

COMMITTEE ON ACADEMIC PERSONNEL
Annual Report, 2019-20

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 2019-20, CAP had two representatives from Arts, two from Engineering, four from Humanities (including the Chair), two from Physical and Biological Sciences, and two from Social Sciences. The committee reviewed and made recommendations on 273 personnel cases; the final administrative deciding authority concurred roughly 75% of the time, which is a slight decrease from 77% in 2018-19.

Workload

In 2019-20, 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 34 times during the academic year (10, 11, and 11 sessions in fall, winter, and spring quarters, respectively, as well as one meeting during the summer of 2020).

As noted above, CAP made recommendations this year on 273 personnel cases. The committee additionally reviewed and proposed ad hoc slates for 2 more files that were carried forward to 2020-21, and reviewed and sent a request for more information on 1 file, which was also carried forward to 2020-21. Roughly 65% of the cases for which CAP made a recommendation 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 increased slightly from the previous year. In 2018-19, CAP reviewed 23 appointment files, 15 of which were ladder rank. In 2019-20, CAP reviewed 27 appointment files, 21 of which were ladder rank. In 2017-18, 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, provided that the department's vote was unanimous.¹ It was agreed that CAP would be provided with quarterly reports regarding appointments made under this new process. In April 2019, former CP/EVC Marlene Tromp modified the delegation to include offers at the Assistant rank, Steps 1-3, with salaries up to the published scale rate for Full Professor, Step III², thus decreasing the overall number of appointment files

¹ Blumenthal to Academic Deans, 1/17/19, Revised Process for Dean Authority Senate Appointments

² Tromp to Academic Deans, 4/16/19, Re: Delegation of Authority, Assistant Professor I-III

reviewed by CAP.

CAP reviewed 1 reconsideration request in 2019-20. The number of retention cases increased: 5 were reviewed in 2018-19, and 6 reviewed this year (2019-20). For more on retentions, see the section below.

CAP's Recommendations Compared to Administrative Decisions

As noted above, during 2019-20, the final administrative decision and CAP's recommendation concurred roughly 75% of the time (201 out of 268 files completed, with 1 file that CAP reviewed carried over to 2020-21 and not yet complete, 3 files that CAP reviewed and the candidate retired before the final authority decision, and 1 file that CAP reviewed and the candidate withdrew before the final authority decision). Roughly $\frac{1}{3}$ of the disagreements concerned rank and/or step, and $\frac{2}{3}$ of them involved salary increments, typically in the range of 1/3 step.

Two disagreements involved appointments; these will be discussed separately below. Of the 65 other disagreements, not involving appointments, 22 involved a decision about the appropriate rank and/or step. Five disagreements were with the Dean: CAP recommended a higher rank/step in 1 case, and a lower rank/step in 4 cases. Thirteen disagreements were with the CP/EVC: CAP recommended a higher rank/step in 3 cases, and a lower rank/step in 10 cases. Four disagreements were with the Chancellor: CAP recommended a higher rank/step in 2 cases, and a lower step/rank in 2 cases. The remaining disagreements concerned salary (19 with Dean's authority, 20 with CP/EVC's authority, and 4 with Chancellor's authority). In the Dean's authority cases, CAP recommended higher salaries in 3 cases. Salary disagreements occurred with the Arts Dean in 6 cases, with the Physical and Biological Sciences Dean in 5 cases, with the Social Sciences Dean in 2 cases, and with the Dean of Baskin School of Engineering in 6 cases. There were no salary disagreements with the Humanities Dean. In the CP/EVC authority cases, CAP recommended a higher salary than was awarded in 7 cases and a lower salary in the remaining 13 cases. In the Chancellor authority cases, CAP recommended a higher salary than was awarded in 3 cases and a lower salary in the remaining 1 case.

In 2019-20, CAP reviewed 145 files, excluding appointment and retention files, that were Chancellor's or CP/EVC's authority: 18 from the Arts (1 of which was carried over to 2020-21); 28 from the Humanities (2 of which retired before the final authority decision); 46 from PBSci (1 of which was carried over to 2020-21, and 1 retired before the final authority decision); 33 from Social Sciences; and 20 from the Baskin School of Engineering (BSOE). Of the completed files, the CP/EVC disagreed with CAP on 3 Arts files reviewed (2% of the Chancellor and CP/EVC authority total); the CP/EVC decision was for a lower salary than that recommended by CAP in 1 case, a higher salary in 1 case, and a lower step in 1 case. The CP/EVC disagreed with CAP on 5 Humanities files (2%), deciding on a lower salary than the CAP recommendation in 2 cases, a higher salary in 1 case, and a higher step in 2 cases. The

CP/EVC disagreed with CAP on 15 PBSci files (3%), deciding on a lower salary in 2 cases, a higher salary in 8 cases, and a higher step in 5 cases. The CP/EVC disagreed with CAP on 4 Social Sciences files (1%), deciding on a lower salary than that recommended by CAP in 1 case, a higher salary than that recommended by CAP in 1 case, a lower step in 1 case, and a higher step than that recommended by CAP in 1 case. The CP/EVC disagreed with CAP on 7 BSOE files (4%), deciding on a lower salary in 1 case, a higher salary in 3 cases, a lower step in 1 case, and a higher step in 3 cases. The Chancellor disagreed with CAP on 2 Humanities files (1%), deciding on a lower salary than that recommended by CAP in both cases. The Chancellor disagreed with CAP on 2 Physical and Biological Sciences files (less than 1%), deciding on a lower salary than that recommended by CAP in 1 case, and a higher salary than that recommended by CAP in 1 case. The Chancellor disagreed with CAP on 2 Social Sciences files (less than 1%), recommending a lower step than CAP in both cases. The Chancellor disagreed with CAP on 2 Engineering files (1%), recommending a higher step than CAP in both cases.

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 2 salary disagreements with CP/EVC authority appointment cases, the CP/EVC's decision was higher than both the department's and CAP's recommendations in 1 case (this file was from PBSci), and higher than the department, CAP, and dean recommendations in 1 case (this file was also from PBSci). It should be noted that there was also a PBSci dean authority file where the original final decision matched the recommendation of both CAP and the department, but was soon revised to be higher than both CAP and the department. As the original decision matched the recommendation of CAP, this case was not included in the disagreement tally in this report. There were no disagreements with Chancellor-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 2019-20 that CAP reviewed and made recommendations on that were not completed in 2019-20 (due to *ad hocs*, requests for more information, and pending authority decisions) and were carried over to 2020-21. In addition, there were 7 files not received by CAP prior to the last meeting of the year and were carried over to 2020-21.

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 and appointment 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. 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 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 2019-20, 2 cases had an *ad hoc* committee review.

During 2019-20, 6 Senate members were selected to serve as members of *ad hoc* committees. 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

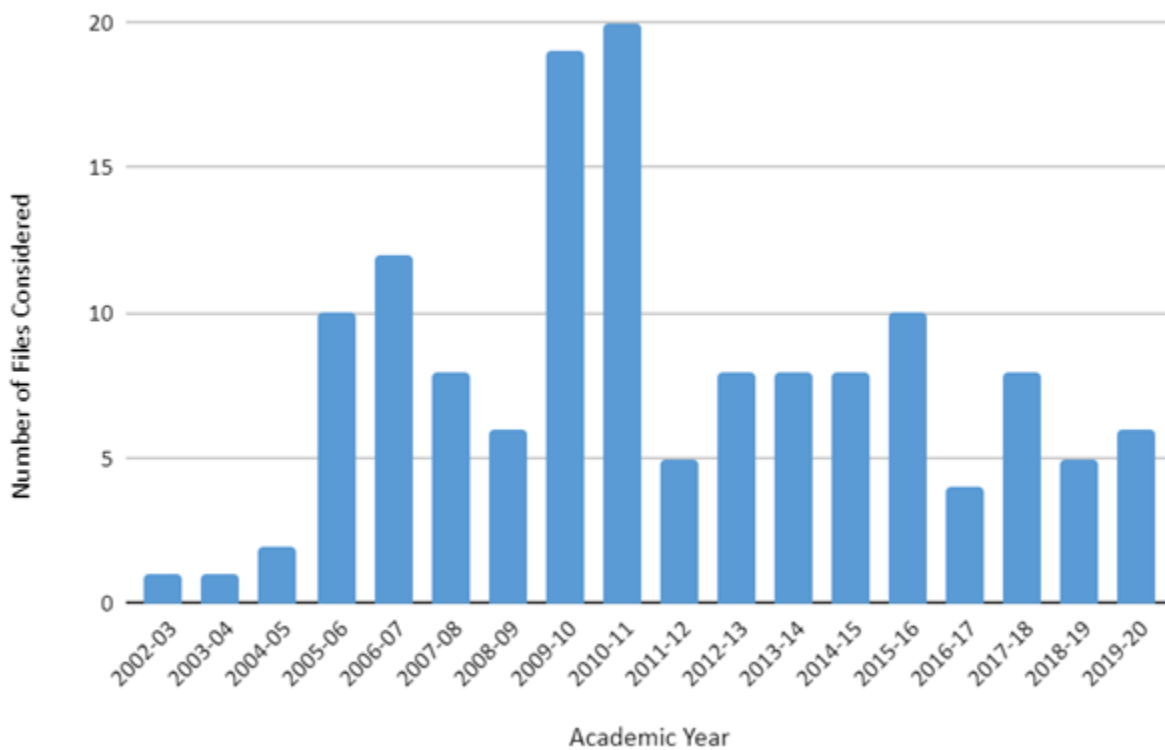
The loss of excellent faculty is a concern on our campus as well as across the UC system. CAP's goal in making recommendations on these cases is always to retain outstanding faculty, while also considering issues of equity. The long-term goal is to improve salaries on our campus, especially compared to the rest of 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.”³

As noted above, CAP reviewed 6 retention files in 2019-20. One of the retention files was for

³ 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.

a faculty member whose file was seen twice, having had a regular merit or promotion case in the same year. In light of the work that the Committee on Faculty Welfare (CFW) has been doing in recent years on the possible effects of UCSC faculty total remuneration on recruitment and retention, CAP finds it important to note that 5 of the 6 retention offers were successful.

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



Additional CAP Responsibilities

During this year, CAP reviewed 5 requests for Waivers of Open Recruitment. In addition, CAP reviewed 12 applications for participation in the 2020-21 Negotiated Salary Trial Program (NSTP).

The Evaluation of Teaching and Teaching Professors

CAP consulted with the Committee on Teaching (COT) concerning the Student Experiences of Teaching (SET) surveys, proposed software platforms for the administration of SETs, as

well as more broadly on the assessment of teaching quality. CAP recognizes that student surveys (such as the SETs) are imperfect measures of teaching quality and can be shaped by students' conscious or unconscious biases and stereotypes (e.g., concerning age, gender, sexuality, class, religion, or birthplace). Indeed, because CAP members read literally thousands of student evaluations over the course of the year, CAP has an especially intimate and detailed awareness of this problem. At the same time, CAP believes that SETs provide a unique source of data about teaching effectiveness and respect for students. For this reason, CAP continues to support the use of SETs in an evaluative function, as part of the personnel process. Interpreted holistically and contextually, CAP finds SETs to be a useful complement to other measures for evaluating teaching (as detailed in APM 210). A summary teaching table has historically been requested to assist all levels of review, including CAP. On a temporary basis, departments are requested to include only one question ("The instructor communicated and explained concepts clearly") in this table, until automatic generation of tables can be performed using the new software platform.⁴

Our campus has experienced an increase in the number of Lecturer with Security of Employment (LSOE)/(Full and Associate) Teaching Professor and Lecturer with the Potential of Security of Employment (LPSOE)/Assistant Teaching Professor appointments. This is also the first year of the new APM policy for LSOE/Teaching Professor appointment and advancement⁵. According to the new policy, rank and step advancement expectations for the LSOE/Teaching Professor series are now more closely aligned with the Professor series, and the salary scales are identical. In addition, faculty in the LSOE/Teaching Professor series are eligible for the campus's special salary practice. At the same time, "teaching excellence" is listed as the primary criteria for advancement in the LSOE series in addition to service and professional activity. Departments can assist CAP in its work by ensuring that files for LSOE/Teaching Professor appointees are complete, that they follow the same format as files for the Professor series, that teaching load and course releases (e.g., for service) are clearly stated, and that activities are clearly delineated as either teaching, service, or research/professional activities.

The Impacts of COVID 19 and the Graduate Strike

The Committee on Academic Personnel (CAP) recognized that UC Santa Cruz faculty faced a precarious and unprecedented challenge with ^[1]_[SEP]the onset of the Covid-19 pandemic and campus efforts to prevent a viral spread, coming amid the COLA wildcat strike by graduate students on this campus. All domains of academic endeavor were affected by campus closure, remote teaching, travel restrictions, and social distancing measures. The Senate faculty received a letter on March 26th, 2020, with the assurance that CAP will take these challenges into account in its review of academic files covering the time period impacted by the strike

⁴ Westerkamp and Callanan to Deans, Chairs, and Dept. Managers, 1/15/20, Re: Student Experiences of Teaching (SETs) and the Evaluation of Teaching in Personnel Review

⁵ APM 285 - Appointment and Promotion, Lecturer with Security of Employment Series

and Covid-19. For teaching, the strike and the coronavirus crisis might seriously lower response rates and quality of student ratings and comments. We encouraged academic units to continue to use other methods of evaluation, in addition to student evaluations, to assess teaching effectiveness--for example, by annotating syllabi to highlight the necessary changes made during the impacted period, and/or by (remote) class visits by faculty colleagues. For scholarly, creative, and professional activities, CAP urged faculty under review to explain, in personal statements, the obstacles encountered in academic progress due to the coronavirus and campus closure. Faculty can note this on the Biobibliography as well--for example, by indicating that invited talks or papers accepted for conferences were not delivered because the event was subsequently cancelled or postponed. CAP made a commitment to consider these pressures when reviewing faculty, and encouraged department personnel committees, chairs, and deans to do the same.

Text-Based Disciplines

Through reviews conducted in 2018-19 and 2019-20, CAP recognized that evaluations of faculty in text-based disciplines were impacted by different expectations according to discipline and division. To move toward equity, the CAP chair met with CP/EVC Kletzer, VPAA Lee, Dean Mitchell, Dean Stovall, and Interim Dean Warburton to establish uniformity in review expectations in terms of book publication. These expectations were communicated to department chairs in Spring 2020. At the same time, building upon a letter issued by CAP in 2012, CAP noted that research production incorporates a range of products in addition to books, and that reviewing committees and individuals should provide the tools and strategies used to assess the caliber and impact of this research production, including articles and workshops, public scholarship, ongoing research activities, and digital forms.

Recommendations to Facilitate the Review of Files

In Spring 2020, CAP considered recommendations in addition to [CAP's Top Ten List of Tips for Faculty Preparing Personnel Files](#)⁶ that would further facilitate the review of files. The following are recommendations only and next year's CAP may wish to incorporate them into the Top Ten List. These recommendations were proposed to facilitate preparation and review of files and to move towards an equitable model for file presentation.

- Personal statement should be 5 pages or less for merit actions, 7 pages or less for major actions spanning more than one review period.
- Department letter should be 5 pages or less for merit actions, 7 pages or less for major actions spanning more than one review period.

⁶ CAP's Top Ten List of Tips for Faculty Preparing Personnel Files: https://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/CAP_Top10_ForFaculty_070114.pdf

- All uploaded documents should be in pdf format. This includes personal statement, department letter, review letters, list of letter-writers, teaching table, as well as documents uploaded in [Scholarly/Creative Work], and [Other Materials].
- Biobibliography should be fully updated and contain annotations (#, New, Revised, etc.) that match the items and numbers in the [Scholarly/Creative Work] tab of DivData and the personal statement.
- Biobibliography from previous action should be included. If this is the first action since appointment, the CV at time of application should be submitted and annotated to indicate which items of scholarly/creative work were submitted as part of the application.
- Co-authorship statement regarding collaborative work (if any) should be included as a separate document on the dossier page, referencing the annotated items in the Biobibliography (% of contribution, qualitative assessment, corresponding author, student collaborators, etc.).
- Summary teaching table (in pdf format) should be included as a separate document on the dossier page.
- Department's additional items used to evaluate teaching should be included. These can be syllabi or sample course materials, report of faculty observer/mentor, or statement outlining teaching modifications, improvements, or curriculum development. These items should be uploaded in [Other Materials]. See APM 210 for a fuller discussion of suggested methods for evaluating teaching.

Major action files requiring external letters:

- Confidential list of letter-writers should be included, specifying those suggested by the department and those by the candidate (including person(s) not to solicit).
- Briefly address the professional stature of the letter writers and their relationship to the candidate.
- Candidate's lists of letter-writers to solicit and letter-writers who should not be contacted (if any) are included.
- At least one letter-writer should be from another UC campus or is familiar with UC's evaluation methods.
- No more than one letter-writer from a given institution.

For additional tips and recommendations, please refer to the [CAP page](#)⁷ on the Academic Senate website, in particular, the following related links:

⁷ Committee on Academic Personnel: <https://senate.ucsc.edu/committees/cap-committee-on-academic->

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

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 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.

In addition, we appreciate the work of Maureen Callanan and the Committee on Teaching (COT) who consulted with CAP to further revise the teaching evaluation process, including the identification of a new platform. We are additionally grateful for the work of Committee on Faculty Welfare (CFW) Chair Grant MGuire, who collaborated with CAP throughout his tenure to evaluate and brainstorm ways to address concerns regarding salary equity.

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 long-term, institutional knowledge of Senate functioning as well as CAP are beyond comparison. 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, Dean Wolf, Interim Dean Warburton, and former Dean Stovall—and with campus leadership--VPAA Lee, CP/EVC Kletzer, and Chancellor Larive.

We consider it a great privilege to have served on CAP during 2019-20, and are grateful for our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted;
COMMITTEE ON ACADEMIC PERSONNEL

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January 17, 2021