

Committee on Academic Personnel Annual Report, 2017-18

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 2017-18, CAP had one representative from the Arts, one from Engineering, three from Humanities (including the Chair), two from Physical and Biological Sciences, and two from Social Sciences. The committee reviewed and made recommendations on 258 personnel cases; the final administrative deciding authority concurred roughly 85% of the time, which is a slight decrease from 87% in 2017-18.

Workload

In 2017-18 CAP continued its established practice of meeting weekly on Thursday afternoons. The Committee had two orientation meetings in the fall, and met to review files 32 times during the academic year (10, 11, and 11 sessions in fall, winter, and spring quarters, respectively, as well as two meeting during the summer of 2018).

The reshaping of the Baskin School of Engineering late in the academic year 2017-18 required additional, unforeseen attention by CAP, as did CAP's discussions of and consultations on the Strategic Academic Plan. Thus policy matters occupied a significant portion of CAP's time in 2017-18.

As noted above, CAP made recommendations this year on 258 personnel cases. Roughly 65% of the cases involved department recommendations for accelerations and/or greater-than-normal salaries, which typically require more discussion than do normal one-step merit reviews.

The number of appointments reviewed decreased significantly from the previous year. In 2016-17, CAP reviewed 60 appointment files, 53 of which were ladder-rank. In 2017-18, CAP reviewed 34 appointment files, 27 of which were ladder rank. In 2017-18 (see Chancellor's memorandum of January 17, 2018), CAP agreed to waive its review of appointment files to Assistant Professor, Steps 1-3, up to an annual salary rate for Associate Professor, Step 4. It was agreed that CAP would be provided with quarterly reports regarding appointments made under this new process.

CAP reviewed 2 reconsideration requests in 2017-18. The number of retention cases increased, 4 were reviewed in 2016-17, and 8 reviewed this year (2017-18). For more on retentions, see the section below.

CAP's Recommendations Compared to Administrative Decisions

As noted above, during 2017-18, the final administrative decision and CAP's recommendation concurred roughly 85% of the time (217 out of 255 files completed files, with 1 file that CAP reviewed carried over to 2018-19 and not yet complete, and 2 files where faculty left the campus before a final authority decision was made). Although a few disagreements concerned rank and/or step, the overwhelming majority of them involved salary increments, typically in the range of 1/3 step.

Three disagreements involved appointments; these will be discussed separately below. Of the 35 other disagreements, not involving appointments, 6 involved a decision about the appropriate rank and/or step. Four disagreements were with the CP/EVC: CAP recommended a higher rank/step in 3 cases, and a lower rank/step in 1 case. Two disagreements were with the Chancellor: CAP recommended a lower step/rank in both cases. The remaining 29 disagreements concerned salary (9 with Dean's authority, and 20 with CP/EVC's authority). In the Dean's authority cases, CAP recommended higher salaries in 7 cases. Salary disagreements occurred with the Humanities Dean in 3 cases, and with the Physical and Biological Sciences Dean in 1 case, with the Arts Dean in 1 case, and with the Dean of Baskin School of Engineering in 2 cases. In the CP/EVC-authority cases, CAP recommended a higher salary than was awarded in 10 cases and a lower salary in the remaining 10 cases.

In 2017-18 CAP reviewed 127 files, excluding appointment and retention files, that were Chancellor's or CP/EVC's authority: 17 from the Arts; 23 from the Humanities (1 of which left campus before a final decision was made); 37 from PBSci; 27 from Social Sciences (1 of which was carried over to 2018-19, and 1 of which left campus before a final decision was made); and 23 from the Baskin School of Engineering. The CP/EVC disagreed with CAP on 7 Arts files reviewed (5.5% of the Chancellor and CP/EVC authority total); the CP/EVC decision was for a lower salary than that recommended by CAP in 5 cases, and a higher salary in 2 cases. The CP/EVC disagreed with CAP on 4 Humanities files (3.2%), deciding on a lower salary than the CAP recommendation in 2 cases, and a higher salary in 2 cases. The CP/EVC disagreed with CAP on 6 PBSci files (4.7%), deciding on a lower salary in 2 cases, and a higher salary in 4 case. The CP/EVC disagreed with CAP on 2 Social Sciences files (1.6%), deciding on a lower salary than that recommended by CAP in both cases.. The CP/EVC disagreed with CAP on 5 SOE files (3.9%), deciding on a lower salary in 4 cases and a higher salary in 1 case. The Chancellor disagreed with CAP on 1 PBSci file (.8%), deciding on the same salary, but a higher step. The Chancellor disagreed with CAP on 1 Humanities file (.8%), deciding on a higher salary than CAP.

As noted, the numbers cited above do not include disagreements involving salary recommendations for retentions or recommendations concerning appointments, which we exclude since it is understood that negotiations will take into account competing offers and other relevant circumstances that affect salary offers and have little to do with disagreements regarding the merits of the file compared to other files across this campus. CAP would like to note, however, that final salaries offered in some appointment cases ended up higher than those recommended by departments, CAP, and at times the relevant dean. In the 3 salary

disagreements with CP/EVC-authority appointment cases, the CP/EVC agreed with the dean and the decision was lower than the both department's and CAP's recommendations in 1 case (this file was from PBSci). In the remaining 2 cases (both from PBSci), the decision was higher than the department, dean, and CAP recommendations. There were no disagreements with Chancellor-authority or dean-authority appointment cases. Disparities in starting salaries between divisions will likely have a significant impact on increasing salary inequities. Accordingly, the difference between recommended salaries and final salaries is something that CAP, the Committee on Affirmative Action and Diversity (CAAD) and the Committee on Faculty Welfare (CFW) should be monitoring, as is the number of failed recruitment and retention actions.

Case Flow, Ad Hoc Committees

There were 2 cases from 2017-18 that CAP reviewed and made recommendations on that were not completed in 2017-18 (due to *ad hocs*, requests for more information, and pending authority decisions) and were carried over to 2018-19. One of these cases was completed with a final decision by the drafting of this report in fall 2018 and was included in the report data. In addition, there were 5 files that were not received by CAP prior to the last meeting of the year and were therefore not reviewed by CAP in 2017-18, and will be carried over to 2018-19.

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 reviewed for the recommendation of names for an *ad hoc* committee. Then, when the *ad hoc* committee's report 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 experience, 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. 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. In 2017-18, 4 promotion cases had an *ad hoc* committee review.

During 2017-18, 6 Senate members were selected to serve as members of *ad hoc* committees (the committee for the fourth *ad hoc* case met in 2016-17). CAP expresses its gratitude toward

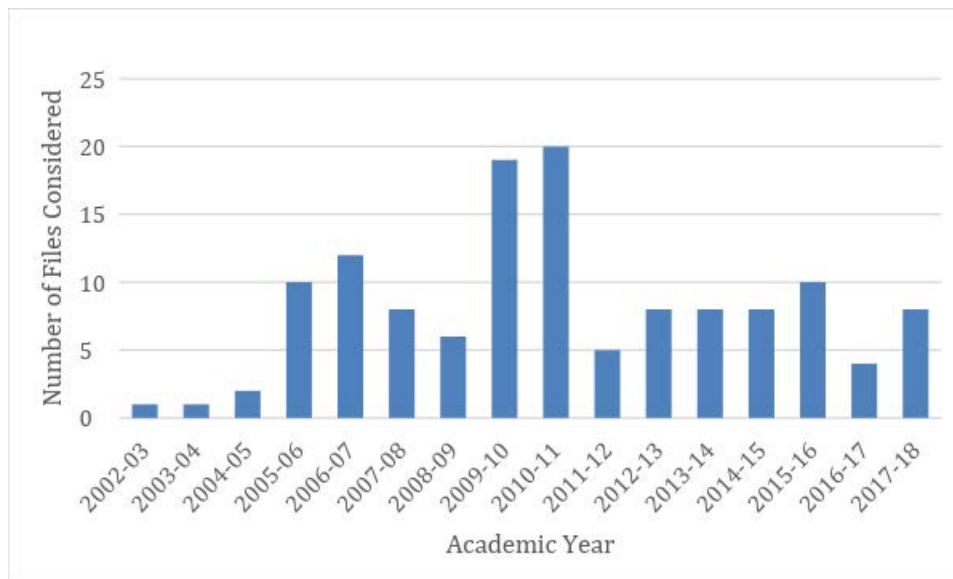
colleagues who served and encourages all faculty members to consider agreeing to serve in the future. It also acknowledges the work of faculty who serve on Shadow CAP, evaluating the personnel files of current CAP members who are under review.

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. 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 2017-18. Three of the retention files were for faculty members 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 5 of the 8 retention offers were successful.

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



Suggestions for Personnel Files and the Evaluation of Teaching

Through the years, CAP has provided suggestions on how to improve the preparation of personnel review files. Over the course of the 2017-18 academic year, the CAP Chair met with a broad range of constituencies at UCSC to discuss the personnel review process and encourage

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.

faculty, Chairs and Deans to consult all available online resources on the campus. In addition, in 2017-18 the CAP Chair collaborated with the Committee on Career Advising (CCA) to attend workshops related to the paths to tenure, and CAP was consulted on CCA's document, "Tips on the Path to tenure," available on CCA's web site.

In the CP/EVC and CAP Chair Annual Memo written on July 22, 2013, 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 survey results regarding teaching effectiveness. This table has proven to be very useful in providing 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. CAP encourages the campus to produce functionality in the new "What Do You Think?" (WDYT) online student course survey (which includes the standard CAP-designated questions for the summary table) in order to produce the requested table automatically, thereby creating consistency in the teaching tables across campus, while requiring less work on the part of departmental staff.

Discussions of alternative ways to assess teaching continue at UCSC, in light of numerous studies highlighting potential inequities and implicit biases in student surveys and of transitions to a new student online survey system. CAP consulted with the Center for Innovations in Teaching and Learning (CITL) to develop papers on "Documenting Teaching" that are posted on the CITL site. The chair also met informally and regularly with the chairs of COT (Matthew McCarthy) and CAAD (Miriam Greenberg) to discuss the new online Student Experience of Teaching (SET) forms, teaching assessment at UCSC more generally, and ways to make improvements to the assessment of teaching. CAP reiterates that the Academic Personnel Manual requires more than one kind of evidence of teaching effectiveness in each review file.² Additional types of evidence of teaching effectiveness include: the opinions of faculty members based on class visitations or public lectures; departmental review of syllabi, exams, assignments, and so on; the number and caliber of students mentored by the candidate; and the development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction. Because mentoring of students at all levels is a critical aspect of teaching, mentorship should be explicitly evaluated by the department. CAP continues to encourage those preparing personnel files to embrace a multi-pronged approach in the assessment of teaching.

Acknowledgments

The academic personnel review process depends on the collective work of many hands. We acknowledge AVP Grace McClintock and the extraordinary staff of the Academic Personnel Office. These knowledgeable, helpful, and hardworking staff 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 in working through our fourth year with the DivData system. CAP is also particularly grateful to Ibukun Bloom for being ready at a moment's notice to answer complex personnel questions, and

² [APM 210-1.d.1](#) – Criteria for Appointment, Promotion, and Appraisal, Teaching

to Leslie Marple for her preparation of, and assistance with, CP/EVC and Chancellor authority appointment files. CAP acknowledges the work and skill of departmental and divisional staff in helping to prepare and process personnel review files, and is grateful for the 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 efficiency and good humor. CAP functions smoothly in large part because of Jaden, whose quick-thinking, problem-solving, multitasking abilities and knowledge of Senate functioning are beyond compare. Her contributions to the personnel review process are immeasurable.

We would also like to express our appreciation for the collaborative interactions with the divisional leaders—Dean Mitchell, Dean Koch (and Acting Dean Dave Belanger), Dean Wolf, Dean Solt, and Dean Stovall—and with campus leadership--VPAA Lee, CP/EVC Tromp, and Chancellor Blumenthal.

We consider it a great privilege to have served on CAP during 2017-18, and are grateful for our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted;

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