time, this could lead to salary compression, as faculty might spend extended periods at each rank without substantial pay increases. (CFW)

- The required advancement to Associate Professor Step I, even with the off-scale adjustment, could potentially lead to a significant loss of cumulative salary over subsequent advancements and additional equity issues. (CAP)

Issues Related to Off-Scale Salary Adjustments

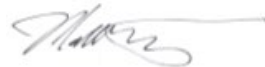
- There is uncertainty regarding how future cost of living/inflation adjustments will be applied (to base salary vs. full salary, including off-scale). This ambiguity may impact long term salary equity. (CFW)
- The 2022 one-time salary equity increase looked at the off-scale salary component and provided salary increases to faculty with an off-scale salary that was below the target off-scale for their rank and step. If the same approach is used for future salary equity increases, the proposed changes may disadvantage faculty with substantial off-scale salaries due to overlapping steps and make them ineligible for a salary equity increase. (CFW)

Proposed Timeline for Implementation

- The proposal is to implement the new policy so that it applies to the current year. Files already prepared, submitted, and possibly evaluated would be subject to the new policy. The usual campus procedure, reflecting equity concerns, does not allow changes to personnel policy in the middle of a review year. As such, justification is needed as to why changes to CAPM 407.690 should be applied this year. (CAP)

Given the concerns expressed above, and in particular the lack of relevant data provided in order to fully evaluate the impacts, the Academic Senate is not able to support the proposed changes to CAPM 407.690 as currently drafted. To ensure that the final adopted policy will be a benefit and not a detriment to individual faculty and our campus as a whole, the Senate hopes that this initial review will be followed by a second review of a revised proposal accompanied by supporting data. We look forward to continued engagement with you, and to providing more clear data-based feedback on a revised proposal of proposed revisions to CAPM 407.690 – Overlapping Steps.

Sincerely,



Matthew McCarthy, Chair
Academic Senate, Santa Cruz Division

Enc: Senate Committee Responses (Bundled)

cc: Susan Gillman, Co-Chair, Committee on Academic Personnel
Gregory Gilbert, Co-Chair, Committee on Academic Personnel
Gabriela Arredondo, Chair, Committee on Diversity, Equity, and Inclusion

Tanner WouldGo, Chair, Committee on Educational Policy
Yat Li, Chair, Committee on Faculty Welfare
Raphael Kudela, Chair, Committee on Planning and Budget
Megan Thomas, Chair, Committee on Teaching
Matthew Mednick, Executive Director, Academic Senate

November 14, 2024

MATTHEW MCCARTHY
Chair, Academic Senate

Re: Divisional Review of Proposed Revisions to CAPM 407.690 - Overlapping Steps

Dear Matthew,

During its meetings of October 31 and November 14, 2024, the Committee on Academic Personnel (CAP) discussed the proposed revisions to Campus Academic Personnel Manual 407.690 – Overlapping Steps. The changes recommended in this proposal go significantly beyond the more narrow concerns originally raised by our committee from the beginning to the end of AY 2023-24. CAP focused on problems that ensued when advancement policy designed for those at Step IV was applied to Associate Professor Step III, and the associated issues of too limited available time to progress through steps regularly used at the Associate Professor level. CAP appreciates that the proposed revisions address the major issue of providing for additional time at the Associate Professor rank. However, before we can evaluate the impact of the proposed changes, CAP notes the need for numerical simulations for a range of different scenarios so that reviewing bodies can provide an educated assessment. That said, we present here some concerns about the proposed changes, along with a few alternate solutions, which should also be explored using numerical simulation.

First and foremost, CAP notes that it is nearly impossible to make an educated judgment on the best way forward without basic data on the salary implications. In particular, the required advancement to Associate Professor Step I, even with the off-scale adjustment, could potentially lead to a significant loss of cumulative salary over subsequent advancements. This is an issue we've raised before in our correspondence with the administration on Associate Professor Step III. In addition, CAP notes the potential for additional equity issues. For these specific reasons, we request that the administration provide numerical simulations for a range of different advancement scenarios.

Second, members raised concerns that the proposed changes could benefit faculty in book disciplines while penalizing those in journal-based disciplines, where it is less common to be stalled at barrier steps. As an alternative solution, CAP would like to see consideration, in conjunction with the numerical simulation, of giving the candidate the option of requesting Step I off-scale or Step II. Some members raised concerns that this approach could cause equity issues across fields and/or related to the level of department advising. Anticipating these kinds of possible problems would be essential to ensuring that an “option” approach would not inadvertently create additional inequities.

To do so, CAP would like to see a clear rationale for utilizing Associate Professor Step I instead of Associate Professor Step V, as CAP has advocated in our communications on this issue. If the concern is related to salary compression issues later in advancement, CAP would like to see numerical simulations similar to those we request above. Our own preliminary numbers conversely suggests the opposite, that salary compression would occur with using Step I as proposed.

Finally, CAP is concerned about the proposed timeline for implementing the new policy so that it applies to the current year. The caveat of “pending approval” means that files already prepared, submitted, and possibly evaluated would be subject to the new policy. The usual campus procedure, reflecting equity concerns, does not allow changes to personnel policy in the middle of a review year, so justification is needed for why changes to CAPM 407.690 would be applied this year.

Given the concerns expressed above as well as the lack of simulation data, CAP is not able to support the proposed changes, as currently drafted at this time, to CAPM 407.690.

Thank you for the opportunity to opine.

Sincerely,



Susan Gillman
Co-Chair, Committee on Academic Personnel



Gregory Gilbert
Co-Chair, Committee on Academic Personnel

cc: Tanner WouldGo, Chair, Committee on Educational Policy
Yat Li, Chair, Committee on Faculty Welfare
Gabriela Arredondo, Chair, Committee on Diversity, Equity, and Inclusion
Megan Thomas, Chair, Committee on Teaching
Raphael Kudela, Chair, Committee on Planning and Budget

November 14, 2024

MATTHEW MCCARTHY
Chair, Academic Senate

Re: Divisional Review – CAPM 407.690 – Overlapping Steps

Dear Matthew,

During its meeting of November 7, 2024, the Committee on Faculty Welfare (CFW) reviewed proposed revisions to CAPM 407.690 – Overlapping Steps. We appreciate the initiative to create a more balanced progression structure, allowing faculty to advance through ranks without facing premature salary barriers. After careful discussion, the Committee has identified several issues and points for consideration:

1. Potential Issues Related to Off-Scale Salary Adjustments:

- **Annual Inflation Adjustments:** There is uncertainty regarding how future inflation adjustments will be applied, on base vs. total salary. This ambiguity may impact long-term salary equity.
- **Special Salary Equity Program Review:** The 2022 special salary equity program relied on off-scale adjustments. If the same approach is used in future salary equity reviews, the proposed change may disadvantage faculty with substantial off-scale salaries.
- **Special Salary Practice (SSP) and Campus Salary Comparisons:** The SSP instituted in 2008 had an explicit goal of equating UCSC faculty salaries to the median salaries across the UC system (9 campuses). The proposed change may lengthen faculty time in the associate and full professor ranks, which could artificially raise UCSC's median salaries at these ranks. This could create a misleading impression that UCSC is closing the gap with other UC campuses, while faculty salaries remain stagnant. Concerns were also raised that, over time, this could lead to salary compression, as faculty spend extended periods at each rank without substantial pay increases.

2. Additional Considerations:

- **Faculty Progression:** For those faculty in departments or fields where completed books or similar major projects are expected to be published before promotion, the absence of an Associate Professor, Step 5, at UCSC presents difficulties. Other campuses, such as UC Berkeley, provide an Associate Step 5 as an interim step, which benefits those who spend considerable time at the associate level while balancing significant teaching and service commitments. Adding a similar step at UCSC could alleviate these pressures and better support faculty progression.

In summary, while we recognize the proposed policy's potential to create a more structured progression

path, we have concerns about the reliance on off-scale salary adjustments and the implications for salary equity.

Sincerely,

A handwritten signature in black ink, appearing to read 'Yat Li', with a stylized flourish at the end.

Yat Li, Chair
Committee on Faculty Welfare

cc: Susan Gillman, Co-Chair, Committee on Academic Personnel
Gregory Gilbert, Co-Chair, Committee on Academic Personnel
Gabriela Arredondo, Chair, Committee on Diversity, Equity, and Inclusion
Tanner WouldGo, Chair, Committee on Educational Policy
Megan Thomas, Chair, Committee on Teaching
Raphael Kudela, Chair, Committee on Planning and Budget

November 13, 2024

MATTHEW McCARTHY
Chair, Academic Senate

Re: Divisional Review of Proposed Revisions to CAPM 407.690 (Overlapping Steps)

Dear Matt,

At its meeting of October 31, 2024, the Committee on Planning and Budget (CPB) discussed proposed revisions to CAPM 407.690 (Overlapping Steps). The proposed revisions eliminate the use of overlapping steps in the review process to give faculty more time before they reach a barrier step and face salary limitations, ideally allowing them to prepare a promotion file that will not be affected by those limitations.

CPB agrees that these proposed changes would be helpful in providing more time for faculty at the Associate and Full Professor ranks before coming up for review at a barrier step. However, CPB disagrees with the enforcement of salary caps at barrier steps and considers them a serious infringement upon the equity principles that should guide all faculty reviews: salary raises should always be determined in equal measure by the quality of the submitted file, regardless of step or rank. Salary caps at barrier steps impose a very different metric, introducing an inequity that is further exacerbated in the case of those faculty members whose research might evolve at a slower pace because of the nature of their projects (e.g. archival research in book disciplines) or because they carry a disproportionately heavy teaching, mentoring, or service load that supports essential needs of their department, division, and campus at large. In light of the fact that female faculty and faculty of color often shoulder a larger service burden, the current practice of salary caps at barrier steps may result in even graver inequities that go against our university's DEI principles. The proposed revisions do not address this serious issue. By extension, they also fail to address the issue flagged in the 2023-24 CAP Annual Report concerning the application of salary caps in advancements from Associate step 3 to Associate step 4. In its report, CAP notes that the official administrative interpretation of CAPM regulations is frequently out of step with interpretation of the policy at departmental, divisional, and CAP reviews. CPB concurs with CAP that this discrepancy needs to be resolved.

CPB also notes that G1 or G2 salary increases are available for Associate Professor Step 4 for excellence in research, teaching, and/or service when the file does not support merit promotion to Professor 1. CPB questions whether the same criteria should be extended to all files (i.e. excellence is the baseline for G1 or G2); if not, this change appears to be arbitrary and introduces further inequities in merit review in order to fix a salary issue that would not exist if the salary caps were simply removed.

The administration argues that salary caps aim to avoid salary inversions among faculty on either side of barrier steps. CPB believes that safeguarding equity is more important than avoiding salary inversions. In addition, it is difficult to evaluate the administration's argument without relevant data. Specifically, CPB would like to see data or projections documenting how many faculty salaries would be inverted, and by how much, without salary caps at barrier steps, as well

as data on salary inversions that currently exist. Also, CPB would like to see comparative data from the other UCs to understand the number of years that faculty at UCSC, in comparison to faculty at the other campuses, are spending at the various steps. That would help us understand the pace by which UCSC faculty move through promotion cycles and whether our faculty are moving more slowly or quickly, or at the same pace, as colleagues at the other UC campuses. Finally, we would like to know why the Associate rank has only four steps instead of five, and where other UCs stand on this matter.

Sincerely,



Raphael M. Kudela, Chair
Committee on Planning and Budget

cc: Gabriela Arredondo, Chair, Committee on Diversity, Equity, and Inclusion
Greg Gilbert, Co-Chair, Committee on Academic Personnel
Susan Gillman, Co-Chair, Committee on Academic Personnel
Yat Li, Chair, Committee on Faculty Welfare
Megan Thomas, Chair, Committee on Teaching
Tanner WouldGo, Chair, Committee on Educational Policy
Melissa Caldwell, Vice Chair, Academic Senate
Matthew Mednick, Executive Director, Academic Senate