

University of California, Santa Cruz

Committee on Academic Personnel
2001-2002 Annual Report

To the Academic Senate, Santa Cruz Division:

Summary

In addition to the traditional method of reporting on CAP activities, we are including in this year's report a set of figures that show rate of advancement in relation to gender and division; level of agreement among CAP, departments, and deans; and processing time at various stages of the review process. These figures were assembled by the CAP chair, who in put data for all cases considered by this year's committee into a spreadsheet that generated comparative graphs. The figures included here should be used cautiously, since they reflect this year's cases only and therefore may not be indicative of long-term trends. Nevertheless, we hope the faculty will find this information useful. Criteria and results are explained in detail below; however, we summarize the major findings here:

- ***Salary advancement for men and women*** is almost identical.
- A measure of the ***rate of advancement through the rank and step system*** shows Natural Science and Engineering faculty moving slightly faster than those in other divisions, but the difference is not significant.
- On the other hand, in terms of ***actual salary increase expressed in equivalent number of steps*** (which may or may not correlate with step advancement), the median raise in all divisions except Engineering is one step. Salary advancement in Engineering is equivalent to approximately one-and-a-quarter steps. The number of cases in Engineering and Arts is very small compared to the other divisions; multi-year tracking is needed before definitive conclusions can be drawn.
- CAP's recommendations agree with those of departments more than 70% of the time.
- For EVC-authority cases, CAP agrees with the recommendations of deans in 70% or more of the cases.
- Processing time by divisions and the EVC office is normally very expeditious. For dean authority cases, divisional staff generally process files in one to two weeks. For EVC or chancellor authority cases, files stay in the divisions for approximately one month. With rare exceptions, CAP considers a file at the meeting following the date at which the file is received at AHR. After CAP makes a recommendation, the final decision letter is generally signed in two to three weeks.

CAP also instituted a new procedure for assembling Ad Hoc Committees this year that accelerated the personnel process. This procedure is described below.

CAP's Duties

The Committee on Academic Personnel advises the Chancellor or her designated representative — the Campus Provost/Executive Vice Chancellor or a Divisional Dean — on appointments, promotions, merit increases, and midcareer appraisals for Senate faculty, adjunct faculty, and professional researchers step 6 and above. The Committee also advises the Academic Senate and the administration on policy matters relating to academic personnel.

CAP had eight members in 2001-02 — one each from Arts and Engineering, and two each from the other divisions.

Service on CAP offers its members a chance to appreciate at close range the University's intricate review process and the remarkable variety and quality of our colleagues' achievements. We are grateful to have been able to serve the campus in this way.

Caseload

During the 2001-2002 academic year, CAP considered 214 cases in the following categories

Appointments or reappointments, adjunct professors or researchers	11
Appointments, professorial series	32
Advancement for lecturers with security of employment	1
Reappointments at the same rank/step	1
Salary increase (at the same step)	17
Merit actions (step advancement within rank)	96
Assistant professor mid-career reviews	8
Tenure	18
Promotion to full professor	18
Advancement to professor, step 6	9
Reconsiderations (appeals of decisions)	3

Appointments

CAP made positive recommendations for 32 appointments in the professorial series; more than half of the candidates accepted UCSC's offer:

untenured	tenured	accepted	declined	pending
28	4	18	12	2

By Division, these recommended appointments included:

	Arts	Humanities	Engineering	Natural Science	Social Science
accept	4	3	6	0	5
decline	0	0	11	1	0
pending	0	0	1	1	0

Tenure decisions

CAP evaluated eighteen faculty for tenure this year and made a positive recommendation in 17 cases.

Authority and level of agreement between CAP and the administration

Final authority for cases considered by CAP was distributed as follows (not including appointments):

Chancellor authority (tenure, reviews of deans)	19
Executive vice chancellor authority	98
Dean authority (merit actions below Professor Step 6 that do not involve an overlapping step, acceleration, greater-than-normal salary increase, or salary above campus limits)	54

The administrative decision agreed with CAP's recommendation in 96.5% of the cases. The final decision was different in six cases, as detailed below:

- In one case, CAP was tied.
- In three cases, the administrative decision resulted in a somewhat higher salary at the same step (at times in response to an external offer).
- In one case, the administrative decision resulted in a somewhat lower salary at the same step.
- In one case, the administrative decision resulted in the same salary at a lower step.

Ad hoc committees

We have discovered that many faculty have misconceptions about the Ad Hoc Committee process, which we attempt to clarify below.

Contrary to procedures in earlier years, Ad Hoc Committees do not now include members from off-campus except in very rare circumstances. Practice changed gradually, beginning with a policy change in 1986. The three-member ad hoc committees generally consist of one department member and two faculty from other departments who have some degree of knowledge of the candidate's field. CAP recognizes that the inclusion of a department member may be problematic. In cases in which the department's vote is split, CAP sometimes recommends a committee without a department member, since we would not be able to ascertain which faculty represent the majority viewpoint. Normally,

however, the department member serves the valuable functions of contextualizing the candidate's work and representing the view of the department.

Ad Hoc Committees are assembled for these reviews: mid-career, tenure, promotion to full professor, professor step 6, professor above scale, and appointments to tenure. CAP has the option of constituting itself as the Ad Hoc Committee for promotion and professor step 6 reviews (but not for tenure or mid-career reviews), a privilege we exercise rarely and only in strong cases with unanimous recommendations from previous reviewers. This year CAP constituted itself as the Ad Hoc Committee in 9 out of 57 cases.

In 2001-02 a total of 42 Ad Hoc Committees included 123 faculty. An additional 38 faculty agreed to serve but were not needed. CAP wishes to thank committee members for their time and their analytical reports, which help us make considered recommendations. We realize that faculty are very busy with research, teaching, and committee work; yet this service is critical to the campus because faculty quality determines campus quality. We particularly appreciate the extra effort these faculty have given to aid the personnel process.

Through a new, more efficient process, CAP was able to streamline the organization of Ad Hoc Committees this year, speeding up this cumbersome part of many reviews. For each case, CAP recommended six to nine faculty who were contacted *simultaneously* by email; a committee was assembled from those first to respond. Faculty who were assigned to a committee were moved to the bottom of our list for subsequent reviews and we tried to avoid calling them a second time during the year (though three faculty were needed more than once). Those who declined to serve were asked again. Eighteen faculty declined CAP's request to serve; an additional 18 did not respond to the email. We hope that those faculty who declined or did not respond will agree to serve in the future.

Advancement data by division and gender: Figures 1-3

The rate of advancement for each individual was tracked in two ways: (1) how rapidly s/he moved through the rank and step system; and (2) actual salary increase expressed in number of steps. These two measurements do not always correlate; in some cases salary increase is not linked directly to step advancement. For example, the "normal" progression for a faculty member at Associate Professor Step 3 is promotion to full professor. If an individual not quite ready for promotion receives a salary increase at Step 3 equivalent (in dollars) to one step, the rate of advancement is registered as "slower" but the salary increase is still 1.

Figure 1A shows the rate of advancement for all cases considered this year; 1B shows the breakdown by gender. "Normal" is defined as a single-step advancement at the time appropriate for a particular rank (two years for assistant and associate professors; three years for full professors, etc.). "Faster" represents a greater-than-normal salary increase, acceleration (movement by more than one step), and/or advancement sooner than normal. "Slower" represents less than one step or a delayed action.

As Figure 1 shows, almost the same number of faculty are moving faster as normally (Figure 1A). The small differences between men and women (Figure 1B) are not significant, particularly with only one year of data.

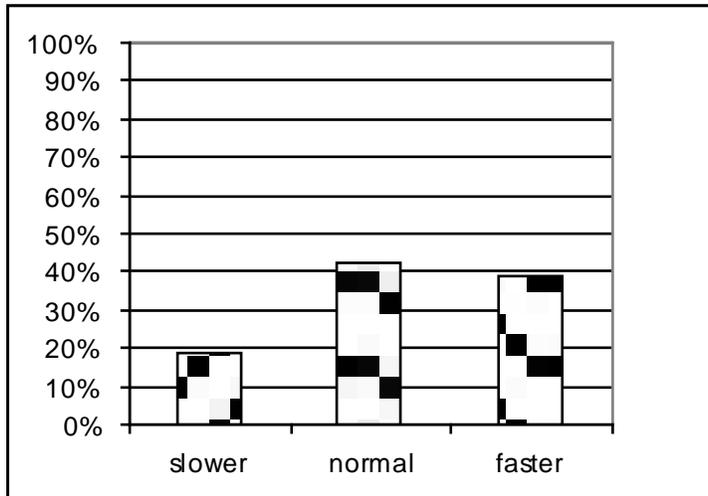


Figure 1A. Rate of advancement through the rank and step system for all ladder rank cases considered by CAP in 2001-02

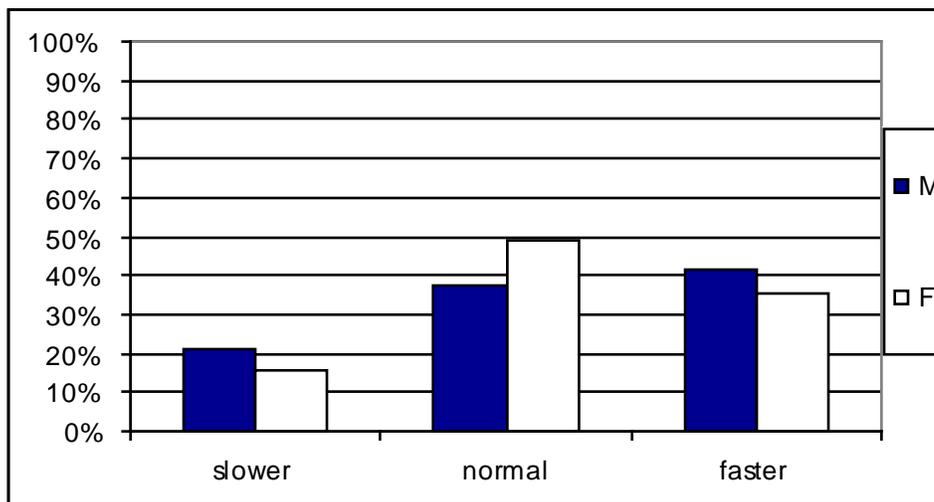


Figure 1B. Rate of advancement through the rank and step system separated by gender.

Figure 2 shows actual salary increase expressed in equivalent number of steps for male and female faculty. Data was entered in quarter-step increments and is expressed as both a mean and a median. In terms of salary, men and women advanced at nearly the same rate.

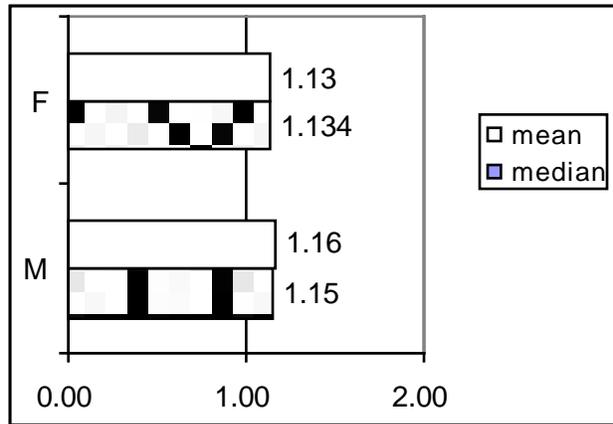


Figure 2. Salary increase expressed in equivalent number of steps for all cases considered by CAP in 2001-02: gender distribution (mean and median).

Figure 3 breaks down the data of Figures 1 and 2 by division. Whereas Engineering and Natural Science faculty are moving somewhat faster than those in the other divisions (Figure 3A), the median salary increase for all divisions except Engineering is equivalent to one step (Figure 3B). Interesting, the mean (average) is approximately 1.1 in Arts and Natural Sciences and approximately 1.25 in Social Sciences, Humanities, and Engineering.¹

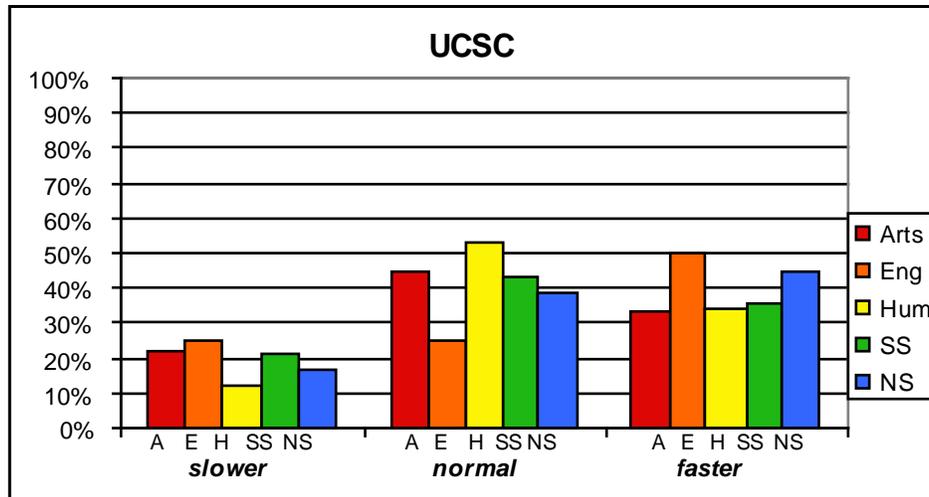


Figure 3A. Rate of advancement through the rank and step system separated by division.

¹ The mean is affected by exceptional cases, particularly when the total number of cases is small. The median — the middle value of the distribution reflecting the same number of cases above and below it — is therefore a more reliable figure when the amount of data is small.

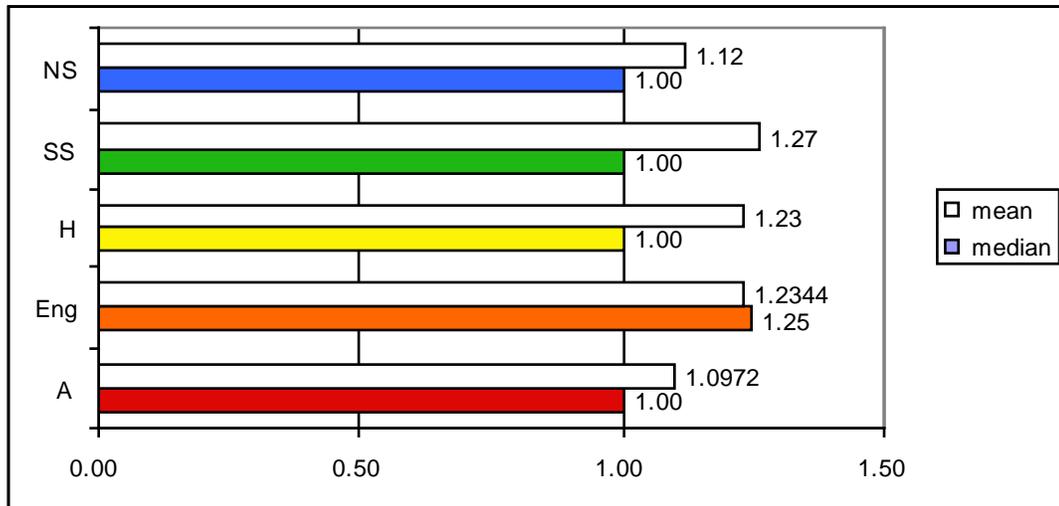


Figure 3B. Salary increase expressed in equivalent number of steps separated by division.

Data for the Arts and Engineering Divisions are less reliable as general predictors than the figures for Humanities, Natural Sciences, and Social Sciences because of the small number of cases (16 in engineering, 18 in arts); outlying cases therefore have a greater impact on the total figure. Humanities (32 cases), Social Science (51 cases), and Natural Science (48 cases) data are less subject to distortions of this kind. Nevertheless, we should be cautious about drawing conclusions from only one year. The CAP chair for next year is committed to continuing this process.

CAP's recommendations compared to those of Deans and Departments
Figures 4-5

The members of CAP consider one of their primary functions to be ensuring equity among individuals, departments, and divisions. Aggressive departments should not be able to secure salary increases for their members greater than those for comparable faculty in other departments; nor should individuals be penalized by the votes of overly-cautious departments. Figure 4A shows that CAP agrees with department recommendations in more than 70% of the cases. Figures 4B and 4C break down this data by gender and division. As these graphs show, CAP rarely recommends more than the department; the Committee occasionally recommends less.

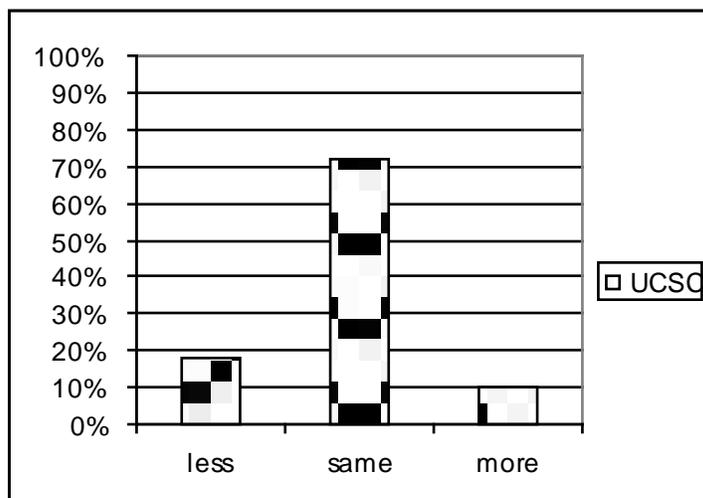


Figure 4A. CAP's recommendations in relation to those of departments.

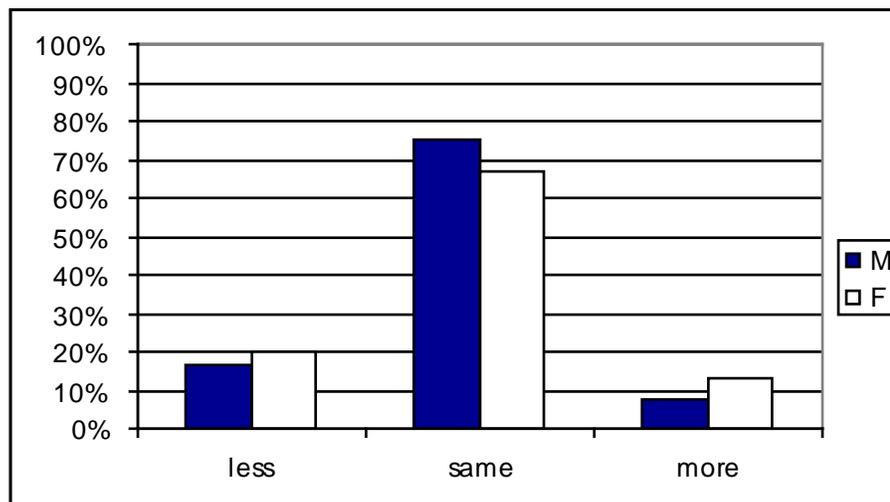


Figure 4B. CAP's recommendations vs. those of departments separated by gender.

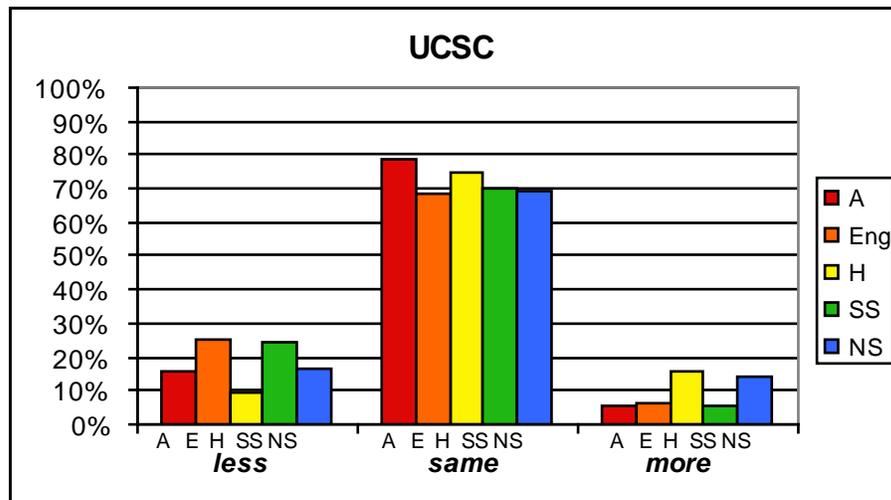


Figure 4C. CAP's recommendations vs. those of departments separated by division.

For cases in which CAP disagreed with departments, the Committee's recommendation often reflected the opinions of other reviewing bodies (Dean or Ad Hoc Committee). Figure 5 shows CAP's level of agreement with the deans for cases under EVC or Chancellor authority. Arts and Engineering data may not be indicative of general trends because of the small number of cases (10 in Arts, 9 in Engineering).

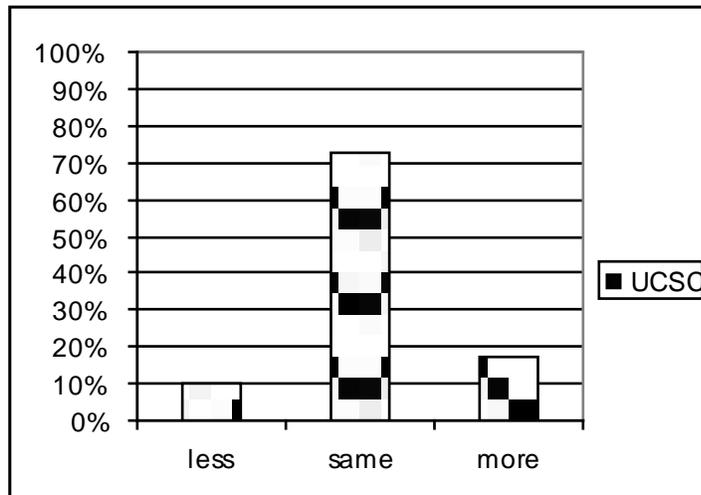


Figure 5A. CAP's recommendations in relation to those of deans

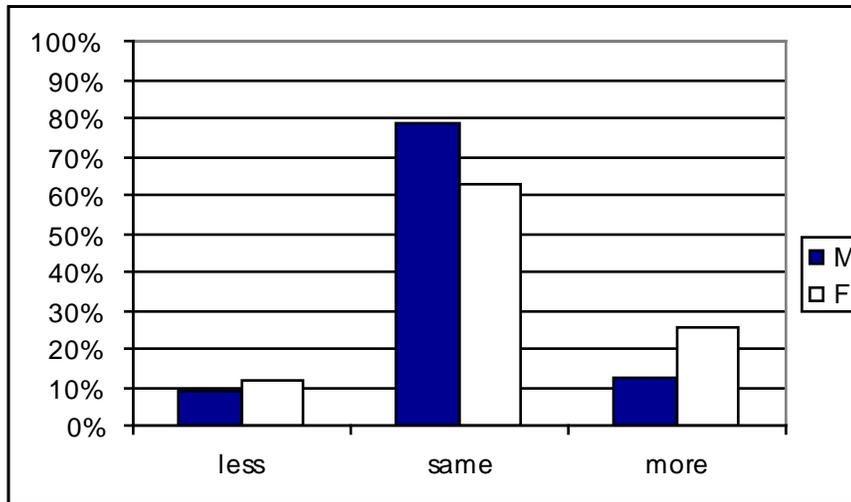


Figure 5B. CAP's recommendation vs. those of deans, by gender

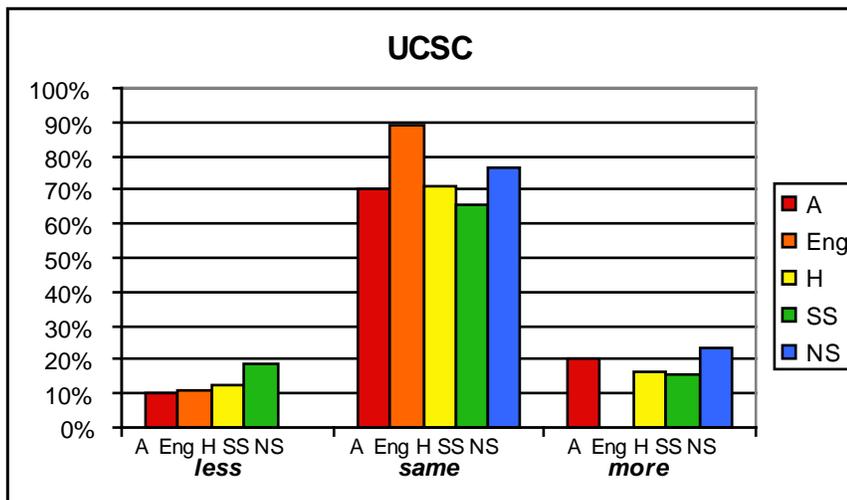


Figure 5C. CAP's recommendations vs. those of the deans, by division.

Processing Time by Divisions, the EVC office, and CAP

In general a file is considered by CAP at the meeting after it reaches the AHR office. Occasionally an overload of cases caused a delay of one week, but never longer.

The data we assembled this year tracked: (1) processing time in the divisions prior to CAP's consideration of a case, and (2) the time between CAP's meeting and the administrative decision letter. We did not track delays at the department level.

For dean-authority cases, the median processing time in four of the five divisions was two weeks or less. (These cases primarily reflect staff time.) For EVC- or chancellor-authority cases (in which the Dean must write a recommendation in advance of CAP's consideration), the median processing time in four of the five divisions was

approximately one month. AHR staff members are working with the divisions in which the processing time was longer.

After CAP considers a case, the chair normally writes a letter that must be approved by the rest of the committee. This process takes one extra week. In uncomplicated cases in which all bodies are agreed, however, the CAP chair may sign off on the file; those cases move immediately to the Dean or EVC. We logged the elapsed time at the divisions and the EVC/chancellor's offices between the CAP meeting at which the file was considered and the date of the letter informing the candidate of the decision. Median time in all but one division ranged between one and three weeks (often depending on whether the files were sign-offs or required a letter).

Case flow

As Figure 6 shows, case flow was more evenly distributed this year than in 2000-2001. CAP thanks the departments and divisions for helping to spread the load more evenly and prevent the end-of-the-year crunch we experienced in 2000-01. In addition, fewer files were unresolved at the end of the year. (There were 17 carry-overs in 2000-01 but only 10 in 2001-02; these cases will be considered in Fall 2002 and will be retroactive.) Of the 10 incomplete cases, one is awaiting additional information; two reached AHR in April, but staff had difficulty assembling the Ad Hoc Committee; the remaining five reached AHR after May 10, too late to complete the ad hoc process in time for CAP's last meeting on June 5. CAP hopes that new deadlines instituted this year will reduce the number of unresolved cases at the end of the year even further. It is in the faculty's interest to be sure that cases are submitted and processed expeditiously.

Policy changes

The following policy changes were put into effect by the EVC office this year upon the recommendation of a (non-CAP) faculty committee.

- Campus salary limits at the Assistant and Associate Professor ranks were revised to match the salary limits allowed by the Academic Personnel manual, which in effect raised UCSC's limits at Steps 2 and higher in both ranks.
- Deadlines for submitting and processing files will be enforced. If a tenured faculty member does not submit materials for review by the established deadline, the action will be considered deferred and the subsequent action will not be retroactive.
- Off-scale salary increments may not automatically be retained in successive actions. Each case will be looked at individually and the appropriate advancement will be based on the merits of the file.
- Advancement to Assistant Professor Step 5 and Associate Professor Step 4 (overlapping steps) will be considered as normal advancement. Time in these overlapping steps will count in lieu of service at the next rank.

Merit equity reviews

CAP advised on the final procedures for Merit Equity reviews and the process has been put in place.

Form of departmental personnel letters

Last year CAP included in its report a set of suggestions to department chairs regarding the most useful form for personnel letters. We are happy to report that these suggestions were for the most part well-received and have helped simplify CAP's task. We repeat these suggestions here for new chairs.

Since CAP members read so many files, our job would be simplified if departmental letters would be somewhat more standardized in length and content. Most letters range from 4-6 pages. Occasionally we receive very long letters with detailed descriptions of every class the instructor has taught. CAP finds summaries of strengths and weaknesses more useful than such detail. While we do not wish to dictate any formula for discussions of teaching and research in department letters, we convey our suggestions here.

Teaching:

CAP finds that the most helpful letters are not organized on a course-by-course basis, but rather in the following manner:

- a. A summary of the number of courses/students taught in the review period. Is this number normal? Appropriate?
- b. The level of courses taught. CAP prefers to see teaching over a broad spectrum of the curriculum: lower-division, upper-division, and graduate courses. If the teaching is narrowly focused (particularly on the graduate level) it would be helpful if the chair letter explained the rationale for the course assignment.
- c. A summary of points raised *repeatedly* in student evaluations (e.g., highly organized, inspiring, boring, late to class, energetic, etc.). *There is no need for direct quotes from the evaluations, since we read them ourselves.* Most helpful to CAP is an organization of these comments according to the levels described in (b), rather than course by course.
- d. An explanation of problem areas and clarification of ambiguous matters (especially a low percentage of submitted evaluations). CAP expects to see, at a minimum, a 60% return rate for each course.
- e. A clear statement of faculty teaching of graduate and undergraduate independent study courses. The EVC's office will provide a format for reporting these data.

Research:

We also have a few requests to help us evaluate the research component of the file.

- a. Articles in journals. It is helpful if the department letter can provide data on the selectivity of the journal. Is it peer-reviewed? What percentage of submitted articles are accepted for publication?

2. Conference papers. Is it possible to describe standards? What percentage of submitted papers are typically accepted?
3. Multiple-authored papers. Could the department's letter note whether the order of authors represents the degree of input? If we are not advised otherwise, we consider the first author to have made the largest contribution.
4. Work in progress continues to present problems. Please describe the status of each publication *both at the present and the previous review*. The most helpful files are those in which the department administrator codes this information directly on the bio-bib. *Remember that a publication only "counts" once* (except for tenure, mid-career, and promotion reviews). In many cases it is better to wait until an article is in print rather than submitting a typescript of a "submitted" article that has not been peer-reviewed.

Staff

Finally, CAP would like to express its gratitude to the fine staff members who have made our task possible. Pamela Edwards has given us invaluable support in preparing files and agendas, logging data, and aiding with other administrative tasks. The staff at AHR is always ready (cheerfully) to answer our many questions and to provide background and statistical information. We are very fortunate to have such an expert group of staff members.

Leta Miller (Arts), chair

Committee members:

Claude Bernasconi (NS)

Ken Bruland (NS)

Angela Davis (Hum)

Peter Kenez (Hum)

Paul Lubeck (SS; Fall quarter)

Ira Pohl (Eng)

Alan Richards (SS; Winter and Spring quarters)

Candace West (SS)