

COMMITTEE ON ACADEMIC PERSONNEL
Annual Report, 2018-19

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 2018-19, 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 222 personnel cases; the final administrative deciding authority concurred roughly 77% of the time, which is a decrease from 85% in 2017-18.

Workload

In 2018-19 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 31 times during the academic year (9, 11, and 11 sessions in fall, winter, and spring quarters, respectively, as well as one meeting during the summer of 2019).

As noted above, CAP made recommendations this year on 222 personnel cases. Roughly 54% 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 from the previous year. In 2017-18, CAP reviewed 34 appointment files, 27 of which were ladder-rank. In 2018-19, CAP reviewed 23 appointment files, 15 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 reviewed by CAP.

CAP reviewed 1 reconsideration request in 2018-19. The number of retention cases decreased, 8

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

were reviewed in 2017-18, and 5 reviewed this year (2018-19). For more on retentions, see the section below.

CAP's Recommendations Compared to Administrative Decisions

As noted above, during 2018-19, the final administrative decision and CAP's recommendation concurred roughly 77% of the time (172 out of 222 files completed, with 4 files that CAP reviewed carried over to 2019-20 and not yet complete. 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.

Two disagreements involved appointments; these will be discussed separately below. Of the 48 other disagreements, not involving appointments, 14 involved a decision about the appropriate rank and/or step. Four disagreements were with the Dean: CAP recommended a higher rank/step in 3 cases, and a lower rank/step in 1 case. Seven disagreements were with the CP/EVC: CAP recommended a higher rank/step in 1 case, and a lower rank/step in 6 cases. Three disagreements were with the Chancellor: CAP recommended a higher rank/step in 1 case, and a lower step/rank in 2 cases. The remaining disagreements concerned salary (14 with Dean's authority, 19 with CP/EVC's authority, and 1 with Chancellor's authority). In the Dean's authority cases, CAP recommended higher salaries in 8 cases. Salary disagreements occurred with the Humanities Dean in 1 case, with the Physical and Biological Sciences Dean in 4 cases, with the Social Sciences Dean in 8 cases, and with the Dean of Baskin School of Engineering in 1 case. In the CP/EVC-authority cases, CAP recommended a higher salary than was awarded in 7 cases and a lower salary in the remaining 12 cases.

In 2018-19 CAP reviewed 115 files, excluding appointment and retention files, that were Chancellor's or CP/EVC's authority: 13 from the Arts (1 of which was carried over to 2019-20); 21 from the Humanities; 41 from PBSci (1 of which was carried over to 2019-20); 19 from Social Sciences; and 21 from the Baskin School of Engineering. Of the completed files, the CP/EVC disagreed with CAP on 3 Arts files reviewed (3% of the Chancellor and CP/EVC authority total); the CP/EVC decision was for a higher salary than that recommended by CAP in 1 case, and a higher step in 2 cases. The CP/EVC disagreed with CAP on 4 Humanities files (3%), deciding on a lower salary than the CAP recommendation in 1 case, a lower step in 1 case, and a higher salary in 2 cases. The CP/EVC disagreed with CAP on 12 PBSci files (10%), deciding on a lower salary in 3 cases, a higher step in 3 cases, and a higher salary in 6 cases. The CP/EVC disagreed with CAP on 2 Social Sciences files (2%), deciding on a higher step than that recommended by CAP in 1 case, and a higher salary than that recommended by CAP in 1 case. The CP/EVC disagreed with CAP on 5 SOE files (4%), deciding on a lower salary in 3 cases, and a higher salary in 2 cases. The Chancellor disagreed with CAP on 1 Humanities file (1%), deciding on a higher step than that recommended by CAP. The Chancellor disagreed with CAP on 1 Physical and Biological Sciences file (1%), deciding on a higher salary than that recommended by CAP. The Chancellor disagreed with CAP on 1 Social Sciences file (1%), recommending a lower step than CAP. The Chancellor disagreed with CAP on 1 Engineering file (1%), recommending a higher step 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 2 salary disagreements with Dean-authority appointment cases, the Dean's decision was lower than both the department's and CAP's recommendations in 1 case (this file was from BSOE). In the 1 case (Sociology), the decision was higher than the department and CAP recommendations. 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 4 cases from 2018-19 that CAP reviewed and made recommendations on that were not completed in 2018-19 (due to *ad hocs*, requests for more information, and pending authority decisions) and were carried over to 2019-20. In addition, there were 2 files that were sent back with requests for more information with no CAP recommendation, and 3 files not received by CAP prior to the last meeting of the year and were therefore not reviewed by CAP in 2018-19, all of which will be carried over to 2019-20.

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. 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 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 2018-19, 2 cases had an *ad hoc* committee review (one of which was held over to 2019-20).

During 2018-19, 3 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.

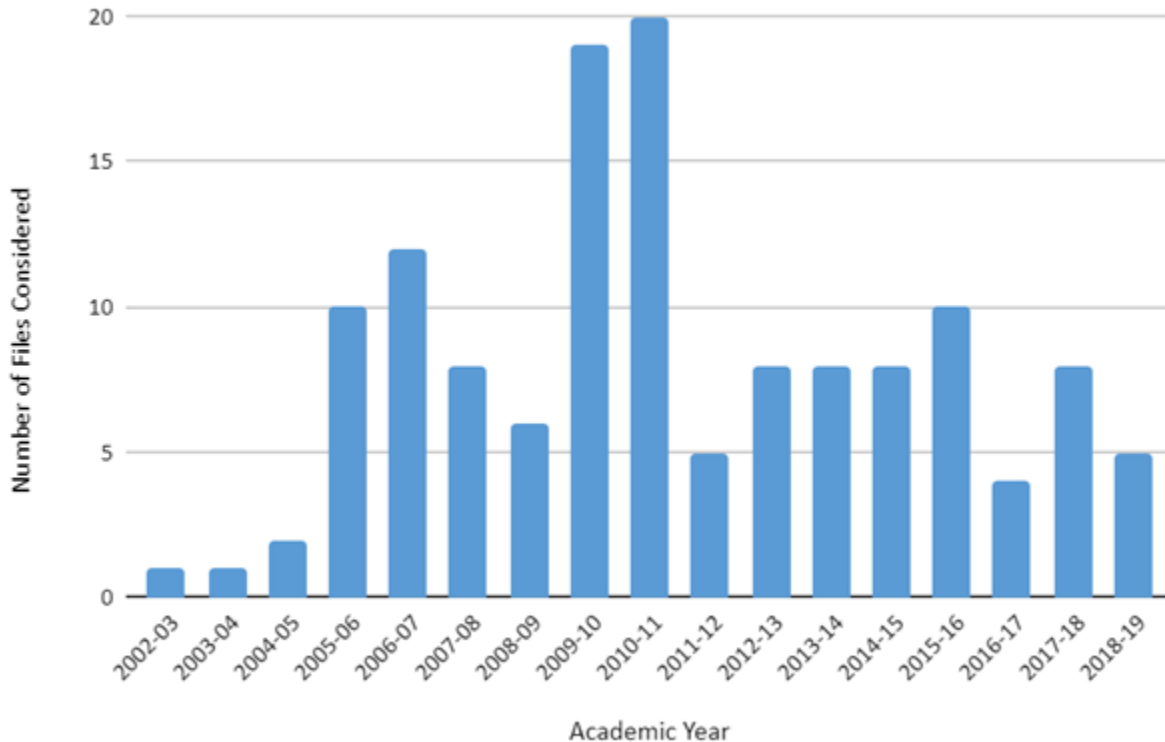
Retention

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 5 retention files in 2018-19. 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 4 of the retention offers were successful. One offer was not accepted.

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

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.



Additions to CAP Responsibilities and Membership

During this year, CAP reviewed 7 requests for Waivers of Open Recruitment. In addition, CAP reviewed 11 applications for participation in the 2019-20 Negotiated Salary Trial Program (NSTP). CAP reviewed the policy changes that placed Lecturers with Security of Employment (Teaching Professors) onto a schedule marked by ranks/steps similar to the ladder faculty system. CAP also reviewed recommendations regarding the assignment of individual Teaching Professors by rank, step, and salary, and reviewed the Strategic Academic Proposal as related to academic personnel. Finally, CAP proposed changes to Bylaw 13.10.1, the CAP Committee Charge, to increase membership from nine to eleven members. The change was approved and adopted during the Academic Senate meeting on February 20, 2019.

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 2018-19 academic year, the CAP Chair met with a broad range of constituencies at UCSC to discuss the personnel review process and encourage faculty, chairs, and deans to consult all available online resources on the campus. In addition, the CAP Chair participated in “Path to Tenure” workshops hosted by the Committee on Career Advising (CCA).

In the CP/EVC and CAP Chair Annual Memo written on July 22, 2013, a request was made that starting with all 2013-14 academic reviews, departments provide a table of the teaching for the review period that includes a summary of the quantitative course survey results regarding teaching effectiveness. This table has proven to be very useful to all levels of personnel review in providing comparable overview statistics for all faculty files. It should be noted that a team of readers continues to read all teaching evaluations in the review files. CAP has encouraged the campus to produce functionality in the new online student course survey platform 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.

In 2018-19, discussions of alternative ways to assess teaching continued at UCSC, in light of transitions to a new student online survey system, and numerous studies highlighting potential inequities and implicit biases in student surveys. The CAP Chair met informally with Committee on Teaching Chair Kim Helmer to discuss the new online Student Experience of Teaching (SET) forms. In addition, the CAP Chair visited COT, and representatives from COT visited CAP in March 2019 to review SET questions and consider their use in evaluating teaching in personnel review. Many CAP members expressed their continuing concern about removing the summary questions about the overall effectiveness of the instructor and overall learning experience of the class. CAP reiterates that the Academic Personnel Manual requires more than one kind of evidence of teaching effectiveness in each review file.⁴ 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 the mentoring of students at all levels is a critical aspect of teaching, mentorship should be explicitly described and 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 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

⁴ [APM 210-1.d.1](#) – Criteria for Appointment, Promotion, and Appraisal, Teaching

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 long-term, institutional knowledge of Senate functioning as well as CAP 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 Belanger), Dean Wolf, Dean Solt (and Acting Dean Kletzer and interim Dean Warburton), 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 2018-19, 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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