

**COMMITTEE ON ACADEMIC PERSONNEL**  
**Annual Report, 2016-17**

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 2016-17, CAP had two representatives from the Arts, one from Engineering, two from Humanities (including the Chair), two from Physical and Biological Sciences, and two from Social Sciences. The membership changed during the year due to one member assuming administrative duties at a higher level of review. The committee reviewed and made recommendations on 239 personnel cases; the final administrative deciding authority concurred roughly 87% of the time, which is the same concurrence rate for 2015-16.

**Workload**

In 2016-17, 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 30 times during the academic year (10, 9, and 11 sessions in fall, winter, and spring quarters, respectively, as well as one meeting during the summer of 2017).

**Training for Departments and Deans**

In 2016-17, in the absence of a general campuswide CAP segment in the Fall Department Chair Training, several departments and divisions requested that the CAP Chair meet with them to review CAP best practices for preparing personnel cases. Seeing that there was a need for training, Chair Freccero offered this service by request in 2016-17 to any department or division. By all accounts, the opportunity to discuss personnel processes from CAP's perspective with ample time for questions proved useful to the constituents who participated in these meetings, which reinforced the need for the reinstatement of CAP and personnel review training during the annual Department Chair Training. Providing this information at a single training not only respects the schedule of a busy CAP Chair, but also enables the information to be shared broadly and ensures that the same information, expectations, best practices, etc., are disseminated across the divisions.

As noted above, CAP made recommendations this year on 239 personnel cases. Roughly 39% 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 increased from the previous year. In 2015-16, CAP reviewed 50 appointment files, 44 of which were ladder-rank. This year (2016-17), CAP reviewed 60 appointment files, 53 of which were ladder-rank; the candidates for 12 of these files either withdrew before a final decision/offer could be made, or declined the final offer.

CAP reviewed 1 reconsideration request in 2016-17. The number of retention cases decreased, with 10 reviewed in 2015-16, and 4 reviewed this year (2016-17). For more on retentions, see the section below.

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

As noted above, during 2016-17, the final administrative decision and CAP's recommendation concurred roughly 87% of the time (209 out of 239 files completed files, with 11 appointment files being withdrawn before the final authority's decision, and 23 files carried over to 2017-18). Although a few disagreements concerned rank and/or step, the overwhelming majority of them involved salary increments, typically in the range of ½ step.

Five disagreements involved appointments or retentions; these will be discussed separately below. Of the 25 other disagreements, not involving appointments or retentions, 1 involved a decision about the appropriate step. The disagreement was with the CP/EVC: CAP recommended a higher step. The remaining 24 disagreements concerned salary (6 with Dean's authority, 16 with CP/EVC's authority, and 3 with chancellor's authority). In the Dean's authority cases, CAP recommended higher salaries in 3 cases. Salary disagreements occurred with the Social Sciences Dean in 1 case, with the Humanities Dean in 1 case, and with the Physical and Biological Sciences Dean in 4 cases. In the CP/EVC-authority cases, CAP recommended a higher salary than was awarded in 9 cases and a lower salary in the remaining 7 cases. Finally, in the chancellor authority cases, CAP recommended a higher salary than was awarded in 1 of the cases and a lower salary in the remaining 2 cases.

For 2016-17 CAP reviewed 85 files, excluding appointment and retention files, that were chancellor's or CP/EVC's authority: 11 from the Arts (1 of which was a carry over to 17-18 with no final decision); 9 from the Humanities; 32 from PBSoci; 25 from Social Sciences; and 13 from SOE. The CP/EVC disagreed with CAP on 1 Art file reviewed (10% of the chancellor and CP/EVC authority total); the CP/EVC decision was for a lower salary than that recommended by CAP. The CP/EVC disagreed with CAP on 2 Humanities files (22%), deciding on a higher salary in both cases. The CP/EVC disagreed with CAP on 7 PBSoci files (22%), deciding on a lower salary in 4 cases and a higher salary in 3 cases. The CP/EVC disagreed with CAP on 1 Social Sciences file (4%), deciding on a lower salary than that recommended by CAP. The CP/EVC disagreed with CAP on 5 SOE files (38%), deciding on a lower salary in 3 cases and a higher salary in 2 cases. The chancellor disagreed with CAP on 1 SOE file (4%), originally deciding on a lower salary than that recommended by CAP. The chancellor disagreed with CAP on 1 PBSoci file (3%), deciding on a higher salary than CAP. The chancellor disagreed with CAP on 1 Humanities file (11%), deciding on a higher salary 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 considerably higher than those recommended by departments, CAP, and at times the relevant dean. In 2016-17 there were

no dean-authority appointment cases in which the final decision was higher than the salary recommended by *both* the department and CAP. In the 1 salary disagreement with a CP/EVC-authority appointment case, the CP/EVC agreed with the dean and the decision was lower than the both department's and CAP's recommendations (this file was from PBSci). 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 appointment applicants that withdrew and the number of retention cases.

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

There were 23 cases from 2016-17 that were not completed (due to *ad hocs*, requests for more information, and pending authority decisions) and that were carried over to 2017-18. Much of this may be due to several major transitions at the divisional level. CAP reviewed and made recommendations on 1 of these files. The 22 remaining files were not received by CAP prior to the last meeting of the year and were therefore not reviewed by CAP in 2016-17.

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 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 held by CAP for about a week for review and the recommendation of 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 experience, 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.

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. This year, 1 case had an *ad hoc* committee review: 1 promotion file. However, the *ad hoc* committee did not convene until 2017-18.

During 2016-17, 3 Senate members were selected to serve as members of *ad hoc* committees. The academic personnel process cannot function without our colleagues' continued willingness

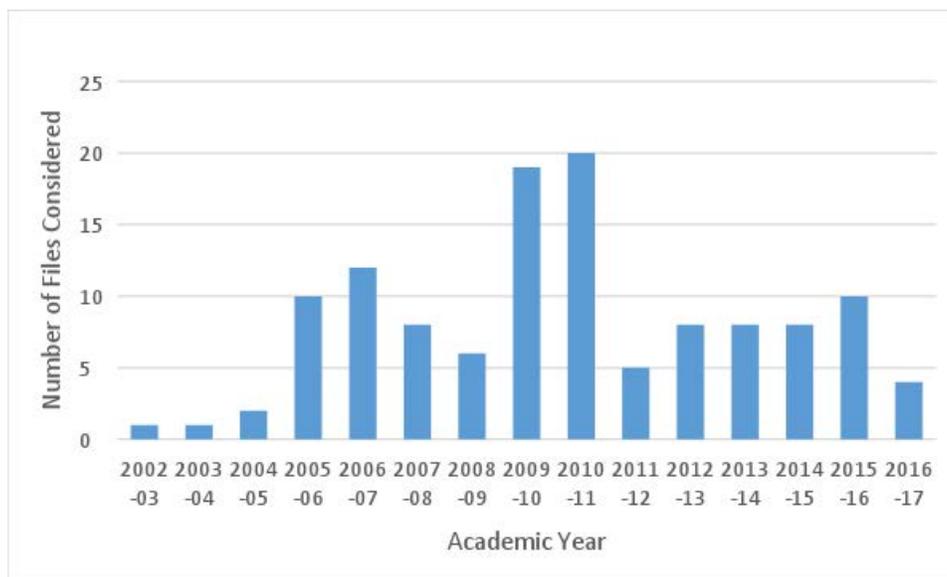
to serve in this capacity. CAP thanks its colleagues who served and encourages other faculty members to consider agreeing to serve in the future. We also acknowledge the work of faculty who serve on Shadow CAP, evaluating the personnel files of current CAP members who are under review.

### 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 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 Institutions."<sup>1</sup>

As noted above, CAP reviewed 4 retention files in 2016-17. 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 all four retention offers were successful.

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



### 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. In the CP/EVC and CAP Chair Annual Memo written on July 22, 2013, CAP requested that, starting with all 2013-14 academic reviews, departments provide a table of

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<sup>1</sup> 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.

the teaching done during the review period that includes a summary of the quantitative course evaluations regarding teaching effectiveness. This table has proven to be extremely useful as it provides comparable overview statistics for all faculty. It should be noted that a team of readers continues to read all of the evaluations in the review files. However, CAP members no longer have to spend their time tabulating course evaluations and can focus more time on reading individual student comments. CAP encourages the campus to consider adopting a system of student evaluation that can produce the requested table automatically, thereby making the teaching tables more consistent across campus while requiring less work on the part of departmental staff. As noted above, we strongly encourage departments to follow the template provided by CAP.

Discussions of alternative ways to assess teaching continue at UCSC, in light of numerous studies highlighting potential inequities and implicit biases in student evaluations and of transitions to a new student evaluation system. In 2016-17 CAP Chair Freccero consulted with the Center for Innovations in Teaching and Learning (CITL) as it produced its white paper, “A Guide to Providing Evidence of Excellence in Teaching,” which is now available on the CAP website. The chair also met informally and regularly with the chairs of COT (Matthew McCarthy) and CAAD (Miriam Greenberg) to discuss student evaluations, teaching assessment at UCSC more generally, and ways to make improvements to the evaluation of teaching. CAP reiterates that the Academic Personnel Manual requires more than one kind of evidence of teaching effectiveness in each review file.<sup>2</sup> 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 mentoring of students at all levels is a critical aspect of teaching, mentorship should be explicitly evaluated by the department. CAP continues to encourage those preparing personnel files to embrace a multi-pronged approach in the evaluation of teaching.

### **Acknowledgments**

The academic personnel review process depends on the accumulated work of many hands. We acknowledge former AVC Pamela Peterson, former Interim AVC and new 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 third 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.

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<sup>2</sup> [APM 210-1.d.1](#) – Criteria for Appointment, Promotion, and Appraisal, Teaching

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 knowledge of Senate functioning 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 Kamieniecki, Dean Koch, Dean Wolf, Dean Solt, and Dean Stovall—and with our campus leadership— former Interim CP/EVC and VPAA Lee, Acting VPAA Berger, former CP/EVC Galloway, and Chancellor Blumenthal.

We consider it a great privilege to have served on CAP during 2016-17, and are grateful for our colleagues and all those who play a part in the academic personnel review process.

Respectfully submitted;  
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