COMMITTEE ON ACADEMIC PERSONNEL
Annual Report, 2021-22

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 2021-22, CAP had eleven representatives, three from Arts (one serving only in the spring, one only in the fall and winter), one from Engineering, two from Humanities, two from Social Sciences (one serving only in winter and spring), and four from Physical and Biological Sciences (including the Chair). The committee makeup could have been more representative of the campus, especially given the lack of a second member from the School of Engineering and the lack of representation from the biological sciences within PBSci. One member was a Teaching Professor, a first for CAP, reflecting the importance of increasing Senate faculty participation in the Lecturer with Security of Employment series at UC Santa Cruz.

An addendum to this report with personnel review statistics and routine business will be submitted to the winter Senate Meeting call.

I.   Policies, Guidelines, and Recommendations

In addition to providing recommendations and consultations that fall under the purview of CAP as outlined above, the Committee continued discussions about time-sensitive issues, such as those related to COVID-affected advancement actions, recommendations on updates to salary limits, as well as CAP-internal guidelines.

I.A   Consultation with the Administration

CAP appreciated the CP/EVC and Chancellor's continued willingness to consult with the CAP Chair on files with a potential for the final decision to differ from CAP's recommendation. Additionally, in two instances this year, the administration consulted with the full CAP committee. The outcomes of such discussions were quite uniformly (with very few exceptions) in the direction of the final authority maintaining their initial decision. Nevertheless, CAP felt that those regular consultations with the CAP chair, reported to committee members on a weekly basis, were useful in forming a continuing understanding of the final authorities' inclination and general attitude towards policy. CAP Chair Profumo also consulted with the Deans' Council once, first in relation to the "Achievement Relative to Opportunity" principle, and second in relation to accelerations based on especially meritorious service; and with individual deans on several occasions. CAP suggests that consultations with the CP/EVC and the deans be held at the beginning of each academic year as an additional tool for working toward shared metrics and approaches to evaluation.

I.B   Waivers of Open Recruitment

During this academic year, the committee noted a significant increase in the use of Waivers of Open Recruitment, often without sufficient justification for such requests. This was especially a problem in connection with the requirement to provide "information explaining why an open recruitment cannot be conducted," as specified in CAPM 101.000. In several instances, the administration granted waivers despite unanimous contrary opinions expressed by the three Senate committees that opine in such cases (CAP, the Committee on Planning and Budget, and the Committee on Affirmative Action and Diversity). We hope that in the future such requests will be more soundly justified and that final decisions adhere more clearly with policy and faculty governance.

I.C   Personnel Review and COVID Impact

The pandemic has had a significant impact on students, staff, and faculty across all disciplines in many ways, both personally and professionally. Several COVID memos detail efforts by the campus to mitigate this impact in the personnel review process. The severity and nature of the impact varies from discipline to discipline and from faculty member to faculty member; importantly, the impact of the pandemic will be felt for many more years beyond the immediate pandemic stage of COVID-19. During this last year CAP has worked towards effectively incorporating an "Achievement Relative to Opportunity" (ARO) principle into the personnel review process, as strongly encouraged by the UC-wide Academic Council, to "*enable merit and promotion reviews to evaluate candidates fairly based on their individual review-period professional accomplishments by taking into account unexpected or disruptive circumstances during that period that may have curtailed the candidate's normal ability to achieve expected outcomes[1]*". The system-wide Academic Council has unanimously endorsed the final report and recommendations of the Academic Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group (MCIF-WG). UC Academic Council Chair Robert Horwitz explicitly states that "The report proposes several concrete actions for campuses to implement and sustain over the next five years. One of the Working Group's most important recommendations is to incorporate Achievement Relative to Opportunity (ARO) principles in the merit and promotion process, to recognize caregiving responsibilities and other constraints that impeded faculty scholarly progress during the COVID-19 pandemic."[2]

We also agree with the Academic Council in its recognition and recommendation "that faculty struggles around child care and illness are not unique to the pandemic, and will likely persist for longer than five years. Therefore, we are encouraging the University to consider making the recommendations permanent as a way to support a more humane and inclusive academic culture."

---

[1] Joint Senate-Administrative Mitigating COVID-19 Impacts on Faculty Working Group Final Report, Spring 2022, pg. 4. https://regents.universityofcalifornia.edu/regmeet/may22/a6attach.pdf

[2] UC Academic Council Chair Horwitz to Academic Senate Division Chairs, 5/26/2022, Re: Joint Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group Final Report

CAP is ready to work with the administration to implement and incorporate ARO principles explicitly in the Campus Academic Personnel Manual at UC Santa Cruz (as suggested by Chair Horwitz) and to widely publicize these principles to the entire campus community.

I.D   New Abridged Process for Dean Authority Senate Appointments

A revised abridged process for the dean authority appointments of Assistant Professors and Assistant Teaching Professors (LPSOE), Steps I-III was put into place in 2021-22.

The new policy states that a review by CAP is not required for dean authority Assistant Professor, Assistant Teaching Professor, or Assistant Astronomer appointments with 25% or fewer dissenting votes by the Bylaw 55 voting faculty. CAP review is still required for all other Senate appointment and advancement actions. Only "yes" and "no" votes will be included for the purpose of calculating whether the 25 percent threshold is met or exceeded; "abstain," "waive," "absent not voting," and "recused" will not be included. In the case of multiple department votes taken, final authority for the appointment decision is based on the highest step and salary with a majority positive departmental vote. Once it is determined by this method that the appointment falls under the dean's authority, the vote which determines whether or not CAP will review the case is the one corresponding to the step and salary at which the dean makes the appointment offer. In the course of hiring negotiations, the dean has authority to revise the salary offered (up to Professor 3 equivalent) without the review returning to CAP or to the department for a new vote. Consultation with CAP continues to be necessary if deans have any reason to believe that a salary offer would not have support from greater than 25% of the voting faculty.

The new abridged review process includes the following stipulations as per CAP communication with Chancellor Larive[3]:

- CAP reserves the right to reinstate CAP review at any time;

- CAP will continue to be provided a quarterly report on all new dean authority appointments including rank, step, and salary, for which CAP review has been waived via this abridged process;

- Since this is an abridged process, no change should be made to the CAPM. If a permanent change to the campus review process for dean authority Senate appointments is desired in the future, a formal request for review of the proposed changes should be sent to the Chair of the Academic Senate, so that it may be distributed to the appropriate committees for consideration and feedback.

I.E   CP/EVC Expansion of Exceptions for Retention Actions

In response to a request from CP/EVC Kletzer of March 10, 2022[4], CAP commended the general direction of allowing for nimble action in time-sensitive situations, and noted that in

---

[3] CAP Chair Profumo to Chancellor Larive, 4/04/22, Re: Revised Abridged Review Process for Dean Authority Senate Appointments

[4] CP/EVC Kletzer to CAP Chair Profumo, 3/10/22, Re: Expansion of Exception for Retention Actions

the past the campus has lost excellent faculty members due to our inability to respond quickly to retention issues. However, CAP is concerned by the persistent lack of evidence provided of "a serious, credible, and imminent threat of losing the faculty member," which leaves that phrase open to interpretation. The unintended negative outcome of such poorly justified retention cases could result in higher salaries for those individual faculty and exacerbate already existing overall faculty salary inequities across divisions and departments on campus.

In its response[5] to the CP/EVC's plan to expand exceptions for retention actions, CAP noted several problems with defining "a serious, credible, and imminent threat". While formal offers and exact salaries would not always be necessary, a firm commitment that an offer is forthcoming, along with a salary range, would likely be sufficient to warrant a retention action.

More broadly, CAP encouraged the administration to take action in the direction of systematically rewarding deserving faculty members, including with a boosted version of the current Special Salary Practice (SSP) and with access for all faculty to a salary equity review mechanism in the context of, as well as outside of, regular merit reviews.

I.F   CAP Recusal Policy

A UC-wide comparison of CAP practices in 2020-21 showed that many CAPs on other UC campuses have members participate in the CAP discussions of files from their department so that they may provide valuable discipline-specific expertise and knowledge. Prior to 2021-22, UCSC CAP members voted at the department level and were recused from both the discussion and the vote of their department files at the CAP level. After discussing the pros and cons, CAP decided to follow the large majority of the other UC CAPs so as to not lose the valuable disciplinary expertise on CAP. Even though some CAP members have broad expertise and can provide guidance on how to evaluate files from other departments, CAP members agreed with other campus CAPs on the importance of the expertise and experience that each member brings to our deliberations. In order to ensure procedures that are unbiased, not prejudicial, and without undue influence, it was decided that the presentation and interpretation of the file will not be provided by the faculty member from the department. The expertise provided by the department member will be discipline-oriented, e.g., standards of the discipline, productivity assessment standards, which publication venues are important, which schools and sub-fields are high profile, changing or emerging focus in the discipline, etc. The CAP recusal policy was changed in fall 2021. Consequently, CAP members are now able to participate in the general discussion of files of their departmental colleagues, but will continue to be recused from the CAP vote if they have already voted at the departmental level. In special cases with conflict of interest beyond departmental affiliation, the department member will be recused from the entire discussion of the file.

When last year's CAP voted in spring 2021 to institute the new recusal policy, members agreed to review the policy at the end of 2021-22 and then to issue a formal recusal policy.

---

[5] CAP Chair Profumo to CP/EVC Kletzer, 4/12/22, Re: Expansion of Exceptions for Retention Actions

To that end, written guidelines about what is allowed and not allowed, and how to facilitate CAP discussion of cases so that it is not prejudicial, follow. Clear guidelines on the specifics of the recusal policy that CAP will follow in 2022-23 will inform the campus as well as CAP members.

Procedures for the New CAP Recusal Policy, 2022-23
Continuing existing practice, in fall 2022, both the case presenter and second reader of the file will not be faculty members from the candidate's department. Department members from the file being discussed will be recused from voting and will not take part in the discussion specifically leading to CAP's recommendation votes, unless they have not voted in their own department[6]. Department members will be present for the general discussion of the case, and will have access to the entirety of the file, including letters added to the file after the departmental vote. Questions addressed to the department member by CAP will be confined only to standards in the discipline, e.g., which publication venues have greatest visibility, which fields are high profile, changing or emerging foci in the discipline, etc. The department member will be recused and excused from the meeting when the vote takes place (unless they can vote at the CAP level, as specified above), or will be recused from the entirety of the discussion if the department vote is not unanimous, or there are any other questions or appearances of conflict of interest, as identified by the department member, the chair, or any CAP member. Any CAP member may choose to be self-recused from any case, including those from their home department.

This language will be used in the internal 2022-23 CAP Recusal Policy document, and will be highlighted in the next annual CAP and CP/EVC Memo.

I.G   Book- or Text-based Disciplines

The guiding campus document for what are currently called book disciplines is a May 2020 memo, *Expectations for Promotion in the "Book Disciplines"*[7] that appears to have generated several unintended negative consequences. We outline the key problems here:

1. The 2020 memo mentions in the first paragraph that an assessment for a major action can be based on a whole research portfolio rather than a single item, and that the memo concerns cases where the action rests primarily on "the" book. However, that short paragraph is often overlooked in practice, reflecting the imbalance of the memo, which spends more time stipulating exactly what needs to be completed regarding "the book." In practice, the assessments of the external evaluators ("peer review") are being discounted relative to the state of production of a single object, the book. CAP underscores the importance and value of external evaluators, such as the external letter-writers who have contributed to the file, who review the manuscript;

---

[6] CAP had a few such instances, where a Teaching Professor could not, by departmental Bylaw 55 rules, vote in their own department, but they could vote at CAP meetings.

[7] Interim CP/EVC Kletzer and CAP Chair Westerkamp, 5/04/20, Re: Expectations for Promotion in the "Book Disciplines", https://apo.ucsc.edu/policy/communications/docs/evc-cap-to-faculty-book-disciplines-may-2020.pdf

2. In the Humanities, Arts, and some of the Social Sciences, UCSC has experienced a delay at the Associate Professor IV level for a significant number of colleagues, and the additional strictures on "the book" further retard progress from Associate Professor III to promotion;

3. The memo does not align with the [2012 Working Group "Best Practices" document](#)[8] because it raises the bar on promotion to full professor by, again, focusing on the state of "the book" as the single key indicator;

4. Further, the 2020 memo, dating from the start of the pandemic, does not take into account the state of the publishing industry, which has been affected by both COVID-19 and the economic downturn in academic publishing. Fewer and fewer academic presses are publishing fewer and fewer manuscripts, and there is now a proliferation of alternatives, many digitally-based, to the monograph. Additionally, the impact of COVID-19 slowed the review process for academic manuscripts down considerably, and acquisitions editors at academic presses have been open about the extended timeline they now encounter in securing external evaluators. For many years, there has not been a regularized normative process of receiving a manuscript and having it reviewed by external evaluators (peer reviewers) in a timely manner.

CAP discussed the issue of how to address the above problems and began to consider possible solutions. We recommend that next year's CAP continue this work, creating a formal clarification of the May 2020 memo in an updated EVC/CAP Chair memo, which would include a comprehensive statement of principles, aligned with the spirit and substance of the 2012 Best Practices document. Finally, CAP strongly believes that promotion in text-based disciplines may be based on work that embraces public-facing and digital projects in Arts, Humanities, and Social Sciences (see *II.D. Public Facing Digital Humanities or Social Sciences Community Work below*).

II.   CAP Review and Evaluation

II.A   Service Expectations

Expectations for service vary at different ranks, and it is important that faculty members be aware of the expectations used in the CAP personnel review process. Sample expectations typical for excellent service at each rank are described below for each of the three professorial ranks. Note that the objective is not that candidates fulfill all listed "expectations", but rather that these are possible examples for meeting expectations. Assessments of outstanding service would go beyond these expectations in time, effort, quality, responsibility, and/or quantity. We also note that service expectations for teaching professors are largely equivalent to those

---

[8] UCSC Working Group Best Practices in Personnel Reviews (Humanities and Social Sciences Division), June 1, 2012 https://senate.ucsc.edu/committees/cca-committee-on-career-advising/faculty-career-resources/27.-cap_s-best-practices-for-personnel-reviews-in-text-based-disciplines-humanities-division-and-social-sciences-division.pdf

of Senate faculty in the Professor series (see   [APM 210](#) and a [campus memo](#)[9]).

(i) Service to Department, Division, College, Campus, UC-Wide

Assistants: Primarily department service: serving as members of departmental committees (including *ad hoc*); participating in department admissions work, recruiting events, panels, etc. No or very low expectation of division or Senate service.

Associates: Department, division, and Senate service: chairing a department committee, including search committees; serving on a divisional or Senate committee as members. Service expectations increase substantially after tenure in both quantity, work load, and leadership roles.

Full: Extensive and significant service at all levels. Expectation of heavy division, and/or Senate, and/or campus, and/or UC wide service (except when chairing a department). In addition to service described for previous ranks, add for example: chairing the department, serving on Senate committees, division service, campus service (colleges, centers, etc.), UC-wide service.

Step VI and Above Scale: Very extensive and significant service at all levels: department, and/or division, and/or Senate, and/or campus, and/or UC-wide service (except when chairing a department), for example chairing a Senate committee, etc.

(ii) Service to the Profession

Assistants: Reviewing manuscripts for journals, publishers; reviewing grants, fellowships, etc. conference service (reviewing conference proposals, serving on committees). All minimal at this rank.

Associates: Increased level of responsibility can reflect impact of research or scholarly work, increased grant reviewing, increased conference service (i.e. chairing a committee); reviewing tenure files.

Full: Increased responsibilities can reflect impact of research or scholarly work, editorial boards or associate editor work; chairing grant reviews, leadership in conference service; reviewing tenure and promotion files.

Step VI and Above Scale: Significant and recognized service to the profession, including editorial boards, associate editor, or editor work; chairing grant reviews, leadership in conference service; reviewing tenure and promotion files, etc.

(iii) Service to Communities (Non-University Organizations, K-12 Schools, etc.)

Assistants: Minimal service to communities, for example service required by the faculty's research, teaching, or mentoring.

Associates: Increased service to communities, for example outreach to local schools or organizations.

Full: Substantial service to communities, especially service related to the faculty's research, scholarly activity, teaching, or mentoring.

Step VI and Above Scale: Expectation of significant service load to communities.

---

[9] CP/EVC Kletzer and CAP Chair Ito to Senate Faculty, 10/08/20, Re: Guidance for Evaluation of Teaching Professors and for the Application of the Campus Special Salary Practice https://apo.ucsc.edu/news-events/campus_memos/10-08-20-evc-cap-lsoe-eval-guidance.html

CAP recognizes that "invisible service" should be rewarded in the personnel review process. As such, reviewers may or may not know what work one actually does in a given service responsibility, so it is strongly recommended that candidates and departments briefly describe the time dedicated to a service obligation (e.g. we meet weekly, monthly, yearly for x hours), the effort involved (e.g. "This committee involved a reasonable amount of effort, beyond attending meetings, I was involved in other activities that took weekly/monthly effort or attention."), and/or the resulting activities or products (e.g. "This committee entailed a substantial amount of effort beyond attending weekly meetings, including activities such as reviewing documents, revising documents, producing documents, creating other products, etc.").

II.B   Contextualizing Publications in Personal Statements and Letters

It is crucial that in preparing personnel file portfolios, the candidate and the department provide contextual information for journals and other publication venues. There are multiple ways to do this, and they vary by field: some journals provide acceptance rates; some disciplines use journal ranking or ratings; some disciplines regularly survey researchers asking them to identify the top 5 or 10 journals in that area. Other ways to contextualize journals include describing the audience (general research, researchers in a particular area, practitioners, etc.). Book publishers can also be contextualized and described in terms of the audience, status, and/or impact. Similarly, chapters in edited books can be contextualized by describing the status and impact of the editors or publisher.

Additionally, regarding what to include in the reviews, the most informative information about publications would include what is innovative, insightful, significant or particularly noteworthy about a candidate's scholarly works, instead of merely summarizing the content of research publications. It is also essential for candidates to explain what revisions to previous submissions entail, so CAP can adequately evaluate the new version of materials included in a file.

Finally, in disciplines where multi-authorship is common, it is essential that the personnel files include a clarification on the nature of the candidate's original contributions to the publication; it is also helpful to indicate the disciplinary practice of how authors are listed in a publication, since those practices differ widely across disciplines (e.g., alphabetical listing, listing according to amount of contribution, etc.).

II.C   Campus Practice Issues

CAP strongly recommends that, in line with the 2017 VPAA memo[10], the Special Salary practice of A1 (acceleration with the addition of one-third step of off-scale salary) be

---

[10] VPAA Lee to Deans, Department Chairs, and Senate Chair, 5/26/17, Re: UCSC Special Salary Practice Modifications https://apo.ucsc.edu/news-events/campus_memos/5-26-17-evc-memo.html#:~:text=RE%3A%20UCSC%20Special%20Salary%20Practice%20Modifications&text=The%20SSP%20allows%20for%20advancement,not%20affected%20by%20the%20SSP.

considered for files that are beyond outstanding for service, not only for research. To CAP's knowledge, during the 2021-2022 academic year, files were only awarded A1 at the EVC/Chancellor level if the faculty member's *research* was deemed to be beyond outstanding. This criterion, however, appears to be at odds with the 2017 memo, which clearly states that "*The criteria for merit and promotion advancement at all ranks and steps are not affected by the SSP*" (emphasis ours), and that "A1: In rare and exceptional circumstances, acceleration files that exceed the standard for a two-step advancement will be considered for an off-scale salary increase of one-third of a step." The first sentence stipulates that *the regular criteria must be applied* - i.e., research, teaching and service - when evaluating a file. The second sentence underscores that the A1 practice is not limited to research productivity. Moreover, G1 or G2 advancements (also part of the SSP) "are appropriate when performance is outstanding in two of the three areas or when performance is unusually outstanding in only one of the three areas." An A1 is, in actuality, a G1 on an accelerated file. Disallowing an A1 merit increase based on service might discourage faculty from undertaking major service obligations across campus, if that service results in negatively impacting one's research productivity, thus yielding a merit outcome that does not reflect that faculty member's performance in all three areas combined. CAP strongly disagrees with applying A1 only to beyond-outstanding research, and recommends allowing this type of advancement for beyond-outstanding service as well (the A1 already stipulates that *all three areas* meet the threshold of *outstanding*, so the faculty member will have proven to be productive in all three areas anyway). Similarly, for Teaching Professors, A1 should be considered for files that are beyond outstanding for teaching or service.

CAP notes that in 2021-22 there was some confusion with regards to accelerations being part of the considerations pertaining to the SSP: accelerations "of two or more steps" are contemplated by the CAPM 410.220, were awarded for many years prior to the creation of the SSP, and are therefore unrelated to the SSP. This is especially relevant in instances where an action's review period extends beyond the most-recent review period, which counts for the SSP.

CAP strongly encourages the administration to consider additional forms of allowable greater-than-normal actions within the scope of the SSP, to reward files that are beyond-outstanding in two or more areas (such as A2 and A3 actions, equivalent to an acceleration plus ⅔ or 1 step in additional off-scale compensation).

II.D   Public Facing Digital Humanities or Social Sciences Community Work

Increasingly, CAP has encountered faculty dossiers that include public-facing, community-oriented, and/or digital scholarship, primarily in (although we expect not limited to) the Arts, Humanities and Social Sciences Divisions. Several professional organizations are now offering guidelines for evaluating new types of scholarship, and these developments also require that the campus re-conceptualizes how to measure faculty research performance beyond traditional types of publications, and what evidence is required for effective evaluation. As APM 201-1-d posits, scholarly modes of presentation continually change: "As the University enters new fields of endeavor and refocuses its ongoing activities, cases will

arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility."

For context, the American Philosophical Association[11] "encourages departments, colleges, and universities to recognize public philosophy as a growing site of scholarly involvement… [and] develop standards for evaluating and practices for rewarding public philosophy in decisions regarding promotion, tenure, and salary, so that faculty members who are interested in this work may, if they choose, pursue it with appropriate recognition and without professional discouragement or penalty…" The American Historical Association has also developed guidelines for evaluating digital[12] and public-oriented[13] scholarship.

Since it is neither practical nor desirable to develop an overarching set of standards for excellence that covers all disciplines on our campus, it is crucial for departments and deans to contextualize the importance of public-facing, community-oriented, and/or digital scholarship for faculty reviews, by explaining how it meets or exceeds disciplinary standards. Accordingly, in cases where the faculty member's scholarly activity includes work that extends beyond traditional forms of presentation (e.g., books, articles), inviting potential reviewers to assess the intellectual, research, and creative dimensions and overall impact of *all* modes of scholarship. Additionally, both the department and external reviewers should explain how the candidate's public-facing, community-oriented, and/or digital scholarship interfaces with their teaching and service.

This last point is an important ancillary consideration for faculty evaluations, and it is in line with UCOP's recommendation[14] that "[a]lthough research is typically evaluated separately from teaching and service, these three elements of UC's mission are, in fact, interdependent and can be synergistic...." In other words, instead of evaluating faculty performance separately in these three categories, research, teaching and service should be seen as integrally interwoven, particularly for faculty engaged in public-facing research and public service. Moreover, as APM 210-1-d states, "the review committee shall exercise reasonable flexibility, balancing when the case requires heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another."

Community-engaged scholarship at UC Santa Cruz includes research conducted in partnership with non-academic agencies and organizations in our local community, across the country, and even internationally. These can include public agencies, non-profit organizations, K-12 schools or school districts, multi-sector collaboratives, and other

---

[11] https://www.apaonline.org/page/publicphilosophy

[12] https://www.historians.org/teaching-and-learning/digital-history-resources/evaluation-of-digital-scholarship-in-history/guidelines-for-the-professional-evaluation-of-digital-scholarship-by-historians

[13] https://www.historians.org/jobs-and-professional-development/statements-standards-and-guidelines-of-the-discipline/tenure-promotion-and-the-publicly-engaged-academic-historian

[14] The Pursuit of Collective Excellence in Research at the University of California, April 16, 2017
https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/collective-excellence......final.pdf

community entities. Publication venues for the results of such scholarship might not be directed toward an audience of researchers but, instead, towards an audience of policy makers, practitioners, or activists. Such products and publications need to be included in files (with supporting descriptions) and considered as part of a candidate's productivity. Community engagement is a core component of UCSC's mission and vision, which include values of social and environmental responsibility and a commitment to community engagement.

II.E   Pathways Between Series (Lateral Moves)

Pathways between series (sometimes called lateral moves) include a move from a ladder rank position to a position as Teaching Professor or from an appointment as a Research faculty to a ladder rank position. Although these lateral moves are not frequent, it is important to have clear guidelines for how these moves are offered to faculty, and how they are considered and assessed. This year's CAP noted that at present, it is difficult to find such guidelines other than hidden deep in the CAPM or APM. CAP would like to see campus-wide guidelines for faculty who would like to consider and prepare for making such pathway (lateral) moves during their career at UCSC. Such moves would allow ladder-rank faculty at any rank or step to transition into a Teaching Professor position, Teaching Professors to move into ladder-rank faculty positions, or Research Faculty to move into available ladder-rank positions. These options require that the process for such moves be described clearly and discussed with faculty.

II.F   Recommendations to Facilitate the Review of Files

The Recommendations to Facilitate the Review of Files[15] is a list of CAP recommendations to facilitate the review of files, which includes information on service expectations, file composition, justification for appointment and retention salaries, expectations for external reviewers, and Teaching Professor expectations. The document may be found on the CAP page of the Academic Senate website.

Additional tips and recommendations may also be found on the CAP webpage[16]:

- Top 10 Tips for Faculty
- CAP's Tips for Department Chairs
- Best Practices for Personnel Reviews in Text-Based Disciplines (Humanities Division and Social Sciences Division)

III.   Collaboration with Other Senate Committees

This year CAP worked collaboratively with several other Senate committees on a range of issues affecting faculty personnel actions.

---

[15] CAP Recommendations to Facilitate the Review of Files, Spring 2021
https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/cap_recstofacilitatereviewoffiles_082021.pdf
[16] Committee on Academic Personnel: https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html

A. Evidence of Excellence in Teaching (SETs and Other Forms of Evidence)

Current policy requires that each personnel file include at least two forms of evidence of excellence in teaching. CAP consulted with other campus units this year regarding recent revisions to the Student Experiences of Teaching Surveys (SETs). Chair Profumo attended a meeting with the Committee on Teaching (COT) on November 9, where ITS System Analyst and SET Service Manager Rebecca Peet presented an update on the campus shift to the new BLUE platform for SETs. CAP was asked to opine on three issues: (1) As the initial "overall effectiveness" question that was used in the original Personnel Review Teaching Table is associated with many layers of bias, CAP was asked whether it is important to mine old data to add a second question to the teaching tables from earlier time periods. COT additionally expressed an interest in hearing (2) how CAP regards low Student Experience of Teaching (SET) response rates and (3) whether an anonymity threshold and/or different thresholds across campus would raise concerns. CAP considered each of these questions during its meetings of November 18, 2021, December 2, 2021, and May 19, 2022.

With regard to the teaching tables for actions that predate the current teaching table, CAP considered whether the "overall teaching question" should be eliminated/replaced, whether it should be augmented with a second SET question, and whether the effort of mining additional data was worth the effort. Although the Personnel Review Teaching Table is one tool that is used by CAP and other reviewing bodies to assist in the evaluation of teaching, CAP conducts a holistic review of each file and looks for additional indicators of teaching effectiveness such as syllabi, other teaching materials, and personal statements regarding teaching. In addition, a team of CAP members reads each and every SET and student comment associated with every personnel file. CAP contends that in terms of institutional memory, there must be some acknowledgement that these former reviews included SETs and teaching tables that included the "overall effectiveness" question. As such, members ultimately agreed that any and all questions of those SETs could be influenced by the bias associated with those questions. Therefore, CAP is in favor of leaving the old teaching tables as they are including the "overall effectiveness" question. If desired, and as suggested by AVP Jody Greene, an asterisked comment at the bottom of the table could be included to note that the overall effectiveness question is likely to involve more bias, and has therefore been removed from the later revisions of SETs.

With regard to SETs response rates, CAP carefully notes the student response rate, and takes that information into account while weighing SET outcomes as part of the evidence of teaching effectiveness in our holistic review of teaching. We do find that it can be challenging to assess teaching excellence (or judging a file as beyond excellent) when response rates are very low. We appreciate COT's and CITL's efforts to encourage faculty to use best practices to increase response rates. Further, we plan to encourage the use of these best practices in future CAP communications to department chairs and faculty.

With regard to anonymity thresholds, we understand that graduate students and other students in very small classes may have concerns about whether their SETs ratings and comments may be identifiable. For this reason, SETs are generally not used for independent studies (though

we do see them in some files), and some departments do not use SETs in small classes. CAP is aware of other campuses that have created anonymity thresholds below which no SETs are given; having a campus-wide policy about which courses use SETs would be preferable to the current imbalance across departments. CAP invites COT (with CITL) to consider which threshold in the number of students should be considered as a minimum to request students to fill out SETs. CAP would be happy to discuss these issues with next year's COT, and would additionally welcome a conversation to consider whether SETs should be used for independent studies courses.

B. CAP/CFW: Addressing Salary Equity and Competitiveness

In summer and fall 2021, CAP and the Committee on Faculty Welfare (CFW) formed a working group to assess salary competitiveness and the effect of the recent curtailment of the Special Salary Practice. CAP and CFW issued a joint memo to CP/EVC Kletzer on January 22[17] to urge the Administration to consider a number of measures to immediately address the demonstrable and worrisome lack of competitiveness of UCSC faculty salaries.

In particular, CAP and CFW recommended the following:

- A new and improved Special Salary Practice (SSP).
- A retroactive application of the 3% increase implemented in the UC 2021-22 Academic Salary Program[18] to total faculty salaries (including off-scale salaries and the further off-scale portions of above scale salaries).
- A commitment that future increases across the board be applied to total salaries.

The working group found that UC Santa Cruz salaries continue to be lower than system-wide salaries, despite the cost of living in the Santa Cruz area ranking among the highest compared to our sister campuses. A comparative salary analysis by CAP Chair Profumo showed that while the differential between UCSC salaries and those on other UC campuses had been progressively improving as the intended result of the original Special Salary Practice, launched in 2012, this progress stopped and reversed with the modification of the Special Salary Practice in 2017-2018. A stronger Special Salary Practice is thus needed, at the very least restoring it to its original formulation.

CAP and CFW further recommended that UCSC should, like other UC campuses, apply centrally-mandated raises to total salaries, including at above scale. This is a matter of equity both across UC campuses and within UCSC ranks. Faculty at UCSC teach and research as much as faculty at other campuses. Indeed, the ratio of FTE per number of students is higher at UCSC than at any other UC campus.[19] Within our ranks, the most obvious equity issue is

---

[17] CAP Chair Profumo and CFW Chair Orlandi to Chancellor Larive and CP/EVC Kletzer, 1/21/22, Re: Addressing Salary Equity and Competitiveness at UC Santa Cruz

[18] UC President Drake to Chancellors, et al., 5/14/21, Re: 2021-22 Salary Program for Policy-Covered Staff Employees and Academic Appointees
https://drive.google.com/file/d/1MEeakan40EOp209mB0BZdc5sVhAdKCq5/view

[19] Shared in a slide presentation at the September 13, 2021 UCSC Leadership Retreat.   Based on data from the UC Info Center Data: https://www.universityofcalifornia.edu/infocenter/student-faculty-ratio

with Teaching Professors who were previously Lecturers with Security of Employment without off-scale salaries. Some Teaching Professors' salaries were given a significant off-scale portion when they transitioned to the Teaching Professor salary scales. Thus, had they not transitioned, they would have received an increase on their total salaries rather than on just a portion. CAP and CFW urged that this unintended negative consequence be rectified.

CFW receives annual salary data from the Academic Personnel Office and routinely conducts an annual analysis of UCSC salaries in comparison to our sister UC campuses.   More recent CFW's reports have focused in part on the effects of the Special Salary Practice first implemented in 2012 and then modified in 2018. The CAP/CFW Working Group also focused on the effects of the SSP. The Working Group's analysis makes clear that, even without factoring in any cost of living, at all ranks, UCSC is not on par with the UC systemwide median and that, for two of the three ranks (Assistant and Full), this discrepancy in salaries is increasing. Figure 1 shows the Salary Differential between UCSC salaries and 9-campus median salaries as of 2018 (blue columns) and in 2020 (orange columns) for the ranks of Assistant, Associate, and Full Professor (REG and BEE scales aggregated).
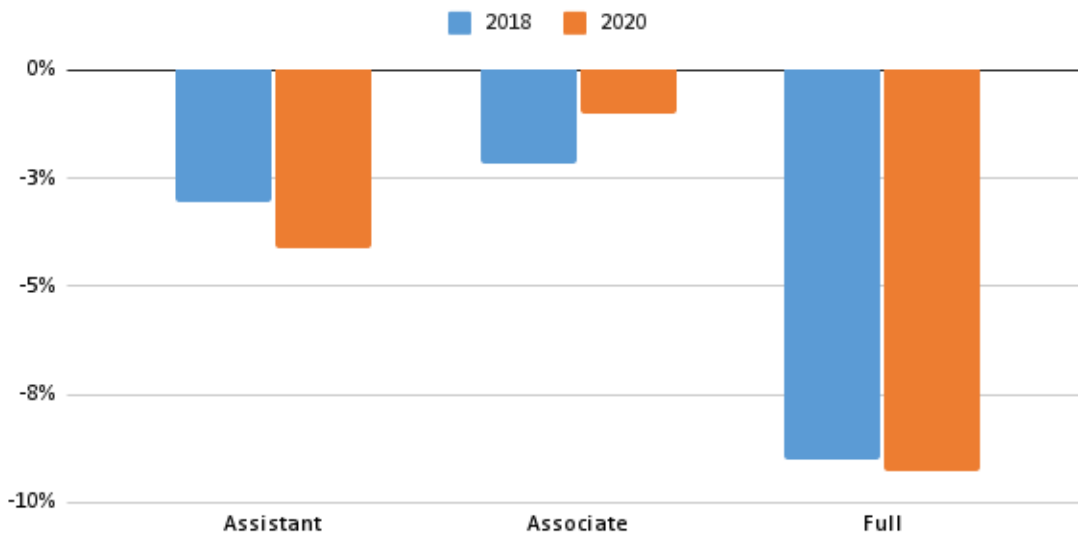

Figure 1. Salary Differential in 2018 and in 2020.

Even more worrisome are the trends the working group observed for salary growth. For UCSC to catch up to the other UC campuses, faculty salaries would need to grow faster at UCSC than elsewhere. Although our campus was making progress towards this goal with the original Special Salary Practice, following the modification and reduction of the SSP in 2017-18, this is no longer the case at the ranks of Assistant and Full Professor, with relative growth diminishing also at the Associate rank (see Figure 2).
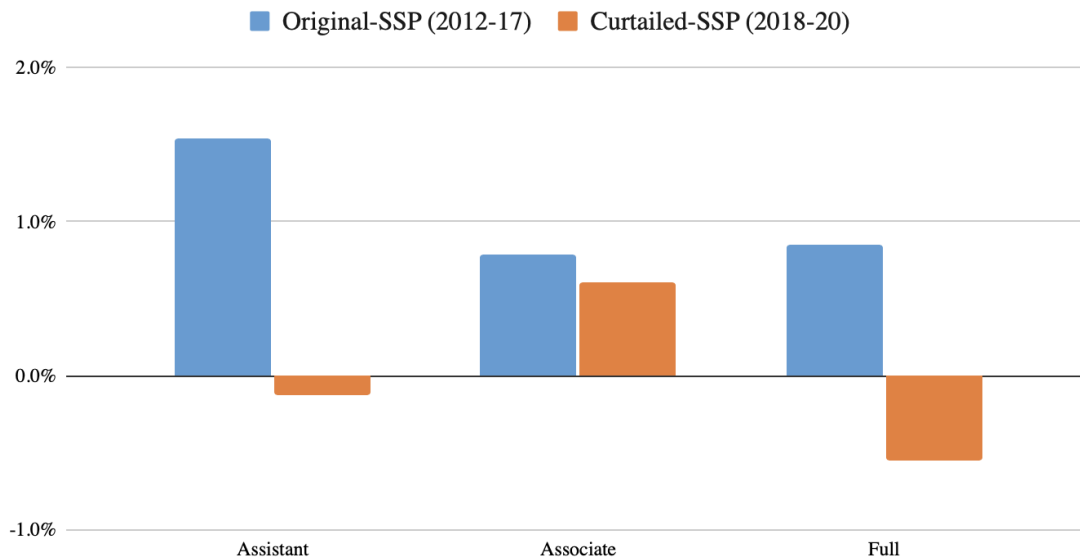
Figure 2. Salary Growth through time.

CAP and CFW recommended that a Senate/administrative working group be charged with designing a new Special Salary Practice that is better equipped to address system-wide disparities, as well as the concerning rise in inflation. The preliminary analysis indicates that the curtailment of the Special Salary Practice has borne out very minimal savings to the campus budget, while clearly compromising the competitiveness of UCSC salaries to attract and retain high-profile faculty members.

As for the 2021 centrally-sanctioned faculty salary increase which was part of a 3-year plan of increases to keep UC Salaries competitive nationwide, many other UC campuses (Berkeley, Davis, Irvine, Los Angeles and San Diego) have applied the 3% increase in salaries to full salaries (both on- and off-scale portions). Some of these campuses also applied the raise to total above-scale salaries. At UC Santa Cruz, by contrast, this modest increase was applied only to the on-scale portion of our salaries. The Working Group failed to see a rationale for this decision, particularly given the data discussed above, and the problematic situation of Teaching Professors already described. At UC Davis, for example, the increase was originally applied to on-scale salaries only, but the administration there changed course in response to Senate feedback. CAP and CFW urged the UC Santa Cruz Administration to do the same[20]. If this practice of applying increases only to portions of faculty salaries were to continue, it would exacerbate existing disparities between UC Santa Cruz and other UCs.

---

[20] CAP Chair Profumo and CFW Chair Orlandi, 1/21/22, Re: Addressing Salary Equity and Competitiveness at UC Santa Cruz

Even though such increases in salary may seem small, they have a cumulative effect on faculty remuneration and pension. The Working Group strongly recommended the 3% increase of the 2021-22 Academic Salary Program to be retroactively applied to the full off-scale portion of faculty salaries. Furthermore, all future, across-the-board faculty salary increases should be applied to full salaries on our campus.

The CAP/CFW Working Group reiterated that competitiveness in remuneration is central to the ability of the University to attract and retain excellent faculty and it should be one of the administration's top priorities.

C. Career and Salary Equity Reviews

Three years ago Senate faculty in the Lecturer with Security of Employment series (LSOE/Teaching Professors) across the UC system were placed on a rank/step system of salary scales that is identical to that of the ladder series. However, there is still a need to update certain campus practices, procedures, and policies to bring the series more in line with ladder rank faculty, which is an overarching system-wide goal. In particular, the possibility for a Career Equity Review (CER) at tenure or promotion reviews that is available to faculty in the ladder series is not yet available to faculty in the LSOE (Teaching Professor) series at UC Santa Cruz, whereas the CER is currently available to this series on at least 5 of our 8 sister campuses[21]. Similarly, the designation of "Distinguished Professor of Teaching" for LSOE who are above scale is not available at UC Santa Cruz. CAP shared a CAP correspondence on the topic[22] with the Senate Executive Committee, and received strong endorsement "that the CAPM and applicable campus practices be updated to ensure that both Career Equity Reviews and a "Distinguished Professor" option be made available to our valued Teaching Professor colleagues"[23].

UC Santa Cruz does not currently have any program of salary equity review, as is available at other UC-system campuses and to faculty administrators on this campus. CAP strongly encourages the Administration to initiate such a salary equity review process for all faculty

---

[21] UC Irvine, Career Equity Review: https://ap.uci.edu/programs/career-equity-review/
UC Santa Barbara, Career Equity Review:
https://ap.ucsb.edu/policies.and.procedures/red.binder/drafts/2021.01/combined.pdf
UC San Diego, Career Equity Review:
https://adminrecords.ucsd.edu/Notices/2003/2003-7-7-1.html?_ga=2.97296927.1228805072.1633736532-343382683.1630628999
UC Los Angeles, Merit Equity Review:
https://www.college.ucla.edu/aptoolkit/dossier-toolkit/regular-professor-series/tenured-professor-merit-equity-review/
UC Davis, Career Equity Review:
https://academicaffairs.ucdavis.edu/career-equity-review

[22] CAP Chair Profumo to Chancellor Larive and CP/EVC Kletzer, 10/14/21, Re: Career Equity Review and Distinguished Professor Designation for Teaching Professors
[23] Senate Chair Brundage to CP/EVC Kletzer, 10/29/21, Re: Career Equity Review and Distinguished Professor Designation for Teaching Professors

members at any point in their career when they conclude such a review is warranted. CAP notes that the purpose of the current "equity" program, the CER, is not about salary equity. Instead, the CER review considers whether a faculty member is at the appropriate step. A mis-placement of step can be due to multiple issues (described in the CER directions). However, the CER process does not include or address any issues due to a comparison with the salary of other faculty at the same rank and step. The CER is most appropriately carried out at the time of promotion, since it uses external review letters to make decisions about the appropriate rank and step (not salary). Salary equity issues, instead, might emerge, potentially, at any time. CAP also intends to clarify that a salary equity review process is different from the "one-time salary equity program for 2022" adjustment based on average salary that will take place in 2022-23. In the future, CAP encourages the UCSC campus to explore possible ways to address issues of salary equity.

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 Ibukun Bloom for his tireless efforts and great patience in working with the DivData system and for being ready at a moment's notice to answer complex personnel questions. 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.

In addition, we wish to note the successful collaborations with the Committees on Teaching (COT), Faculty Welfare (CFW), Affirmative Action and Diversity (CAAD), and Planning and Budget (CPB).

Our deepest appreciation goes to Jaden Silva-Espinoza, our Senate Analyst. While juggling the work of several Academic Senate committees, and despite the difficulties of the past year, in which all work and meetings were remote, Jaden continued to serve CAP with dedication and professionalism. CAP functions smoothly in large part because of Jaden, whose quick-thinking, problem-solving, multitasking abilities and long-term, institutional knowledge of Senate functioning as well as CAP practice are beyond comparison. Her contributions to the personnel review process are immeasurable.

We would also like to express our appreciation for the many collaborative interactions with the divisional leaders—Dean Alinder, Dean Koch, Dean Mitchell, Dean Parreñas Shimizu, and Dean Wolf—and with campus leadership--VPAA Lee, CP/EVC Kletzer, and Chancellor Larive.

We consider it a great privilege to have served on CAP during 2021-22, and are grateful to our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted,

COMMITTEE ON ACADEMIC PERSONNEL
Zsuzsanna Abrams
Frank Bäuerle
Amy Beal *(S)*
Maureen Callanan *(W, S)*
Kate Edmunds
Susan Gillman
Piero Madau
Roberto Manduchi
Judit Moschkovich
Derek Murray *(F, W)*
Jie Qing
Stefano Profumo. Chair

August 31, 2022