

**COMMITTEE ON ACADEMIC PERSONNEL**  
**Annual Report Addendum, 2021-22**

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 2021-22, CAP had ten to eleven representatives each quarter. In the fall, there were 2 from Arts, 3 from Baskin School of Engineering, 2 from Humanities, 2 from Physical and Biological Sciences (including the Chair), and 1 from Social Sciences. In the winter, there were 2 from Arts, 3 from Baskin School of Engineering, 2 from Humanities, 2 from Physical and Biological Sciences (including the Chair), and 2 from Social Sciences. In the spring, there were 2 from Arts, 3 from Baskin School of Engineering, 2 from Humanities, 2 from Physical and Biological Sciences (including the Chair), and 2 from Social Sciences. The committee reviewed and made recommendations on 256 personnel cases (including 4 Shadow CAP cases), 251 of these cases had final authority decisions by the drafting of this report. The final administrative deciding authority concurred roughly 71% of the time, which is a decrease from 84% in 2020-21.

### **I. Faculty Personnel Review**

CAP recognizes that UC Santa Cruz faculty faced an unprecedented challenge with the onset of the COVID-19 pandemic and its continuing impact on teaching, research, and service. The university's efforts to prevent a viral spread led to the cancellation of in-person classes on campus beginning in early 2020. All domains of academic activities and endeavors were affected by a combination of factors: campus closure, remote teaching, travel restrictions, social distancing measures, and subsequent vaccination mandates.

In acknowledgment of the continued disruptions caused by the COVID-19 pandemic, CP/EVC Kletzer and former CAP Chair Ito sent a memo to Senate faculty providing guidance for Senate faculty personnel reviews in 2020-21 and beyond<sup>1</sup>. This memo, CAP's guiding document for all personnel reviews during this academic year, provided guidance to all reviewing bodies for the consideration of review timing, research productivity, teaching, and service.

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<sup>1</sup> Kletzer and Ito to Senate Faculty, 05/11/21, Re: Addressing Impacts of COVID-19 in the Faculty Personnel Review Process

### ***Workload***

In 2021-22, 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 (8, 11, and 11 sessions in fall, winter, and spring quarters, respectively, as well as one meeting during the summer of 2022).

As noted above, this year CAP reviewed and made recommendations on 256 personnel cases. Included in this set are 5 files that were reviewed and sent back with a request for more information, and 2 files for which CAP made a recommendation, but are still pending a final decision, both of which were carried over to 2022-23. Roughly 68% 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 initial appointments reviewed decreased slightly from the previous year. In 2020-21, CAP reviewed 24 appointment files, 15 of which were ladder rank. In 2021-22, CAP reviewed 23 appointment files, 21 of which were ladder rank. However, it should be noted that in 2017-18, CAP agreed to waive its review of appointment files to Assistant Professor, Steps I-III, up to an annual salary rate for Associate Professor, Step IV, provided that the department's vote was unanimous.<sup>2</sup> In April 2019, former CP/EVC Marlene Tromp modified the delegation to include offers at the Assistant rank, Steps I-III, with salaries up to the published scale rate for Full Professor, Step III<sup>3</sup>, thus decreasing the overall number of appointment files reviewed by CAP. In April of 2022, CAP additionally agreed to waive its review of dean-authority Assistant Professor/Assistant Teaching Professor/Assistant Astronomer appointments with 25% or fewer dissenting votes by the Bylaw 55 voting faculty.<sup>4</sup> It was agreed that CAP would be provided with quarterly reports regarding appointments made under this new abridged process and that CAP reserves the right to determine that CAP review should be reinstated at any time. CAP did not review any reconsideration requests in 2021-22. The number of retention cases decreased: 5 were reviewed in 2020-21, and 10 were reviewed this year (2021-22). For more on retentions, see the section below.

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

As noted above, during 2021-22, the final administrative decision and CAP's recommendation concurred roughly 71% of the time (178 out of 251 files completed. Roughly 12% of the disagreements concerned rank and/or step, and 88% of them involved salary increments, typically in the range of 1/3 step.

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<sup>2</sup> Chancellor Blumenthal to Academic Deans, 1/17/19, Revised Process for Dean Authority Senate Appointments

<sup>3</sup> CP/EVC Tromp to Academic Deans, 4/16/19, Re: Delegation of Authority, Assistant Professor I-III

<sup>4</sup> Chancellor Larive to Academic Deans, 4/08/22, Re: Revised Review Process for Dean Authority Senate Appointments

Of the 73 disagreements, 9 involved a decision about the appropriate rank and/or step. Two disagreements were with the dean (1 PBSci and 1 SocSci): CAP recommended a higher rank/step in these cases. Seven disagreements were with the CP/EVC: CAP recommended a higher rank/step in 1 case, and a lower rank/step in 6 cases. The remaining disagreements concerned salary (25 with dean authority, 22 with CP/EVC authority, and 17 with Chancellor authority). In the dean authority cases, CAP recommended higher salaries in 12 cases. Salary disagreements occurred with the Arts Dean in 3 cases, with the Humanities Dean in 2 cases, with the Physical and Biological Sciences Dean in 5 cases, with the Social Sciences Dean in 10 cases, and with the Dean of Baskin School of Engineering in 5 cases. In the CP/EVC authority cases, CAP recommended a higher salary than was awarded in all 22 cases. In the Chancellor authority cases, CAP recommended a higher salary than was awarded in 15 cases, and a lower salary than was awarded in 2 cases.

In 2021-22, CAP reviewed 140 files, excluding appointment and retention files, that were Chancellor's or CP/EVC's authority: 17 from the Arts; 23 from the Humanities (2 of which was carried over to 2022-23); 44 from PBSci (2 of which were carried over to 2022-23); 30 from Social Sciences; and 26 from the Baskin School of Engineering (BSOE). Of the completed files, the CP/EVC disagreed with CAP on 3 Arts files reviewed (roughly 2.14% 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, and a higher step than CAP in 2 cases. The CP/EVC disagreed with CAP on 4 Humanities files (2.86%), deciding on a lower salary than the CAP recommendation in 2 cases, a lower step in 1 case, and a higher step in 1 case. The CP/EVC disagreed with CAP on 5 PBSci files (3.57%), deciding on a lower salary in 4 cases, and a higher step in 1 case. The CP/EVC disagreed with CAP on 8 Social Sciences files (5.71%), deciding on a lower salary than that recommended by CAP in all 8 cases. The CP/EVC disagreed with CAP on 9 BSOE files (6.43%), deciding on a lower salary in 7 cases, and a higher step in 2 cases. The Chancellor disagreed with CAP on 1 Art file (less than 1%), recommending a lower salary than that recommended by CAP. The Chancellor disagreed with CAP on 4 Humanities files (2.86%), deciding on a lower salary in all 4 cases. The Chancellor disagreed with CAP on 4 Physical and Biological Sciences files (2.86%), deciding on a lower salary than that recommended by CAP in 3 cases, and a higher salary in 1 case. The Chancellor disagreed with CAP on 5 Social Sciences files (less than 3.52%), recommending a lower salary than CAP in 4 cases, and a higher salary in 1 case. The Chancellor disagreed with CAP in 3 Engineering files (2.14%), recommending a lower salary in all 3 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. At times, final salaries offered in some appointment cases have ended up higher than those recommended by departments, CAP, and at times the relevant dean. However, this did not occur in 2021-22. There was 1 disagreement with a CP/EVC authority appointment case in Engineering, for which the step was higher than the CAP recommendation. There was 1 disagreement with the BSOE Dean for which the final salary was lower than both the CAP and department

recommendation, and 5 CP/EVC authority files for which the salary was lower than the CAP recommendation. Disparities in starting salaries between divisions can have a significant impact on increasing salary inequities. Accordingly, the difference between recommended salaries and final salaries is an ongoing issue 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 four cases from 2021-22 that CAP reviewed and made recommendations on that were not completed in 2021-22 (due to requests for additional information) and were carried over to 2022-23. There was also one file reviewed for which a final decision has not yet been made, that has also been carried over to 2022-23. In addition, there were roughly 17 files not received by CAP prior to the last meeting of the year that were carried over to 2022-23.

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

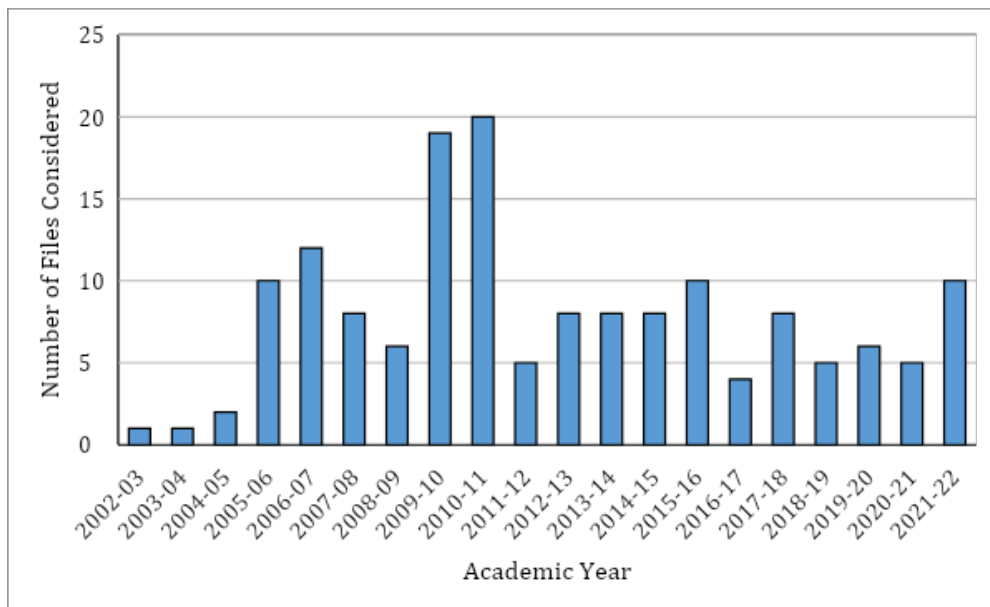
During 2021-22, three Senate members were selected to serve as members of an *ad hoc* committee. CAP expresses its gratitude toward colleagues who served and encourages all faculty members to consider agreeing to serve in the future. It also acknowledges the work of faculty who serve on Shadow CAP, evaluating 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 simultaneously 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.”<sup>5</sup>

As noted above, CAP reviewed 10 retention files in 2021-22. Four 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 done in recent years on the possible effects of UCSC faculty total remuneration on recruitment and retention, CAP finds it important to note that eight out of the ten retention offers were successful.

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



### *Additional Routine Business*

During this year, CAP reviewed 11 requests for Waivers of Open Recruitment (1 from Arts, 3 from HUM, 5 from PBSci, and 2 from BSOE). CAP also reviewed 21 applications for participation in the 2021-22 Negotiated Salary Trial Program (NSTP) (17 from BSOE, and 4

<sup>5</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.

from PBSci), and made recommendations on the nominations for 9 Endowed/Presidential Chair positions.

Respectfully submitted;

COMMITTEE ON ACADEMIC PERSONNEL

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