

## COMMITTEE ON ACADEMIC PERSONNEL Annual Report, 2013-14

To: Academic Senate, Santa Cruz Division

The Committee on Academic Personnel (CAP) is charged with providing Senate consultation on faculty personnel cases, and makes recommendations to the deciding authorities, either Chancellor, Campus Provost/Executive Vice Chancellor (CP/EVC), and/or the Divisional Deans, on appointments, promotions, merit increases, and mid-career appraisals for Senate faculty, adjunct faculty, and professional researchers. CAP is not a deciding authority.

In the year 2013-14, CAP had one representative from Arts, two from Engineering, two from Humanities, two from Physical and Biological Sciences (including the Chair), and two from Social Sciences.

### **Workload**

In 2013-14, CAP continued its established practice of meeting weekly on Thursday afternoons. The Committee had one orientation meeting in the fall, and met to review files 29 times during the academic year (8, 11, and 10 meetings in fall, winter, and spring quarters, respectively, as well as one meeting during the summer of 2014).

CAP made recommendations this year on 250 personnel cases, 15 more than the previous year. Roughly 58% of the cases involved requests for accelerations and/or greater-than-normal salaries, which typically require more discussion than a normal merit review.

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. This year, six cases had *ad hoc* committee reviews. Of the six *ad hoc* committees that were formed, three met to review promotion cases, one to review a merit increase case, and two met to review initial appointments. 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. However, 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.

With the planned increase in campus hiring, the number of appointment cases increased since the previous year. In 2012-13, CAP reviewed 41 appointment files, 27 of which were ladder-rank. This year (2013-14), CAP reviewed 54 appointment files, 51 of which were ladder-rank. The number of retention cases remained the same as last year, with eight being reviewed in 2012-13 and eight reviewed this year (2013-14). Three of the retention files were for a faculty member whose file was seen twice, having had a regular merit or promotion case in the same year. CAP reviewed no reconsideration requests in 2013-14.

### **CAP's Recommendations Compared to Administrative Decisions**

During 2013-2014, the number of cases for which the final administrative decision agreed with CAP's recommendation decreased slightly. The two concurred roughly 76% of the time (187 out

of 247 completed files, with 3 initial faculty files being withdrawn before a final authority's decision), down from 82% last year. Disagreements were of two major types: about rank/step and/or about salary. The overwhelming majority of cases involving a disagreement between CAP recommendations and administrative decisions were salary increments, typically in the range of ½ step.

Of the 60 disagreements, CAP disagreed with the final administrative decision about the appropriate step in 20 cases. Of these 20 cases, the CP/EVC, Chancellor, or Dean offered a higher step in 15 instances and a lower step in five instances.

The remaining 40 merit, promotion, retention, and appointment cases involved disagreements concerning salary (20 with Dean's authority, 16 with CP/EVC's authority, and four with Chancellor's authority). In the Dean authority cases, CAP recommended a higher salary than was awarded in eleven cases and a lower salary in the remaining nine cases. Salary disagreements occurred with the Arts Dean in zero cases, with the Physical and Biological Sciences Dean in eight cases, with the Social Sciences Dean in two cases, with the Humanities Dean in four cases, and with the School of Engineering Dean in six cases. Of the 16 CP/EVC authority cases, CAP recommended a higher salary than was awarded in five cases and a lower salary in the remaining 11 cases. Finally, of the four Chancellor authority cases, CAP recommended a higher salary than was awarded in two cases and a lower salary than was awarded in two cases. CAP abstained from recommending a salary in three cases, and had a split vote in two cases.

### **Case Flow, Ad Hoc Committees**

CAP's workflow was typical of prior years. There were only two cases from 2013-14 that were not completed (due to *ad hocs*, requests for more information, and pending authority decisions) and were carried over to 2014-15.

Delays in the review of files are rarely due to CAP. CAP's 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 come in at one time, in which case some files may be delayed (usually no more than one week), or when a file requires further information or analysis. Pressing retention files are usually reviewed within a few days of receipt, and letters are sent immediately. Files that require an *ad hoc* committee are seen by CAP twice; first, these files are held by CAP for about a week to review the file and recommend names for an *ad hoc* committee. Then, when the *ad hoc* committee's letter 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 view, the Academic Personnel Office (APO) has been very efficient in forming committees quickly and ensuring that the letters are finished and returned to CAP in a timely manner.

During 2013-2014, 18 Senate members served as members of *ad hoc* committees. The academic personnel process cannot function without our colleagues' continued willingness to serve in this capacity. CAP thanks their Senate colleagues who served and encourages other faculty members to consider agreeing to serve in the future.

### **Online Review**

In 2013-14, CAP, its Committee Analyst, and the Senate Director worked closely with the Academic Personnel Office (APO) during the design phase of the DivData Review online personnel review system to ensure that Senate and CAP processes and needs would be served by the new system. One CAP member served on the Online Academic Preview Steering Committee directed by APO, which included several stakeholders in the academic review process including faculty, department chairs, staff, and Vice Provost of Academic Affairs (VPAA) Herbie Lee, and provided recommendations for the design and implementation of the new system. The CAP Chair and Committee Analyst consulted further with APO to ensure that the overall personnel review process would be enhanced to the greatest extent possible by the new online system. The new online review system went live on May 1<sup>st</sup>, 2014 for ladder rank faculty reviews.

During the year, CAP raised concerns about the substantially lower response rates of online course evaluations compared to hard copy evaluations and discussed the issue with VPAA Herbie Lee. On April 29, 2014, CAP wrote to VPAA Lee suggesting that a short document of *Best Practices* be produced to give faculty guidance on approaches that may result in higher online evaluation response rates.

### **Policy Issues**

CAP was asked to comment on a number of policy issues throughout the year, either by the campus Senate chair, the CP/EVC, or the Office of the President. This year, CAP commented on the following systemwide reviews:

- Proposed revisions to the APM 600 Series - Salary Administration, final review (11/14/13)
- The proposal to amend Senate Bylaw 55 (11/25/13 Round 1 and 3/12/14 Round 2)
- Proposed revised APM 025 - Conflict of Commitment and Outside activities of Faculty Members, proposed revised 670 - Health Sciences Compensation Plan, proposed new APM 671 - Conflict of Commitment and Outside Professional Activities of Health Sciences Compensation Plan Participants (1/16/14)
- Proposed revised APM Sections 133-17-g-j - Limitation on Total Period of Service with Certain Academic Titles, Section 201-1-c&d - Review and Appraisal Committees, Section 220-18-b - Professor Series, and Section 760-30-a - Family Accommodations for Childbearing and Childrearing (6/12/14)

Within the Santa Cruz Division, CAP commented on the following reviews:

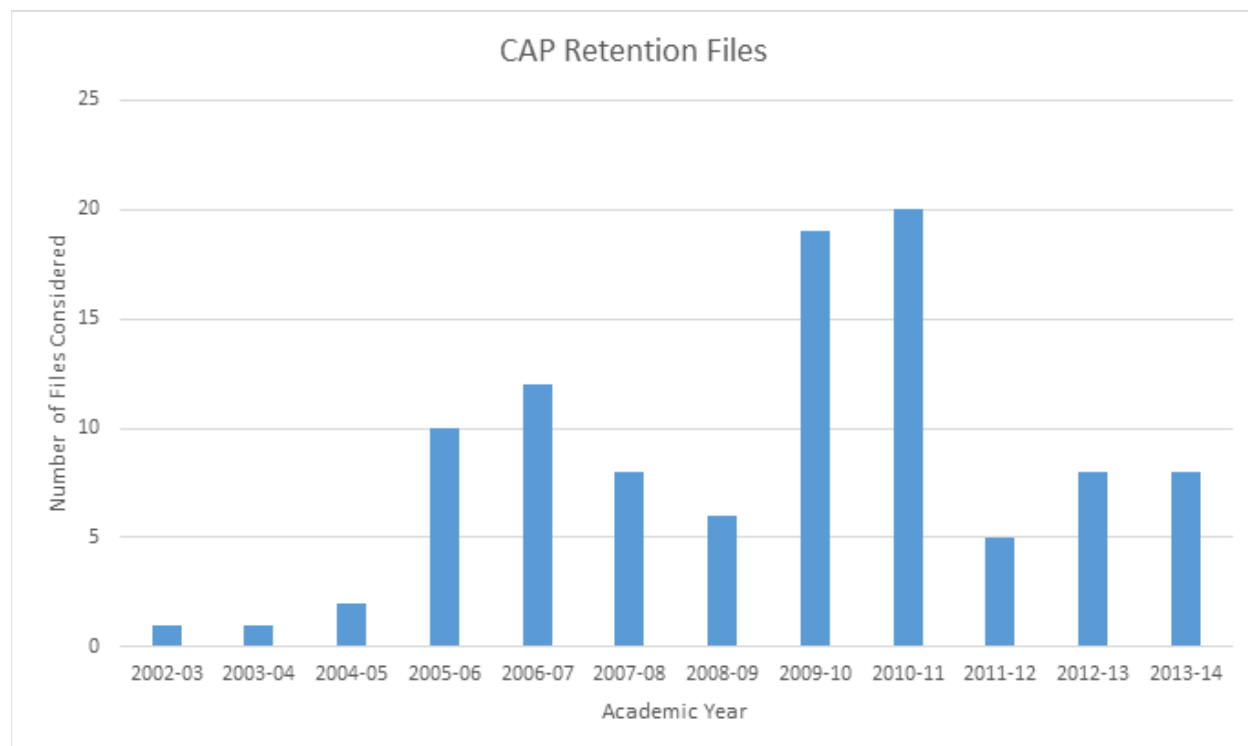
- The revised Silicon Valley Academic Plan (11/22/13)
- Proposed revisions to CAPM 402.200 - Deferral and Mandatory Review (1/10/14)
- Proposed new CAPM 101.000 - Waivers of Open Recruitment for Senate Faculty Positions (1/24/14)
- UCSC Faculty Mentoring Program Proposal (1/31/14)
- Languages and Applied Linguistics Department Proposal (3/14/14)
- The proposed Campus Online Education Course Agreement (4/23/14)
- The Computational Media Department Proposal (5/15/14)

### **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 with other faculty. The long-term goal is to improve salaries on our campus and across the UC system. The systemwide Academic Senate continues to seek remedies for the gap between UC faculty salaries and those of the “comparison eight universities.”

Number of retention files considered by CAP:



### **Suggestions for Improving Personnel Files**

Through the years, CAP has provided suggestions on how to improve the preparation of personnel review files. In the July 22, 2013 CP/EVC and CAP Chair Annual Memo, CAP requested that starting with all 2013-14 academic reviews, departments provide a table of the teaching done during the review period that includes a summary of the quantitative course evaluations. This table has proven to be extremely useful as it provides comparable overview statistics for all personnel. In addition, CAP members no longer have to spend their time tabulating course evaluations and can focus more time on reading individual student comments.

In recent years, CAP has provided tips and suggestions to departments for preparing faculty files in the form of a “Top 10 List of Tips for Preparing Faculty Files” document. This year, CAP also updated its “Tips for Faculty Preparing Personnel Files” document to assist faculty in preparing their files, which includes tips for personal statements as well as major action reviews. Both documents may be found on the CAP web page at:

<http://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/index.html>.

### **Acknowledgements**

The academic personnel review process depends on the accumulated work of many hands. We would like to acknowledge the talented staff of the Academic Personnel Office (APO) and AVC Pamela Peterson. The personnel of the APO are a special group of people; they are extremely knowledgeable and helpful, creative and hardworking, and instrumental in the personnel review process and in providing the information that CAP needs to get its work done. We thank the departmental staff for their hard work and skill in helping to prepare and process personnel review files, and are especially thankful for the gifted and 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 served CAP with amazing efficiency and good humor. CAP was able to function smoothly because of Jaden. Jaden is a quick-thinking, problem-solving, detail-oriented force of nature! 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 Kamieniecki, Dean Ramirez, Dean Koch, Dean Ladusaw, Dean Yager and Associate Dean Berger, and with our campus leadership, CP/EVC Galloway, VPAA Lee, and Chancellor Blumenthal.

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

Respectfully submitted;  
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