

MEETING CALL
REGULAR MEETING OF THE REPRESENTATIVE ASSEMBLY
OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

Thursday, February 11, 2010
2:10 – 4:00 p.m.

UC Davis Conference Center Ballroom - next to the **new** Graduate School of Management and across
from the Robert and Margrit Mondavi Center for Performing Arts

**(PLEASE NOTE: WE WILL BE BROADCASTING THE CHANCELLOR'S SPEECH VIA A
LIVE WEBCAST. ONLY HER SPEECH WILL BE BROADCAST – NOT THE REST OF THE
MEETING)**

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2. Announcements by the President - None	
3. Announcements by the Vice Presidents - None	
4. Announcements by the Chancellor	
a. State of the Campus – Chancellor Linda Katehi (<i>available via live webcast</i>)	
5. Announcements by the Deans, Directors or other Executive Officers	
6. Special Orders	
a. Remarks by Academic Senate Chair Robert Powell	
7. Reports of Standing Committees	
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b. CERJ Bylaw Changes	
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Susan Kauzlarich, Secretary
Davis Division of the Academic Senate

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TRANSCRIPT
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Thursday, October 15, 2009

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Walter A. Buehler Alumni & Visitors Center, AGR Hall

(Updated 10/14/09)

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1. Transcript of the June 5, 2009 Meeting

Action: Motion to approve 6/5/09 RA transcript and seconded. No further discussion.

Vote: Unanimously approved.

Motion passes.

2. Announcements by the President – None
3. Announcements by the Vice Presidents – None
4. Announcements by the Chancellor – None
5. Announcements by the Deans, Directors or other Executive Officers – None
6. Special Orders
 - a. Remarks by the Divisional Chair – Robert Powell

Chair Powell announced that Provost Pitts will be visiting UC Davis this fall. A date has not been set, but a faculty forum will be held during his visit. The Gould Commission will meet on November 30 in the AGR Room from 1:00 – 4:00 pm. Faculty will be given a one hour time slot at this meeting. The Gould Commission consists of five workgroups each chaired by a Senate member and an Administrator. The Davis Division Academic Senate has been asked to form its own commission/workgroup to look at the future of UCD. The Davis workgroup will be chaired by Bob Powell. This group should be in place by the end of October.

Chair Powell also discussed the following topics:

- **The Academic Senate needs to be more connected with departments and organizations on campus. To accomplish this, the Department Chairs meetings will continue this year (1-2 per quarter).**
- **Online teaching evaluations - A task force was formed by Executive Council last year. The task force will be launched in the next month.**
- **Academic Personnel Task Force – The report will be reviewed by Executive Council in November and placed on the February RA agenda.**
- **Budget cuts – Discussions are occurring on campus regarding reducing the faculty size by 10%. What does this mean for admissions? Currently, it is a matter of budget by withdrawing faculty FTE through attrition (retirements and resignations).**

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- **A letter was written by Executive Council to President Yudof regarding furloughs and beyond. He responded on September 18. There are two things facing the campus: (1) faculty are 15-20% underpaid in comparison to other institutions, and (2) the retirement system is on “life support.” Employees will start contributing to retirement on April 15. Yudof says that retirement system is a top priority. However, there is no commitment or promise to pay health benefits to retirees.**

Annual Reports for Discussion:

- a. Annual Report of the Committee on Academic Personnel –
 - i. Oversight Committee

Bill Casey presented the report. The committee had a total of 545 actions and met 44 times. CAP concerns: suspect appointments and searches. 11 cases were overturned by the VP.

- ii. Appellate Committee

Stuart Cohen presented the report. The committee had a total of 35 appeals and met 10 times. 11 appeals were approved and 24 were denied. 3 more appeals were granted by the Vice Provost that were not approved by CAPAC. CAPAC concern: need more definitive rules for multi-step acceleration actions.

- b. Annual Report of the Committee on Elections, Rules and Jurisdiction

G.J. Matthey presented the report. The committee reviewed 55 new business items and 6 items were deferred to 2009-2010. The committee met 14 times, proposed 9 bylaw amendments, and issued 6 pieces of formal advice. Editorial changes were also made to the bylaws regarding ex-officio members on committees.

- c. Annual Report of the Undergraduate Council – General Education

Chris Thaiss presented the report. The new GE program will go into effect Fall 2011. The committee worked with the GE Implementation Task Force in clarifying the language in the course approval descriptions. The GE Tracking System (GETS) was developed for submitting courses for the new GE3 requirements. All courses should

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be submitted by the end of fall quarter. Two GETS training sessions are scheduled during the week of October 19. All approvals should be in place by November 2010 in time for the new catalog and the new requirements in Fall 2011.

Motion: to accept all annual reports above.*Annual Reports on Consent Calendar*

- d. *Annual Report of the Committee on Academic Freedom and Responsibility
- e. *Annual Report of the Committee on Admissions and Enrollment
- f. *Annual Report of the Committee on Affirmative Action and Diversity
- g. *Annual Report of the Committee on Committees
- h. *Annual Report of the Committee on Courses of Instruction
- i. *Annual Report of the Committee on Distinguished Teaching Awards
- j. *Annual Report of the Emeriti Committee
- k. *Annual Report of the Executive Council
- l. *Annual Report of the Faculty Privilege and Academic Personnel Advisors
- m. *Annual Report of the Faculty Research Lecture Award Committee
- n. *Annual Report of the Committee on Faculty Welfare
- o. *Annual Report of the Grade Changes Committee
- p. *Annual Report of the Graduate Council
- q. *Annual Report of the Committee on International Studies and Exchanges
- r. *Annual Report of the Joint Academic Federation/Senate Personnel
- s. *Annual Report of the Library Committee
- t. *Annual Report of the Committee on Planning and Budget
- u. *Annual Report of the Committee on Privilege and Tenure
- v. *Annual Report of the Committee on Public Service
- w. *Annual Report of the Committee on Research
- x. *Annual Report of the Committee on Student-Faculty Relationships
- y. *Annual Report of the Committee on Transportation and Parking (not available)
- z. *Annual Report of the Undergraduate Council
 - i. Annual Report of the Committee on Preparatory Education
 - ii. Annual Report of the Committee on Special Academic Programs
 - iii. Annual Report of the Committee on Undergraduate Instruction and Program Review

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- aa. *Annual Report of the Committee on Undergraduate Scholarships, Honors and Prizes

Motion: To approve all the Annual Reports

Action: Unanimously approved

2. Reports of standing committees - **none**
3. Petitions of Students - **none**
4. Unfinished Business
 - a. Resolution on Hiring Practices and Faculty Searches

Committee on Academic Personnel Chair Ahmet Palazoglu presented the reasons for the proposed resolution for hiring practices and faculty searches. The resolution is not intended to change the APM. If a search has been carried out for a candidate, the documentation should be provided to CAP.

The resolution was moved and seconded at the June 5, 2009 meeting. Motioned and seconded to view the amendments. No further discussion.

Vote: (48:0)

Motion passes.

Motioned to accept the resolution. Seconded. Opened for discussion.

Discussion ensued regarding certain titles in the School of Medicine. A School of Medicine faculty member wanted to clarify that only people that are appointed to the ladder rank series go through a full search and to make sure that other series (adjunct and health sciences) are not included. Further discussion of amended resolution: APM270 (Professor in Residence) - searches are not required but all documentation included in the search should be submitted to CAP.

Vote: (48:0)

Motion passes.

5. University and Faculty Welfare - **none**
6. New Business
 - a. *College/School Bylaw and Regulations Updates: School of Medicine

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- b. *College/School Bylaw and Regulations Updates: College of Engineering

Motion: To approve the School of Medicine and College of Engineering Bylaw amendments.

Action: Unanimously approved

Meeting adjourned.

7. Informational Item

- a. CERJ advice on CAPAC and ability to appeal Appointments
- b. CAPOC advice on the title of “Distinguished Professor”

Don C. Price, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

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PROPOSED REVISION OF DAVIS DIVISION BYLAW 14 NOMINATIONS TO COMMITTEE ON COMMITTEES

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by the Davis Division Committee on Committees and Executive Council

Davis Division Bylaw 14(B) specifies the manner in which election of Divisional Representatives to the Assembly of the Academic Senate are conducted. It contains a description of possible actions by the Committee on Committees (COC) when the total number of nominees is not at least twice the number of positions to be filled. The present wording is convoluted and unclear.

It is proposed that the Bylaw be amended to make the options of the Committee on Committees clear. Specifically, it requires that COC make enough nominations to insure that all positions will be filled, which would not require an election. It also gives COC the option of making further nominations, such that the total number of nominees is no more than twice the number of positions to be filled, which would result in an election.

Rationale. This amendment is intended to spell out in simpler and more intelligible terms what appears to be the intent of the existing language of DDB 14(B).

Proposed Revision: Davis Division Bylaw 14 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

Bylaw 14. Divisional Representatives

A. The Davis Division shall be represented in the Assembly of the Academic Senate by the Chairperson of the Division ex officio and by the number of Divisional Representatives authorized by the University Academic Senate.

B. Not later than February 1 each year the Secretary shall initiate the election of the Divisional Representatives. Election of Divisional Representatives shall be by ballot in accordance with Bylaw 16. If the total number of nominations received is not equal to at least twice the number of positions to be filled, the Committee on Committees shall make **such** nominations, ~~if any, up to~~ **as are required to fill at least** the number of positions to be filled, **and it may make additional nominations, provided that the total number of nominees is no more than twice the number of positions to be filled.** (Am. 6/7/2007)

C. As many Divisional Representatives as there are terms to be filled shall be elected each year, and elected Representatives shall serve for terms of two years. The Committee on Committees of the Davis Division shall appoint Divisional Representatives as necessary to complete any unfulfilled term or terms. No member of the Senate shall serve as a Divisional Representative for more than two consecutive terms, but he or she shall become eligible to serve again after the lapse of two or more years following conclusion of his or her second consecutive term.

D. First, second and third alternate Divisional Representatives to serve in the absence or disability of any regular Representative of the Assembly shall be selected by the Committee on Committees immediately following the election of the regular Divisional Representatives. Each alternate Divisional Representative shall serve for a two-year term. (Am. 6/7/2007)

PROPOSED REVISION OF DAVIS DIVISION BYLAW 45 REVIEW OF PERSONNEL ACTIONS

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by Executive Council

Davis Division Bylaw 45(C)(1) provides a mechanism for any “Senate member” to consult with an Academic Personnel Adviser concerning unfavorable personnel actions. DDB 45(C)(3) allows the appeal to the Committee on Academic Personnel—Appellate Subcommittee (CAPAC) of “any personnel action.” The proposed amendment would specify that the consultation and appeal may be made only by a current Divisional member (or a member of his or her department with the consent of the member), whose merit increase or promotion has been ruled upon unfavorably by the Committee on Academic Personnel—Oversight Committee (CAPOC).

Rationale. The existing Bylaw 45(C) is worded extremely broadly. The membership of the Academic Senate stretches across all the ten campuses of the University of California system. Clearly, the appeals process is not intended to apply to all Senate members, but only to members of the Division.

The broad wording of DDB 45(C) also leaves open the possibility of appeal of appointments, either by the candidate for appointment or on behalf of the candidate for appointment. This does not seem to be the intention of the original legislation, which was adopted to protect members of the Division from unfairness in their personnel actions.

The proposed amendments would close these two loopholes by clarifying that the appeals process applies to current Divisional members only, and that recommendations by CAPOC on appointments are not subject to appeal.

Proposed Revision: Davis Division Bylaw 55 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

Davis Division Bylaw 45. Review of Personnel Actions (Am. 10/21/2002)

A. Types of review. Recommendations made by Senate personnel committees may be reviewed in two ways: reconsideration and appeal. (i) Reconsideration is appropriate only if a Senate member wishes to supply additional substantial or contextual information relevant to a personnel action. Reconsiderations are undertaken by the same committee that considered the original action. (ii) Appeal is appropriate when a Senate member believes that a personnel committee has failed to apply established standards of merit or has failed to follow established procedures. Appeals are considered by the Appellate Subcommittee of the Committee on Academic Personnel. Although an appeal may involve matters of merit or procedure, a review of a personnel action does not affect the rights of a Senate member to consideration of matters within the scope of the authority of the Committee on Privilege and Tenure. In particular, subject to the provisions of DD Bylaw 87 and Senate Bylaw 335, requests for redress of violations of a Senate member's rights or privileges may be brought before the Committee on Privilege and Tenure at anytime independently of the review process set forth in this bylaw.

B. Procedures for reconsideration. The Oversight Subcommittee of the Committee on Academic Personnel and the Faculty Personnel Committees shall establish and publish procedures governing reconsideration of unfavorable recommendations on personnel actions.

C. Procedures for appeal.

1. Any ~~Senate~~ **Divisional** member who believes that an unfavorable personnel action **in his or her case** was the result of a failure to apply established standards of merit or to follow established procedures should consult with an Academic Personnel Adviser before determining that there are issues that warrant an appeal. The Academic Personnel Adviser shall review the relevant information in light of the established standards and procedures and consult with the Senate member. (Am. 12/15/1967)
2. The Appellate Subcommittee of the Committee on Academic Personnel shall advise the Chief Campus Officer on the appeal ~~by the candidate~~ of any personnel action ~~-excepting appointment~~, beyond the original review conducted by the Oversight Subcommittee or a Faculty Personnel Committee. The appeal may be made only by the candidate, or a member of the candidate's department on behalf of, and with the consent of, the candidate.~~Its~~ The Appellate Subcommittee's ~~Its~~ advice shall be based on established standards of merit and established procedures. The Appellate Subcommittee shall state clearly the reason for its decision and shall explicitly address the issues raised by the appellant.

D. The recommendations of committees duly constituted to consider appeals are the definitive advice of the Senate to the Chief Campus Officer on personnel actions, except in those cases in which the Committee on Privilege and Tenure makes a recommendation on particular matters within the scope of its authority.

**PROPOSED REVISION OF DAVIS DIVISION BYLAW 52
CHANGE IN MEMBERSHIP OF THE AFFIRMATIVE ACTION AND DIVERSITY
COMMITTEE**

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by the Davis Division Committee on Affirmative Action and Diversity and Executive Council

It is proposed that the membership on the Davis Division Committee on Affirmative Action and Diversity (AA&D) be updated to reflect changes in the structure of the campus administration. Also proposed is a minor re-ordering of a sub-section in the Bylaw.

Rationale

Currently, Bylaw 52(A) lists as ex officio the Vice Provost – Faculty Relations. This position no longer exists. The appropriate administrative position is the Associate Executive Vice Chancellor for Campus Community Relations.

Bylaw 52(B)(6) lists among the “duties” of the committee the ability to delegate its duties. This item would be moved to a more appropriate place.

Bylaw 52(B)(5) charges AA&D with recommending “persons from among its membership to serve on the Student Affirmative Action Administrative Advisory Committee.” After several years of inquiries by AA&D to the Associated Students of UC Davis (ASUCD) and the Campus Community Relations Office as to whether such a group exists, AA&D concluded that the Student Affirmative Action Administrative Advisory Committee does not in fact exist. Therefore, the duty to recommend persons from AA&D to serve on such a committee should be removed.

Proposed Revision: Davis Division Bylaw 52 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

Bylaw 52. Affirmative Action and Diversity

A. This committee shall consist of seven members of the Academic Senate, the ~~Vice Provost—
Faculty Relations~~ **Associate Executive Vice Chancellor for Campus Community Relations** non-voting ex officio, one undergraduate student representative, one graduate student representative, and three representatives appointed by the Davis Academic Federation. (Am. 10/20/97)

B. The committee shall have the following duties, **which may be overseen by a subcommittee of its members and others:**

1. To advise the Chief Campus Officer and the Davis Division on general policies and practice bearing on affirmative action and diversity for academic personnel and academic programs. As used here, "affirmative action" refers to policies and programs concerning African Americans, Chicanos/Latinos/Hispanics, Asian Americans/Pacific Islanders, American Indians/Alaskan Natives, women, persons with disabilities, special disabled veterans and Vietnam era veterans, while "diversity" refers inclusively to all distinctions

based on race, ethnicity, gender, age, citizenship, disability, sexual orientation, religious or political beliefs, status within or outside the university, or other differences among people that may be subject to bias on the part of others.

2. To monitor all aspects of the Educational Opportunity Program and Student Affirmative Action, with special attention to the problems of admission and retention of culturally diverse and economically disadvantaged students.
3. To undertake studies of affirmative action and diversity policies and practices and to advise the Chief Campus Officer, the Davis Division and relevant campus units accordingly. These studies should include data and analyses provided by the campus administration on:
 - a. the recruitment, admission, retention, appointment, assignment to duties, salaries, advancement, and separation from employment of members of groups protected by affirmative action policies and other groups identified by the Committee as the subject of its concern;
 - b. events having either a positive or negative impact on diversity; and
 - c. steps taken to create a supportive environment for all members of the campus community.
4. To advise the Divisional Committees on Academic Personnel and Admission and Enrollment regarding affirmative action and diversity issues within the jurisdiction of those committees.
5. ~~To recommend persons from among its membership to serve on the Student Affirmative Action Administrative Advisory Committee.~~
5. ~~The committee may appoint a subcommittee of its members and others to oversee these duties.~~
7. To report annually to the Davis Division on policies and practices.

**PROPOSED REVISION OF DAVIS DIVISION BYLAW 126
CHANGE IN MEMBERSHIP OF ACADEMIC SENATE/ACADEMIC FEDERATION
JOINT PERSONNEL COMMITTEE**

Submitted by the Committee on Elections, Rules and Jurisdiction.

Endorsed by the Academic Federation and the Davis Division Executive Council.

The Academic Federation (AF) has amended its Bylaws to change the makeup of the membership of the Joint Personnel Committee membership and to change the way that the chair of the committee is determined. This proposal is to make conforming changes in the Senate Bylaws.

Rationale: Davis Division Bylaw 126 establishes a Joint Standing Committee, with membership from the Davis Division and the Academic Federation. This committee is entitled “Joint Personnel Committee” (JPC). Clause (B) defines the function of the JPC: “The Joint Personnel Committee is responsible for advising the Chancellor on academic personnel actions for non-Senate academic appointees whose positions include a designated research component. The Joint Personnel Committee is analogous and parallel to the Committee on Academic Personnel of the Davis Division of the Academic Senate and the Davis Academic Federation Personnel Committee. The functions and deliberations of the Joint Committee are independent of either of the other named personnel committees.” Clause (A) lays down the conditions for membership on the JPC. The relevant conditions are that three members be representatives of the Division and four be representatives of the Federation. Clause (D) provides a procedure for selection of the JPC chair, which is to rotate annually between Divisional and Senate representatives.

The Academic Federation, in response to perceived problems with the structure laid down in DDB 126, has made two changes to its corresponding Bylaw XI(A). The first is to increase the Federation membership from four to five. The second is that the JPC chair is to be a Federation representative.

The principal reason for the first change is that four AF members were not enough to cover the various categories of researcher within the AF. The addition of a fifth AF member allows coverage of each of five separate classifications within the AF structure. A secondary reason is to enable the JPC to handle its workload more effectively.

The principal reason for the second change is that since the persons reviewed by the committee are all AF members, the person in charge of the review should be an AF member as well. One secondary reason is that an AF member would be more familiar with the structure and practices of the Federation than would a non-Federation member of the Division. A further secondary reason is that the chair of the JPC serves as a voting member of the AF Executive Council and therefore should be an AF member.

The Committee on Elections, Rules and Jurisdiction finds these reasons to be compelling. We therefore propose that Davis Division Bylaw 126(A) be amended to increase by one the number of members appointed by the Academic Federation whose positions include a designated research component who are not Cooperative Extension Specialists. We propose further that Davis Division Bylaw 126(D) be amended to end the practice of rotating the chair between Senate and Federation committee members and require that the chair be a Federation member.

Proposed Revision: Davis Division Bylaw 126 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

Bylaw 126. Joint Personnel

A. This committee shall consist of three Senate members, two Cooperative Extension Specialists appointed by the Davis Academic Federation; and **three** ~~two~~ Academic Federation appointees whose positions include a designated research component but are not Cooperative Extension Specialists, also appointed by the Academic Federation. All persons serving on this committee are entitled to vote on matters before the committee. (Am. 10/20/97) Members of the Joint Committee are appointed respectively by the Committee on Committees of the Davis Division and the Academic Federation with consultation between these groups to assure a balance in areas of expertise of the Joint Committee members. The Executive Vice Chancellor and Provost (or responsible Campus officer) will be informed of the Joint Committee membership by July 1.

D. The Joint Committee Chair shall **be a member of the committee appointed by the Academic Federation** ~~rotate annually among categories (1), (2) and (3) of paragraph (A) above.~~ Whenever possible, the chair should be selected from members serving their second year of the two year term.

Brief Biography of Professor Larry Berman, Nominee for the 2010 Academic Senate Faculty Lecturer Award

After reviewing twelve extremely strong applications, the Faculty Research Lecture committee unanimously recommends Professor Larry Berman, Professor of Political Science, to serve as the 2010 Faculty Research Lecturer.

Upon completing his doctorate at Princeton University in 1977, Professor Berman joined the faculty at UC Davis, where he has remained through a distinguished scholarly and teaching career. He has developed an international reputation as an expert on American politics, foreign policy, the American presidency, and the Vietnam war. In recognition of that expertise, he has secured the Richard E. Neustadt Award, given annually for the best book published in the field of the American presidency (1990). He also has won the Bernath Lecture Prize, annually bestowed by the Society for Historians of American Foreign Relations (1993). In 2002, he secured the best book award from the Presidency Research Group of the American Political Science Association. A committed teacher, he has received the Outstanding Mentor of Women in Political Science Award from the Women's Caucus for Political Science (1996). He has also held the most distinguished fellowships in his discipline: those awarded by the Guggenheim Foundation; the American Council for Learned Societies; the Woodrow Wilson International Center; and the Rockefeller Center in Bellagio.

A public intellectual of high prominence, Professor Berman has been featured on Bill Moyers's PBS series, *The Public Mind*; David McCullough's *American Experience*, Stanley Karnow's *Vietnam: A Television History*, and the History Channel's, *The Presidents: To the Best of My Ability*. His international reputation has secured invitations to lecture in Vietnam, Australia, China, Germany, Israel, Italy, France, and the Netherlands. Two of his books have been translated into Vietnamese.

His many honors derive from an exceptionally strong record of publication, which includes six solo-authored books and six others where he served as editor or co-editor. The most prominent of those works begins with *Planning a Strategy: The Americanization of the War in Vietnam* (1982), which relied on recently declassified documents to reveal President Lyndon Baines Johnson's political motivations for escalating the war. Professor Berman followed up with *Lyndon Johnson's War: The Road to Stalemate in Vietnam* (1989) which explored divisions within American policy makers and their advisors over the analysis and manipulation of information. In 2001 Berman published his most influential work, *No Peace, No Honor: Nixon, Kissinger, and Betrayal in Vietnam*, which covered the tortured American disengagement from the war from 1968 to 1975. In 2007, he completed *Perfect Spy: The Incredible Double Life of Pham Xuan An, Time Magazine Reporter and Vietnamese Communist Agent* - which is Berman's most daring work: a biography of the most successful agent for the communist regime in Vietnam. Pham Xuan An agreed to cooperate because of his respect for Berman as the most serious and accomplished scholar of the Vietnam war.

At present, Professor Berman has launched a new book project, a biography of Admiral Elmo Zumwalt, Jr. who rose to command of the U.S. Navy during the 1970s, when he initiated

sweeping reforms that modernized the fleet and challenged institutional racism.

His scholarly leadership also includes a successful suit against the Central Intelligence Agency for access to the President's Daily Briefs during the Johnson administration. That case set an important precedent that has opened a range of important documents to other scholars. His considerable service to the university includes his role as the founding director of the University of California Washington Center, 1999-2005. He also served as chair of his department for nearly a decade: 1989-1998.

Adept at conveying complex issues to a broader public, Professor Berman promises to deliver an especially accessible and lucid presentation as this year's Faculty Research Lecturer.

Ryken Grattet, (Sociology)

Ryken Grattet, a Professor of Sociology, has an outstanding record of scholarly contributions on hate crime law and the California prison and parole system. His research provides the grounding for his extensive public service on state and national criminal justice issues. We are pleased to acknowledge those contributions by recommending Professor Grattet for an Academic Senate Distinguished Scholarly Public Service Award.

As a leading sociologist in the study of hate crimes and hate crime law, Professor Grattet has become involved with lawmaking on the subject at the state and federal levels, assisted with the development of training materials and law enforcement policies, and provided expertise to news media and public forums. In 1996, while at Louisiana State University, he testified before the Louisiana legislature on a pending hate crime bill. After coming to UC Davis in 1999, he gave a U.S. Congressional Briefing and Seminar on "Hate Crime in America." His research on how police departments throughout California were enforcing hate crime laws showed that enforcement policies and interpretations varied widely among local agencies. Legislation to address these inconsistencies relied heavily on Professor Grattet's findings and his testimony before the State Senate Judiciary Committee. State Senator Sheila Kuehl acknowledged his contributions as having "informed the provisions of the bill that addressed the clarification of key terms in hate crime statutes and ... that directs the Attorney General to develop and promote formal policies on the issue." He subsequently devoted considerable effort in assisting the law enforcement community in the policing of hate crime. He contributed subject matter on "anti-reproductive rights crimes" to the Commission on Police Officer Standards and Training, and wrote articles for police professional journals advising on developing local enforcement policies.

More recently, Professor Grattet has turned his attention to the California prison and parole system. This led him to take a leave from UC Davis to serve as an Assistant Secretary in the California Department of Corrections and Rehabilitation where he formed the Office of Research as a key element in bringing evidence-based practices to better prepare offenders for reentry into the community and to address California's extraordinarily high recidivism rate. Over that year, he built a research office of more than seventy staff and commenced and managed a contract that established the Center for Evidence-Based Corrections at UC Irvine. Since his return to UC Davis, he has continued to work with the Office of Research staff.

In 2008, Professor Grattet produced a set of policy recommendations for the National Institute of Justice. The recommendations address what kinds of parolees pose greater or lesser threats and how characteristics of communities can affect the risk of violations. Four of the eight recommendations are currently being implemented.

Gregory Herek (Psychology)

Professor of Psychology Gregory Herek has worked extensively throughout his career to conduct innovative research on the problems and concerns of lesbian, gay and bisexual individuals. This led him to assist the discipline and profession of Psychology to pursue its goal of removing the stigma that had long been associated with homosexuality and to bring scientific knowledge about sexuality and sexual orientation to legislators, government officials, policy makers, the courts and the general public. This work is the basis for our recommendation of Professor Herek for the Academic Senate's Distinguished Scholarly Public Service Award.

Professor Herek is one of the first social scientists to develop a research program focusing on stigma and prejudice applied to sexual orientation and HIV/AIDS. In addition to providing insights to other social scientists, his scholarship has had important influence on public policy, such as, for example, the citation of his work by the Chief Justice of the New Jersey Supreme Court in their ruling on the constitutionality of New Jersey's marriage laws.

His work has been important in many court cases involving sexual orientation. He helped to write approximately two dozen *amicus curiae* briefs that the American Psychology Association submitted to various state and federal courts documenting scientific research about sexual orientation. He was the primary author of the briefs submitted by the APA for cases concerning the marriage laws of California, Maryland, New Jersey, Washington and Connecticut. He provided expert testimony in an Iowa case challenging that state's marriage laws. He was the primary author of a brief submitted to the U.S. Supreme Court in a case that successfully challenged the constitutionality of Texas laws regulating the private sexual behavior of consenting adults. He has submitted expert testimony in at least 25 court cases involving issues of sexual orientation.

He has presented findings of social science on the nature and impact of violence against lesbians and gays, and on the question of gay men and lesbians in the military to U.S. congressional committees. He served on the State Superintendent of Public Instruction's task force to provide advice on implementation of a new law prohibiting discrimination against California school children on the basis of sexual orientation.

Professor Herek has actively taken the findings of social science on topics involving sexual orientation to the general public in numerous public lectures, interviews in local and national news media and in Op-Ed essays in the *Sacramento Bee*, *San Francisco Chronicle* and *Los Angeles Times*.

Michael Wilkes (Internal Medicine)

Dr. Michael Wilkes is a Professor of Internal Medicine and director of the University of California Institute for Global Health. We recommend Dr. Wilkes for the Academic Senate's Distinguished Scholarly Public Service Award in recognition of his dedicated service in several areas. As a humanitarian, he has contributed countless hours to building programs and working in clinics for underserved populations at home and throughout the world. As an educator, he has created tools that teach medical students and practicing physicians new approaches to deliver compassionate and patient-centered care. And as a communicator, he has become a bridge linking the general public and the health profession, synthesizing and delivering health information to varied audiences in multiple and innovative ways.

Throughout his career, Dr. Wilkes has brought an emphasis on public service and social justice in health care to his clinical practices. He co-founded the Joan Viteri Memorial Clinic in Sacramento, a student-run health clinic that provides free care to intravenous drug abusers and sex workers. The clinic provides this hard-to-serve population with prevention services, treatment and counseling in a nonjudgmental setting. He started the Venice Family Clinic's teen clinic in Los Angeles. The clinic provides care to high-risk adolescents by providing important reproductive health-care services, diagnostic testing, medications and mental health services.

Dr. Wilkes is a leader in addressing global health problems. He worked with medical students to create the Medical Intercultural Opportunities for Students (MEDICOS), an international exchange program with medical schools in Hungary, Kenya, India, Chile and Nicaragua. The program promotes educational and cultural competency and enables UC Davis medical students, physicians-in-training and faculty to deliver care to the medically underserved in these countries.

He is a dedicated community-health educator. As a popular radio and newspaper contributor, he has dispensed medical insights on a variety of critical and complex issues. More than 800 of his commentaries are available as podcasts. He writes a weekly column for the *Sacramento Bee* and has contributed feature articles to the *New York Times Magazine* and the *Boston Globe*.

Finally, he has been an outspoken public advocate on such important health care issues as limiting pharmaceutical companies' direct-to-consumer advertising, influence over physical treatment choices, and withholding of drug safety and efficacy trial data.

Susan Williams (Ecology and Evolution)

Susan Williams is a Professor of Ecology and Evolution and Director of the Bodega Marine Laboratory. She is recognized as one of the world's leading experts on the ecology and conservation of coastal marine ecosystems. She brings this expertise to a dedicated commitment to promoting and strengthening science-based management of coastal ocean environments. Her broad scientific expertise, understanding of policy processes, ability to communicate in jargon-free language and accessibility has led policy makers to trust her judgment and seek her out as an adviser on marine ecology and management issues as varied as invasive species, aquaculture and research infrastructure. We are pleased to recommend her for an Academic Senate Distinguished Scholarly Public Service Award.

Professor Williams' public service contributions involve providing testimony, consultations and advice to a range of boards, commissions and agencies on a wide variety of issues. One area of particular urgency and high levels of concern is the problem of biological invasions by exotic species. Here her expertise is especially timely and valued. When, for example, the highly invasive seaweed *Caulerpa taxifolia* was found at San Diego and Huntington Harbor it was recognized as a grave threat to the health, diversity and productivity of the Pacific coastal ecosystem. Professor Williams served on a federal-state-private working group to fight the invasion. She advocated for an evidence-based plan of action in briefings and testimony to the U.S. House of Representatives Ocean Caucus, California Department of Fish and Game and the National Academy of Sciences Invasive Species Solution Forum. Her efforts were instrumental in the enactment of regulatory legislation restricting availability of *Caulerpa* to aquarium hobbyists. The success of this legislation was, according to Assemblyman Tom Harmon's staff, "largely attributable to the written and verbal testimony by Dr. Williams."

Professor Williams was the leading scientific expert on pending legislation to expand the Cordell Bank and Gulf of the Farallones National Marine Sanctuaries, which are home to one-third of the world's endangered whale and dolphin species. She testified to House and Senate committees on behalf of enabling legislation in 2007-08, and in 2009 she briefed Congressional staff on the reauthorization of the National Marine Sanctuaries system.

At the State level, she serves on the Sea Grant Advisory Group which advises on management needs for science-based information. At the invitation of State Senator Joe Simitian, she testified twice on pending aquaculture legislation before the Joint Panel on Fisheries and Aquaculture. And, at the international level, she has advised on aquatic invasive species in Australia, New Zealand and Canada.

Finally, she has worked for and with numerous nonprofit agencies, civic groups and conservation organizations including the State and National Nature Conservancy, Defenders of Wildlife, and the Audubon society.

**REPORT
of the
Academic Personnel Process Review Task Force
May, 2009**

INTRODUCTION

The Academic Personnel Process Review Task Force was appointed on October 17, 2008 by the Executive Council of the Davis Division of the Academic Senate. A provision of the previous SCAPP (Special Committee on Academic Personnel Processes) and SCPPR (Special Committee on Personnel Process Reform) recommendations was to periodically review the campus academic personnel process system. Davis Division Bylaw 73.C.7 also states that a responsibility of the Executive Council is “to conduct a review of the academic personnel process ... every five years.” The SCAPP and SCPPR reports outlined recommendations that were intended to enhance the fairness and transparency of the UC Davis academic personnel processes.

The charge of the Task Force on Academic Personnel Process was to:

1. Review the recommendations in SCAPP and SCPPR reports.
2. Provide a status report on the actions taken with respect to each recommendation including the effectiveness of the actions taken.
3. Assess the current state of faculty compensation and competitiveness relative to other University of California campuses.

At the onset, we reaffirm the conclusion of SCAPP that “the basic structure and philosophical underpinnings of the academic personnel process used at UC Davis are sound”. Our system of multiple and periodic administrative and peer reviews provides checks and balances that make in principal the UC academic personnel evaluation system more equitable and less arbitrary than those used by many other major research universities. However, both the SCAPP and SCPPR reports concluded that the practices at UC Davis could be made more efficient and more equitable. Following the implementation of SCAPP and SCPPR recommendations, improvements were made that this Task Force believes resulted in more equitable rates of advancement. Likewise, the average salaries in the professorial ranks at UC Davis relative to the other UC Campuses have improved over the past 10 years. However, improvement is not equal in all ranks and average salaries still remain in the bottom half relative to companion campuses in the UC system. Salaries as a whole within the UC system continue to lag behind those at comparable campuses elsewhere. In summary, significant progress has been made, but some work remains.

Sources of information were a review of:

1. Recent system wide reports on salaries and external sources, such as salary summaries published in AAUP publications (See Appendix 1).
2. Previous Senate reports, such as the SCAPP and SCPPR reports, which may

be obtained at (http://academicsenate.ucdavis.edu/task_forces.cfm) and past reports of CAPOC and CAPAC, which may be obtained at the Academic Senate committee page website (<http://academicsenate.ucdavis.edu/committee.cfm>).

3. Meetings with CAPAC, CAPOC, Academic Senate Office staff, Vice Provost, and the College Faculty Personnel Committee chairs.
4. Results from a Faculty Survey conducted in March of 2009 (See Appendix 2).

CHARGES 1 AND 2 - COMMENTS ON THE RECOMMENDATIONS IN SCAPP AND SCPPR REPORTS

The SCAPP Report

The 21 recommendations cited in the SCAPP report are listed below in abbreviated form. It is clear that these recommendations were taken seriously and had a significant impact on the current academic personnel process.

SCAPP Recommendations 1 and 2

The campus should adopt personnel policies that will create a positive and supportive environment in which excellent faculty will thrive. The campus should adopt the policy of comparing our salaries with institutions whose reputations we wish to emulate.

As will be noted in subsequent sections addressing academic progress, salaries, and task force recommendations, there has been notable progress in improving the rate of advancement at UC Davis. Before the implementation of the SCAPP recommendations, we were consistently in the bottom quartile in virtually all categories. We are now near the median with respect to compensation and rank within UC. However there is still a significant lag at the Associate and Full Professor Ranks.

SCAPP Recommendations 3-9 focusing on CAPOC

The Committee on Academic Personnel (CAP) should:

- *Play a positive and supportive role in our personnel process.*
- *Endeavor to evaluate personnel actions on the basis of recommendations and evidence provided by other levels of the review process, and only in unusual circumstances undertake independent evaluations of review or overturn unanimous or nearly unanimous recommendations of prior reviews.*
- *Reconcile conflicting recommendations by consulting with departments, deans, and ad hoc review committees, as appropriate.*
- *Consult regularly with the Executive Council of the Academic Senate on pending policy matters.*
- *Ask for guidance from the Senate in defining tasks beyond those explicitly stated in the by-laws.*
- *Be responsible for making recommendations about personnel actions, such as*

appointments, appraisals of Assistant Professors.

A review of past CAPOC annual reports suggests that with some exceptions, the various CAPOC committees have carried out their functions in keeping with SCAPP recommendations. Rather than make independent re-assessments of individual cases, recent committees have often focused more on whether the evidence presented for an individual meets reasonable set of norms used to define excellence in given areas of creative activity, teaching, and service. It is also acknowledged that the tone of summary letters has improved, although comments from the faculty survey suggest more effort should be taken to make letters that accompany successful merits more supportive. The tone of letters accompanying unsuccessful merits and promotions should contain detailed and useful information as to the basis of the denial of the action.

In one area, recent committees have deviated, however, from what was viewed as conventional practice. Specifically the use of Ad Hoc committees has markedly decreased in the past 3-4 years. Ten years ago, Ad Hoc committees were routinely assigned in about 85 percent of cases. Currently, only 10-20 percent of cases are assigned an Ad Hoc committee. Several reasons were given for the reductions in Ad Hoc committees. First, in the spirit of the SCAPP recommendation – only in unusual circumstances will independent evaluations be undertaken when there is unanimous or nearly unanimous recommendations from previous reviews - it was noted that Ad Hoc committees have tended to provide evaluations that were too often iterative. When the nature of creative work or scholarship was unusual or controversial, Ad Hoc committees were viewed as very useful, but less so when the impact of the creative work was easily assessed or judged (e.g. from a good set of external letters). It was also noted that the use of Ad Hoc committees often injected departmental “politics” into the process, because of the practice of including a departmental member on the committee.

Although initially skeptical, the Task Force now accepts that much of this reduction in Ad Hoc committees is a reasonable response in circumstances where the lower level reviews have already achieved a strong consensus. However this conclusion should not be interpreted as supporting the concept that CAPOC possesses sufficient expertise to substitute for an ad hoc committee when the lower level decision is complex, controversial, or negative. Ad hoc’s are crucial under the latter circumstances.

SCAPP Recommendations 10-14 focusing on criteria for evaluating faculty performance

- *Department and program chairs and others with significant service responsibilities should be compensated by paid administrative leave that is accrued at the same rate as, and in addition to sabbatical leave.*
- *Standards for evaluating faculty performance should be clarified.*
- *Each department should be requested to provide a written summary of the nature of scholarship within their academic discipline.*
- *The Office of the Vice-Provost should organize an annual workshop on the academic personnel review process for chairs of programs, deans, members of local personnel committees, and members of CAP.*
- *The Annual Call should be revised and greatly shortened in order to communicate concisely the essence of the review process and to announce and clarify new policies.*

In 2000, there was evidence that personnel decisions were made by very rigid criteria. There were few accelerated advances, service was not highly valued, and academic leadership,

especially by department chairs, was not routinely recognized. The Committee on Academic Personnel overturned recommendations from lower levels of review at higher rates than on other campuses, suggesting that there was insufficient consensus about appropriate rewards for research, teaching, creative activity, university service, and professional activities.

The Academic Personnel Process Review Task Force found improvements in most of the areas previously noted as concerns. For example, workshops on the academic personnel review process are regularly held for chairs of programs, deans, members of personnel committees. Based on data in recent CAPOC reports, CAPOC and the FPC's now recommend accelerated advances and equity reviews with more frequency than was practiced prior to 2000.

SCAPP Recommendations 15 - 21 focusing on improving the process

- *All merit actions within rank should be re-delegated to the Colleges and Professional Schools.*
- *Documentation in review files should be reorganized and abbreviated.*
- *Ad hoc review committees should be expanded to five members, including a departmental representative.*
- *CAP should adopt procedures by which members with a conflict of interest are recused.*
- *The Committee on Committees should appoint a Shadow CAP to make recommendations on appeals of personnel actions and on actions involving members of CAP.*
- *CAP should be housed with the Senate and all support for it and its staff should be included in the budget of the Academic Senate.*
- *The state of the academic personnel system should be re-examined at regular intervals thereafter.*

The above recommendations were in part based on a SCAPP survey of faculty that suggested that many, including those making normal or better than normal progress, were dissatisfied with the personnel system due to perceptions of unfairness. It was also perceived that the UC Davis CAPOC worked too closely with the administration.

The response to these recommendations led to a redefinition of the role of the FPC's and establishing CAPAC (CAP Appellate Committee). Effort was also directed at improving or streamlining the dossier preparation.

An important point here is that for each of these recommendations, the overriding goal was to improve equity and fairness. Less attention was given to improving efficiency or the consideration of actual costs in staff hours or resources. As a consequence, there were several recommendations that were not implemented, because the staff and/or resource costs made them impractical. As an example, in addition to the formulation of CAPAC, it was recommended that five member Ad Hoc committees be appointed. However, it proved too difficult to appoint the committees. Given the resources of the Academic Senate and those that the Vice Provost was willing to provide, the costs of organizing meetings times and maintaining records compromised what was considered more essential functions of the process. Another recommendation, which was only

partially implemented, stated, “Each department should...provide a written summary of the nature of scholarship”. Although a concerted effort was made in 2001 and 2002 to gather this information only 10 percent of the academic units replied; many were concerned that their summaries might be used in an arbitrary manner or misinterpreted. When queried by the Academic Personnel Process Review Task Force if the lack of this information had impact, CAPOC emphasized that most Departmental letters usually provided sufficient articulation of Departmental standards (cf. recommendations section).

The recommendation of more separation between CAPOC and the Vice Provost office had to do with concerns regarding conflict of interests, because space and records for Academic Senate activities were maintained by the Vice Provost office. The move to Voorhies Hall helped to address some of these concerns, although there were hidden administrative costs associated with maintaining access and security of records.

Currently, all interviewed indicated that the working relationships and collaboration between Academic Senate and Vice Provost staff were very good. Importantly, attention has been given to maintaining appropriate separation between the functions of Academic Senate and Vice Provost staff, when it is appropriate to do so.

Procedures have also been adopted by which CAPOC, CAPAC, and FPC members with a conflict of interest are recused (e.g. if the member votes in the department or has a close collaboration or personal relationship, the member does not participate in discussions). When needed “Shadow CAPs” are appointed by the Vice Provost.

The SCPPR Report

The SCPPR report was an implementation document that provided amplification of the recommendations of SCAPP. SCPPR addressed each recommendation of SCAPP with an implementation plan. As examples, Davis Division Bylaw 77 was amended to charge the Committee on Faculty Welfare with the task of reporting annually to the Representative Assembly appropriate comparisons of salaries. A resolution was also proposed requesting the Chancellor to use these comparisons as appropriate for purposes of measuring meaningful progress in achieving our academic goals. Changes were made in Davis Division Bylaws 29 and 41-45 that redefined the functions of the FPC’s (formally the College Personnel Committees), established CAPAC, and defined in broader terms the functions of the Faculty Privilege Advisors. It was also proposed that all personnel committees are subject to the authority of the Representative Assembly and the Division and noted that CAPOC must consult regularly with the Executive Council concerning changes in academic personnel policies and procedures.

All of the suggestions by SCPPR were implemented, except as indicated above for use of 5 member Ad Hoc committees and preparation of Departmental documents that were intended to articulate specific expectations and standards.

Charge 3 – Assess Current state of faculty compensation competitiveness relative to other University of California campuses.

To address this charge, the Academic Personnel Process Review Task Force examined the report prepared by A. Colin Cameron and Robert C. Feenstra (Department of Economics, UC Davis) entitled “Salaries at the University of California, Davis in Comparison with other UC Campuses”, October 20, 2008 (http://academicsenate.ucdavis.edu/documents/UCD_UC_salaries.pdf). Because their approach was based on a report of a Joint Faculty Salary Task Force at the University of California, Santa Cruz, we examined that report as well and recent related information on faculty compensation provided by UCAP (<http://senate.ucsc.edu/JointTaskForce/FacultySalary%20TaskForce%20Final%20ReportCharts.pdf>). Although our analyses do not go too much beyond those reports, we did examine data for salaries taken from the April, 2009 issue of *Academe*, which are provided in Appendix 1.

What can be inferred from the Cameron and Feenstra report is that salaries at Davis tend to be lower than the other UC campuses in general, because our less frequent use of “off-scale” adjustments to maintain competitive or market place advantage, particularly in comparison to Berkeley and UCLA. Using the data from the *Academe* source, there is also validation for this inference. Base salaries at UC Davis (total compensation, i.e. salaries plus benefits) result in a UC Davis ranking of 7th out of 8 UC campuses (excluding UCSF and UC Merced) at the professorial ranks, 6th at the associate ranks, and 4th at the assistant ranks. Compared to other states, we are in the upper quartile only with respect to Assistant Professor salaries; at higher ranks we fall in the middle quartile.

There is no rationale for the fact that faculty salaries at UC Davis are low relative to other UC campuses. By many measures, we are among the top research universities in the US. As examples:

- 10th in research funding among U.S. ranked public universities (*National Science Foundation* 2006-2007 fiscal year)
- 12th among public universities nationwide (*U.S. News & World Report* 2009)
- 4th among American universities in the number of international scholars (*Open Doors 2008 Report on International Educational Exchange*)
- 3rd among UC campuses and 34th for all national universities in "best education" as rated by high-school counselors (*U.S. News & World Report* 2009)
- Among the top five in the nation, according to *The Chronicle of Higher Education's* "Top Research Universities Faculty Scholarly Productivity Index 2007,"

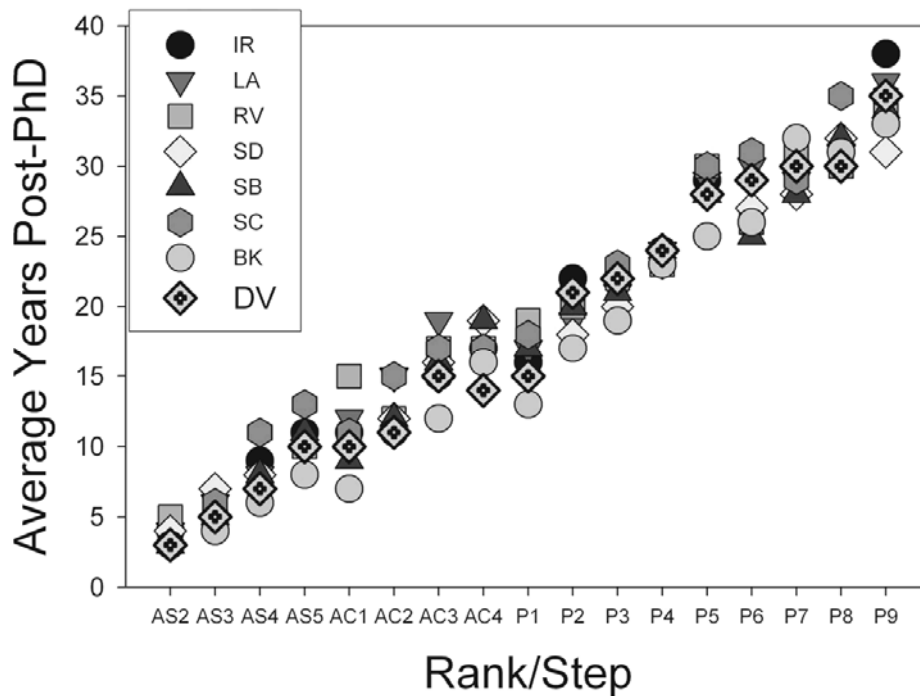
As a consequence, a conclusion of the task force from the available data is that we need to use off-scales as aggressively as their use at the other UC campuses. A major conclusion of SCAPP was that we lagged behind the other campuses within the UC

system and campuses that we wished to emulate on a national basis. Although the task force notes that improvements have been made over the past ten years, we remain below the level warranted by our overall stature.

2. Time to Rank and Step

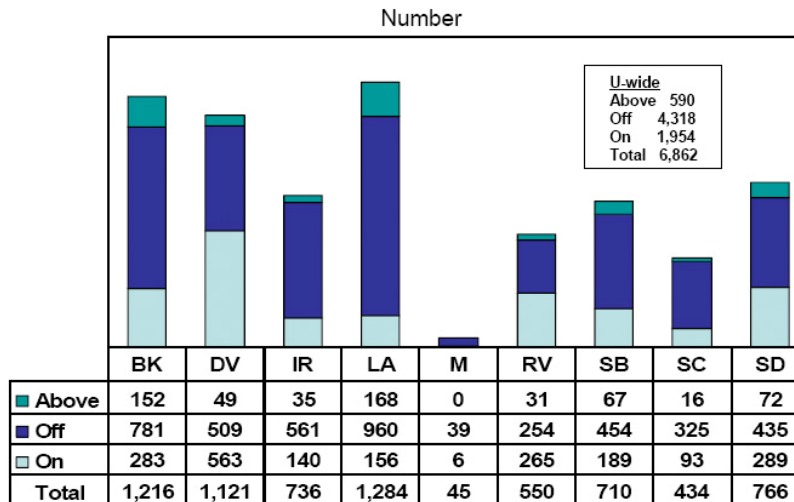
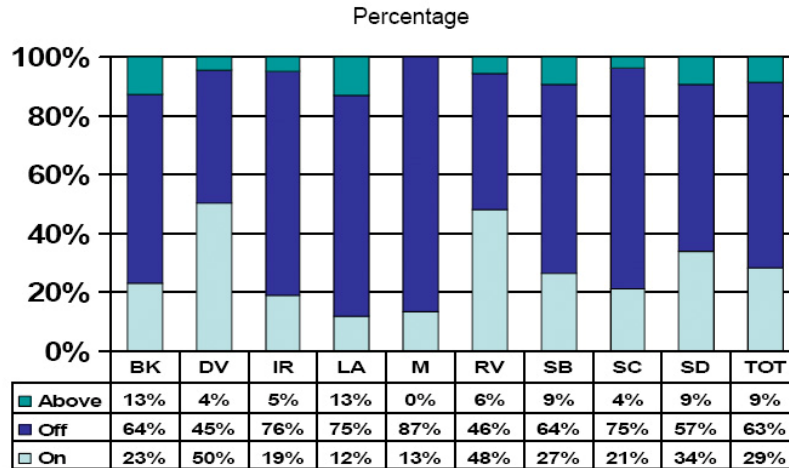
What is the problem?

As noted in the Cameron and Feenstra and UCSC reports (cf. Figure 1) UCD faculty progress up the ladder as rapidly as at other UC campuses and no campus is consistently accelerating their faculty more rapidly than another (though the spread between campuses is greatest at the highest ranks).



In contrast, data from the UCAP report on Principles and Policy Recommendations for UC Faculty Compensation (August 30, 2006; WEBSITE) suggests UC Davis's use of off scale and above scale options ranks us 3rd from the bottom of the 10 campuses surveyed or 2nd from the bottom if the Merced campus is excluded. At UC Davis there has been about a 50 percent increase in the granting of above scales compensations over the past 10 years (from ~4-5 to 7.7 % for 2008). We nevertheless remain well behind the average for the other campuses. We are also the least likely to use off-scales. Compared to other UC campuses, only Riverside and UC Davis have ½ of their respective faculties "on scale". Off- or above-scale compensation is provided to over 70 percent of the faculty at all of the other UC campuses (for UC Merced, 87%)!

**University of California
Use of Above & Off-scale Salaries
Professorial Series – All Ranks, General Campus Faculty
September 2005**



In the survey of faculty conducted by the Academic Personnel Process Review Task Force, we inferred that many faculty members were of the opinion that much of the problem associated with merit and promotion and rates of compensation resided with actions of CAPOC and the departments (Appendices 2 and 3). It was also stated that morale was negatively influenced by off-scale arrangements and resulted inequities in given departments. Setting aside concerns related to morale, the data suggests merit and promotion decisions that were most influenced by the Academic Senate-related processes are not the primary problem with the perceived poorer compensation. Rather, administrative processes and decisions related to off-scales and above scale decisions are less generous at UC Davis than at other campuses.

Summary and Recommendations

During the course of addressing the three charges, several concerns were also expressed that have direct relevance to compensation, advancement, and the role and use of Academic Senate Personnel Committees. Accordingly, we were compelled to make recommendations that directly address these concerns. The recommendations are based on our assessment of the recent data that focus on compensation, our review of actions taken in response to the SCAPP and SCPPR reports, and suggestions from the interviews and the faculty survey (see Appendices 2 and 3).

1. The Executive Council of the Davis Division of the Academic Senate should urge the Vice Provost for Academic Personnel to make greater use of off-scale compensation, currently at about 60% of that of other UC campuses.

Rationale:

Off-scale compensation decisions that are driven by “market place” expectations are most appropriately made at the level of Deans and the Vice Provost. Insufficient use of off-scales has had the undesired effect of compromising well-defined components of a merit and promotion system that is most useful in defining rank and step. As an example, forcing the Academic Senate personnel process to consider multiple step accelerations as a way of matching a salary required for retention or recruitment is inappropriate, when an off-scale can address the question without having to redefine established expectations for a given rank or step. Our perspectives on merit and compensation are inextricably linked. However, judgments regarding the base compensation that accompanies a given rank and step represent only part of the total compensation.

- 2. Reduction of the workload associated with dossier preparation should continue to be a significant goal.*

Rationale:

To be more effective, more attention needs to be given to improving systems, such as MyInfoVault and/or other approaches designed to improve efficiencies related to dossier preparation. Thousand of person hours are annually dedicated to the process.

Much effort at the Departmental level appears to go toward re-wording and re-arranging components of the package that are self-evident from the materials provided. This is particularly unnecessary *for standard Merit actions with unanimous or near-unanimous support at the Departmental level; chairs are encouraged in these circumstances to submit very simple and concise Departmental letters.*

- 3. Departmental letters in addition to describing the impact of*

teaching, service, and creative endeavors, should also provide guidelines regarding the departmental expectations for scholarship, when they are not obvious. When newer forms of publishing (e.g. electronic publishing) are used to present the work, it will also be important to include objective measures of impact. Further, when the Department, candidate and external documentations (letters, measures of impact of the creative work, teaching, and service) are clear, subsequent reviews should not be de novo in nature.

Rationale:

The SCAPP report emphasized that the nature of scholarship should be well articulated. It is the candidate's and Department's responsibility to provide a thorough, preferably succinct, record of the creative work and related activities. If the Department believes that there are unique aspects to the nature of scholarship within the candidate's discipline that might not be fully appreciated by the campus community as a whole, these criteria should be expressly noted in the Department's letter. Further, effort to reconcile conflicting recommendations should be made when appropriate.

3. The task force concurs that the use of Ad Hoc committees in many cases may not be required. However, we recommend that when such committees are established, they be given a defined charge or set of questions to address.

Rationale:

Ad hoc committees are particularly useful, when the expertise to judge a candidate's creative activity is not within the expertise in the Department. As an example, a Department that largely does basic laboratory science may also have an individual with primary expertise in statistics, informatics, or epidemiology as a part of its Departmental base of activities. If a reviewing body, such as CAPOC, needs additional information beyond the Departmental opinion, an Ad Hoc opinion is clearly appropriate and would be of added value. Although it is the tradition to include a department member on the Ad Hoc, the need for an advocate or Departmental perspective may be unnecessary, if the goal is to better ascertain the impact or nature of scholarship.

When additional information beyond the Departmental opinion would be useful, CAPOC is discouraged from relying on its own "expertise" in lieu of an ad hoc. For any given action, the expertise on CAPOC is likely to be limited to a single individual, and therefore should not outweigh the opinions of the larger number of experts, both extramural and those within the candidate's own department and college.

4. CAPOC and the FPCs should be encouraged to recommend accelerations, when appropriate, as a part of their regular assessments. Guidelines for such decisions should be

developed.

Rationale:

In discussions with the task force, it became clear that each FPC had differences in philosophy and approach regarding their role in merit assessments. Several were proactive and independently recommended additional compensation, when deemed appropriate; others focused more on process and detail. Given that assessing whether equity and fulfillment of campus and/or college standards have been met is the most important role that CAPOC and the FPC's play, it is essential that there be some uniformity with regard to function at each of the review levels. To effect better transparency, an admonition expressed consistently in the Faculty survey, letters provided to the faculty member summarizing the basis of the merit and promotion action should be informative if there were concerns, and congratulatory if there were none.

5. Keep CAPOC at its current size.

Rationale:

It was suggested that CAPOC be expanded in order to address perceived deficiencies in CAPOC's ability to assess a candidate's dossier due to lack of expertise in specific areas. However, the task force suggests that there is not a compelling reason to do so, if Departments and the candidate provide sufficient information and/or there is judicious use of Ad Hoc committees, when more information is needed. It is more important that CAPOC and FPC members be selected on the basis of highly visible scholarship and evidence of understanding and appreciating a wide range of disciplines on the campus than to address a specific discipline or area of scholarship.

7. CAPAC, as currently functioning, has substantially contributed to the fairness of the review process and should be encouraged and retained as a final court of appeal; however, some specifics need to be better defined.

Rationale:

We endorse the concept that the CAPAC's primary role is to ensure fairness, and to provide faculty with an unbiased venue to appeal CAPOC decision and decisions re-delegated to the Deans. It is inevitable that some cases may deserve reevaluation. In this regard, we re-emphasize the original recommendation of SCPPR that CAPAC is to be assembled from a group of faculty experienced with the merit and promotion system, but distinct from those who recently served on CAPOC. CAPAC should act at arm's length from CAPOC and other review bodies and have authority to independently hear appeals and review previous decisions (cf. Appendix 3). The appellate committee should serve as a faculty advocate, given that many of the cases are contentious.

We are, however, concerned by the numbers of instances cited of recruitments, appointments, and/or changes in title that were carried out without appropriate search plans or departmental input. CAPAC was asked in one instance to review one of the

cases. It is easily argued that this is not the intended function of an appellate committee. CAPAC should not be used in cases of recruitments, appointments, and/or changes in title. Bylaws should be developed that better reflect the intended functions of CAPAC in keeping with their intended role as an appellate body.

Summary. The Academic Personnel Process Review Task Force has reviewed the recommendations in the SCAPP and SCPPR reports and judge that reasonable actions were taken to address the most salient concerns. For example, in the area of faculty compensation and competitiveness relative to other University of California campuses, we have made improvements, although UC Davis in general remains below the average for compensations offered at our comparing institutions. Moreover, the reasons do not seem to lie exclusively with the merit and promotion process per se. Faculty at UC Davis move through the different ranks and steps commensurate with others within the UC system, but our levels of financial compensation are not commensurate, because of the modest use of off-scale adjustments on the Davis campus. It is very important for the Senate to work with administration to address discrepancies in compensation with the goal of bringing UC Davis faculty compensation into parity with the other UC campuses. The composition of CAPOC should represent campus disciplines as much as possible; however, most important is selection of members who are generous in spirit and whose scholarship is of the highest quality. The functions of CAPAC should also be better defined without compromising its essential function as an appellate body and faculty advocate of last resort.

Finally, our findings focus on the overall system, and should not be used to suggest that errors haven't been made or that individual faculty have not, at times, been treated unfairly. Analysis of individual cases was behind the scope and ability of this committee. Although the system works for the most part, we have to be continually vigilant and continue to work toward developing an equitable system that is transparent, efficient, and honest at all stages of review.

Respectfully submitted,

Robert Rucker, Chair

Professor Emeritus, Nutrition Department

JoAnn Cannon

Professor, Department of French and Italian

Martin Privalsky

Professor, Microbiology

APPENDICES

1 Faculty Salaries – Data from the April, 2009 Issue of Academe

Salaries Major Research Universities 2009

State	College / University	Avg. Total Compensation (\$1000s) including benefits			Benefits as % of Salary
		Professor	Associate Professor	Assistant Professor	
Alabama	Auburn University Main	132.8	94.9	80.9	27.0
	University Alabama	154.8	110.2	87.0	35.1
	University Alabama-Birmingham	148.5	106.5	90.2	38.4
	University Alabama-Huntsville	132.4	100.6	80.8	29.6
Alaska	Alaska-Fairbanks University	126.6	94.7	81.6	35.9
Arizona	Arizona State University	146.0	103.0	91.6	27.9
	University Arizona	142.9	102.3	86.5	27.0
Arkansas	Arkansas-Fayetteville University	124.8	90.9	84.5	23.5
California	California Tech	212.8	155.6	140.2	27.5
	Claremont Graduate Univeristy	164.8	137.7	111.3	23.8
	Claremont McKenna College	161.1	125.9	94.6	27.9
	Stanford University	223.3	165.3	126.7	32.7
	UC Berkeley	188.5	129.0	110.5	33.8
	UC Davis	162.4	112.8	103.6	33.8
Rank within the UC Universities		8th	(6th)	(4th)	
Rank within major research universities		41st	48th	26th	12th
	UC Irvine	173.8	114.6	102.7	32.7
	UC Los Angeles	189.8	124.0	108.4	34.5
	UC Riverside	162.7	113.6	96.3	33.4
	UC San Diego	176.3	115.7	106.0	33.8
	UC San Francisco	172.7	118.4	100.0	33.7
	UC Santa Barbara	170.3	106.9	101.3	34.5
	UC Santa Cruz	156.1	105.5	95.5	33.8
Colorado	Colorado State University	134.3	101.1	86.2	24.0
	University Colorado Boulder	149.8	112.2	96.6	13.9
Connecticut	University Connecticut	166.4	119.8	98.8	28.8
Delaware	University Delaware	165.8	116.4	99.1	31.1
Florida	Florida Sate University	128.8	93.0	88.9	26.8
	University Florida	144.3	98.2	83.0	27.9
Georgia	Emory University	193.2	130.5	111.1	28.0
	Georgia Tech	168.9	117.9	102.7	22.0
	University Georgia	132.6	98.7	89.0	25.0
Hawaii	University Hawaii-Manoa	148.4	114.8	98.1	29.2
Illinois	Northwestern University	205.1	138.6	123.6	28.7
	University Chicago	216.9	136.7	125.2	24.4
	University Illinois-Urbana	156.6	105.0	96.9	23.5

Indiana	Indiana University-Bloomington	149.5	105.3	90.9	27.6
	Purdue University-Main	149.0	108.3	96.5	32.0
Iowa	Iowa State University	141.2	106.3	93.9	28.9
	University Iowa	157.6	106.2	93.0	27.2
Kansas	Kansas State University	118.6	90.7	70.9	21.3
	University Kansas - Main	142.6	99.4	83.8	23.2
Kentucky	University Kentucky	127.7	93.9	85.1	24.5
Louisiana	Louisiana State University A&M College	136.4	100.1	85.9	24.5
Maine	University Maine-Orono	120.2	97	79.2	30.5
Maryland	University Maryland-College Park	162.5	119.2	106.2	24.6
Massachusetts	Boston University	174.6	118.7	96.7	28.3
	Harvard University	238.1	137.4	124.9	23.8
	Massachusetts Inst Tech	198.0	139.8	124.3	25.0
	Northeastern Universtiy	171.1	122.4	101.0	21.1
	Tufts University	165.7	125.4	97.5	30.0
Michigan	University Massachusetts-Amherst	142.8	110.5	83.3	22.4
	Michigan State University	157.1	116.3	93.9	33.7
Minnesota	University Michigan-Ann Arbor	171.8	116.9	103.5	23.9
	University Minnesota-Twin Cities	167.2	119.1	105.6	36.2
Mississippi	Mississippi State University	104.2	81.2	68.8	15.4
	University Mississippi	125.4	95.0	75.1	22.0
Missouri	University Missouri-Columbia	135.8	94.4	76.5	28.9
	University Missouri-Kansas City	131.2	94.6	77.2	23.9
	Washington University Saint Louis	196.0	118.5	100.4	23.9
Montana	Montana State University-Bozeman	105.1	83.8	75.0	32.5
Nebraska	University Nebraska-Lincoln	137.3	99.3	86.6	28.8
Nevada	University Nevada-Las Vegas	145.0	108.4	87.8	20.9
	University Nevada-Reno	144.7	110.5	88.8	21.0
New Hampshire	Dartmouth College	198.5	136.3	105.3	28.8
	University New Hampshire	144.0	114.5	94.0	28.9
New Jersey	Princeton University	219.1	141.8	107.5	22.4
	Rutgers State University-New Brunswick	170.1	121.7	99.4	26.3
New Mexico	University New Mexico-Main	128.7	93.0	82.5	24.7
New York	Columbia University	212.6	143.9	110.9	23.2
	Cornell University-Contract Colleges	168.0	127.8	114.5	27.7
	Cornell University-Endowed Colleges	188.9	137.8	119.2	24.6
	New York University	226.1	137.5	124.1	32.6
	SUNY-Albany	153.3	109.9	89.4	29.3
	SUNY-Brooklyn Health Science Center	163.5	127.2	105.3	27.8
	SUNY-Buffalo	161.8	114.3	92.4	28.8
SUNY-Stony Brook	161.9	119.7	92.0	28.6	

	Syrause University	146.2	110.6	92.4	32.6
North Carolina	Duke University	198.7	133.6	111.8	23.4
	North Carolina University North Carolina-Chapel Hill	140.0	106.0	89.9	24.1
	University North Carolina- Greensboro	172.6	116.8	102.4	22.7
North Dakota	North Dakota State University	134.6	99.0	82.8	25.5
	University North Dakota-Main	113.5	85.8	80.1	27.6
Ohio	Case Western Reserve Universty	105.8	88.8	74.9	27.0
	Ohio State University-Main	152.9	106.7	92.7	26.9
Oaklahoma	Oaklahoma State University-Main	155.3	106.1	95.0	24.4
	University Oklahoma	126.1	97.9	83.5	31.5
Oregon	Oregon State University	148.3	100.7	80.1	31.9
	University Oregon	127.6	102.7	94.7	42.9
Pennsylvania	Carnegie Mellon University	136.6	103.2	92.0	40.8
	Pennsylvania State University- Main	170.2	122.0	109.3	24.4
	University Pennsylvania	159.4	109.8	89.9	23.6
Rhode Island	Brown University	219.6	154.6	135.7	32.3
	University Rhode Island	183.9	117.3	98.5	26.6
South Carolina	Clemson University	136.4	105.1	89.5	35.3
	University South Carolina- Columbia	133.4	97.3	87.7	28.3
Texas	Baylor University	137.0	98.0	87.9	26.8
	Rice University	131.5	101.8	90.9	30.0
	Texas A&M University	181.6	128.1	107.5	23.9
	Texas Tech University	137.3	97.7	86.3	19.2
	University Texas-Austin	122.6	88.2	75.6	21.7
	University Texas-Dallas	156.9	104.3	99.3	20.3
	University Texas-El Paso	151.6	118.6	108.9	22.9
	University Texas-Tyler	113.3	87.7	80.3	26.2
Utah	University Utah	96.5	79.8	71.4	29.9
	Utah State University	147.4	104.3	95.8	31.4
Vermont	University Vermont	118.6	94.6	87.6	37.6
Virginia	George Mason University	132.9	102.3	86.7	30.2
	University Virginia	156.4	107.8	87.8	26.7
	Virginia Tech	164.3	116.5	95.5	25.1
Washington	University Washington-Seattle	146.3	109.0	92.2	28.1
	Washington State University	146.0	105.3	92.9	20.5
West Virginia	West Virginia University	124.6	94.4	83.8	24.8
Wisconsin	University Wisconsin-Madison	122.9	89.4	74.1	21.8
Wyoming	University Wyoming	142.1	112.9	99.5	32.0
		131.7	98.5	85.6	31.0

2 Academic Personnel Process Review Survey Results

Description: In 2000 and 2001, in response to concerns expressed by the faculty regarding the Merit and Promotion system at UC Davis, the UCD Academic Senate formed two committees (the Special Committee on Academic Personnel Processes and the Special Committee on Personnel Processes Reform) and implemented a number of changes in response to the resulting recommendations. Reports can be found in their entirety at http://academicsenate.ucdavis.edu/task_forces.cfm. The Davis Division of the Academic Senate is now in the process of assessing the impact of such changes. In particular, a summary of how UCD compares to other campuses is being prepared. Of importance, we wish your views. The information contained in the very brief survey – takes less than 5 minutes - will be important to us. Thank you, From the task force (RB Rucker, ML Privalsky, JC Cannon)

1. What is your rank?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Professor	401	0	401	====	64.16%
2.	Associate Professor	125	0	125	==	20.00%
3.	Assistant Professor	94	0	94	=	15.04%
	Total	620	0	620		100%

2. How familiar are you with the current Merit and Promotion system?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Very familiar	315	0	315	====	50.40%
2.	Somewhat familiar	229	0	229	====	36.64%
3.	Mixed	61	0	61	=	9.76%
4.	Somewhat unfamiliar	14	0	14	:	2.24%
5.	Very unfamiliar	4	0	4	:	0.64%
	Total	623	0	623		100%

3. Overall, the current Merit and Promotion process at UCD works well:

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	No opinion	16	0	16	:	2.56%
2.	Strongly agree	49	0	49	=	7.84%

3.	Agree	251	0	251	====	40.16%
4.	Neutral	136	0	136	==	21.76%
5.	Disagree	132	0	132	==	21.12%
6.	Strongly disagree	39	0	39	=	6.24%
Total		623	0	623		100%

4. Faculty are appropriately evaluated and rewarded by the current Merit and Promotion process at UCD:

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	No opinion	14	0	14	:	2.24%
2.	Strongly agree	49	0	49	=	7.84%
3.	Agree	261	0	261	====	41.76%
4.	Neutral	134	0	134	==	21.44%
5.	Disagree	131	0	131	==	20.96%
6.	Strongly disagree	33	0	33	=	5.28%
Total		622	0	622		100%

5. The criteria required to succeed under the current Merit and Promotion process are fair and clearly defined:

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	No opinion	11	0	11	:	1.76%
2.	Strongly agree	68	0	68	=	10.88%
3.	Agree	240	0	240	====	38.40%
4.	Neutral	134	0	134	==	21.44%
5.	Disagree	141	0	141	==	22.56%
6.	Strongly disagree	30	0	30	=	4.80%
Total		624	0	624		100%

6. As a candidate for Merit and Promotion, it is easy to assemble and provide the materials required for the review process:

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	No opinion	15	0	15	:	2.40%
2.	Strongly agree	45	0	45	=	7.20%
3.	Agree	216	0	216	====	34.56%
4.	Neutral	110	0	110	==	17.60%

5.	Disagree	181	0	181	====	28.96%
6.	Strongly disagree	58	0	58	=	9.28%
Total		625	0	625		100%

7. As an evaluator of others for Merit and Promotion, the information provided about the candidate and the process is appropriate and easy to use:

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	No opinion	35	0	35	=	5.60%
2.	Strongly agree	56	0	56	=	8.96%
3.	Agree	300	0	300	====	48.00%
4.	Neutral	124	0	124	==	19.84%
5.	Disagree	91	0	91	=	14.56%
6.	Strongly disagree	18	0	18	:	2.88%
Total		624	0	624		100%

8. If there is a significant problem with the current Merit and Promotion process, at what level is that problem? (please choose the one of greatest importance to you)

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	There is no significant problem	151	0	151	==	24.16%
2.	Departmental	148	0	148	==	23.68%
3.	College Personnel Committee	46	0	46	=	7.36%
4.	College Dean	33	0	33	=	5.28%
5.	Ad hoc Committee	22	0	22	=	3.52%
6.	CAP - Oversight Committee	130	0	130	==	20.80%
7.	CAP - Appeals Committee	7	0	7	:	1.12%
8.	Vice-Provost for Academic Personnel Office or above	48	0	48	=	7.68%
Total		585	0	585		100%

9. If there is a significant problem with the current Merit and Promotion process, what is the nature of that problem? (please choose the one of greatest importance to you)

Multiple Choice

		Electronic	Paper	Total	Percentage	
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1.	There is no significant problem	114	0	114	==	18.24%
2.	Marginal or poor candidates succeed too easily	50	0	50	=	8.00%
3.	Excellent or good candidates are not rewarded enough	117	0	117	==	18.72%
4.	Too complicated	106	0	106	=	16.96%
5.	Criteria applied unevenly	206	0	206	===	32.96%
6.	Appeals process flawed	9	0	9	:	1.44%
Total		602	0	602		100%

10. Were you a faculty member here at UCD ten years ago? (If no, skip to question 12)

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	355	0	355	===	56.80%
2.	No	269	0	269	==	43.04%
Total		624	0	624		100%

11. Overall, do you believe the Merit and Promotion system is worse or better now that it was eight years ago?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	No Opinion	80	0	80	=	12.80%
2.	Much better	14	0	14	:	2.24%
3.	Better	81	0	81	=	12.96%
4.	Same	201	0	201	===	32.16%
5.	Worst	37	0	37	=	5.92%
6.	Much Worst	7	0	7	:	1.12%
Total		420	0	420		100%

12. My College or Professional School is? (optional)

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Agriculture and Environmental Sciences	102	0	102	=	16.32%
2.	Biological Sciences	45	0	45	=	7.20%
3.	Engineering	53	0	53	=	8.48%
4.	Letters and Sciences	221	0	221	===	35.36%
5.	Graduate School of	9	0	9	:	1.44%

	Management					
6.	School of Education	7	0	7	:	1.12%
7.	School of Law	10	0	10	:	1.60%
8.	School of Medicine	106	0	106	=	16.96%
9.	School of Veterinary Medicine	53	0	53	=	8.48%
	Total	606	0	606		100%

3 Meeting summaries with CAPOC, CAPAC, FPCs, the Vice Provost and Faculty Survey

The Academic Personnel Process Review Task Force met with CAPOC, FPC committee chairs, CAPAC, and the Vice Provost. Elements of these discussions, summarized:

1. CAPOC. Questions were asked about workload and efficiency. None of the members of the CAPOC felt overwhelmed with the workload. The weekly caseload assigned to CAP is usually returned to the Vice Provost office within 2 weeks. The CAPOC chair meets with the Vice Provost once a week to summarize the previous week's cases. When asked specific process-related questions, however, a serious concern was raised. It was revealed that details of search plans for several hires had not been made available to CAPOC when requested. Some of the searches appeared to have only one applicant, who was ultimately recommended for appointment. Details of search committees were also not shared, even when requested. CAPOC reports that the irregular searches came in two forms; search waivers that make no attempt to satisfy APM-500 and search plans that involved search committee members who were closely connected to the candidate. In addition, supporting documentation (e.g. external letters) was provided in some cases prepared by those who were closely connected with the candidate.

2. CAPAC. The CAPAC views itself as an independent body. Most of the cases for which CAPAC acts as an appellate are contentious cases, and given the relatively modest number of CAPAC appeals requested, it does not appear as if faculty are inappropriately exploiting the availability of this additional layer of review. Although there has to be a compelling reason for overturning a case, the current CAPAC committee views itself as more of a faculty advocate than many of the past committees, a view with which this Task Force concurs. We examined CAPAC reports for the past five years. Over the last 3 years, the appeals were awarded on the grounds of merit and never on the grounds of procedure, which we viewed as appropriately distinguishing the duties of CAPAC from the duties of the Committee on Privilege and Tenure. Summaries of recent actions are:
 - In 2004-05 CAPAC reviewed 26 cases and recommended granting 1 of 26 appeals reviewed. The Vice Provost and Deans, who granted an additional 5 appeals, followed this recommendation.
 - In 2005-06 CAPAC reviewed 28 cases and recommended granting 5 of 28 appeals of which all were supported by the Vice Provost or Deans, who again granted an additional 7 appeals.
 - In 2006-07 CAPAC reviewed 23 cases and recommended granting 5 of 23 appeals reviewed of which 3 appeals were granted.

- 2007-08 CAPAC reviewed 38 cases and recommended granting 10 of 38 of which all were supported by the Vice Provost or Deans, who again granted an additional 3 appeals.
3. FPCs. The FPCs vary considerably in their approaches and perspectives related to academic personnel assessments. In part, this is due to the nature of the actions (e.g. the disproportionate number of Clinical X appointments in Medicine and Veterinary Medicine). There are also inconsistencies in the way different FPC's make judgments. Some are proactive and sense that their role is to identify and reward exceptional performance by recommending accelerations, even when not requested; others validated the judgments from departmental reviews. The FPC's also have varying views on how service should be judged. For example, it was noted that administrative appointments on occasion might work against a candidate. Further, each FPC seems to have a different view on how to measure the impact of creative activities. They emphasized the use of published impact factors for given journals or publishing houses in some cases to make judgments about the position of the candidate's name in the author list of a publication in comparison to others. When asked if the FPC's serve a purpose beyond a thorough departmental review of a candidate, a somewhat surprising response was the need to routinely correct errors in the candidate's or Departmental record. It was also asserted that there were inconsistencies in the approaches that Departments take with personnel assessments.
 4. Vice Provost (VP). The VP concurred with the rationale for the reduction in Ad Hoc usage and indicated that in the VP's view, the practice had not diminished the quality of academic assessment. When asked about re-delegation of some actions to departments, the VP indicated that she was not comfortable with re-delegation, noting the same concerns expressed by the FPCs. As apart of this discussion, VP Horwitz reviewed orientation activities for Chairs, Academic Senate personnel committees, new hires, and Deans. It was her general sense that the orientations have been effective.
 5. Faculty Survey. Data from the survey are presented in Appendix 2 and many of the comments were the basis for the recommendations articulated in the section dealing with recommendations. Over 600 faculty members responded. About 75 percent of those surveyed indicated that they were knowledgeable with our system of academic review. Principle concerns were: the effort required in assembling the dossiers, perceptions of inequities in the process, (e.g. advancement the clinical versus regular academic series or advancement as a humanist versus that of a scientist), the arbitrary use or exclusion of information, and lack of transparency.

**Davis Division of the Academic Senate
Report from the Special Review Committee:
Humanities, Arts and Cultural Studies Division (HArCS)
February 4, 2010**

Background

On June 13, 2008, the Davis Division of the Academic Senate Executive Council approved a motion to create a Special Review Committee in accordance with Davis Division bylaw 73, paragraph C, subparagraph 9. The following motion was approved:

“The Executive Council supports formation of a Special Review Committee in HArCS that will not include members with faculty appointments in departments, programs or divisions within the College Letters and Sciences. The Special Review Committee will be tasked with reviewing departmental and Dean’s Office interaction in relation to hiring, FTE assignment, inter-divisional commitment follow through, department chair appointments and relations between department chairs and the Dean as it impacts shared governance and effective delivery of the curriculum”

On February 23, 2009, the Davis Division Committee on Committees appointed a three-person Special Review Committee:

Professor Kate Scow, Land Air and Water Resources, Chair
Professor Bahram Ravani, Mechanical and Aerospace Engineering
Professor Marion Miller-Sears, Environmental Toxicology

The Special Review Committee met for the first time on March 10, 2009, with Davis Division Chair Robert Powell to discuss the charge, special review committee process and details of the issues under review.

The committee began with a review of its charge and a confidential list of issues provided by former Davis Division Chair Linda F. Bisson. The committee determined the issues can be considered in three categories:

1. Space (adequate space to carry out the teaching and research mission)
2. Consultation Process Associated with Recruitment of Academic Senate Members
3. HArCS Shared Governance Process

Methodology

The committee developed a four step methodology to gather the data that provides the basis for its evaluation. The methodology consisted of:

- 1) Soliciting written policy and/or description of practices relevant to the three categories under review from Dean Owens and from Department Chairs/Program Directors.
- 2) Conducting individual interviews with Dean Owens, with relevant Department Chairs/Program Directors, and with any other faculty who requested a meeting.

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- 3) Creating and conducting a confidential electronic survey of Academic Senate members within the HArCS Division using the Academic Senate Information System (ASIS). The survey was anonymous and the system does not allow a person to submit multiple responses. The e-mail message announcing the survey and copy of the survey questions are included in Appendix A. Respondents were given a two-week period to complete the survey.
- 4) Incorporating unsolicited written (email or hard copy) and signed comments from any academic senate faculty members.

Results

1. Summary and limitations of types of data collected

- a) Written comments. The Committee received 12 unsolicited written comments and 3 letters from members of the HArCS Division.
- b) Interviews: The Committee conducted 13 interviews with HArCS Division faculty and an interview with Dean Owens.
- c) Survey: A total of 78 HArCS Division faculty responded to the electronic survey. The response rate translates to 37% (78/214) of the faculty. The survey results, including a summary of responses, are included.

During the response period, requests from survey-takers wishing to identify themselves were accommodated by having them provide their names in the comments section of the survey. Also, during the process, the committee learned that members of the HArCS Division with split appointments were initially missed in the solicitation for the survey. The committee corrected the situation by notifying faculty with split appointments how they could participate in the survey.

Recommendations of the committee rely entirely on the input of those faculty members who chose to participate in this discussion via the survey, written comments or interviews. Although all faculty were invited to participate and had the opportunity to be involved, it is possible, however, that some opinions were not represented in this document.

2. Results and discussion associated with the 3 charges to the Committee based on faculty input from those who provided written comments, interviews and survey results.

a. Space

The Dean faces significant challenges in the area of space allocation given the limited new space available to HArCS and, in some cases, the poor quality of available space.

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These are problems that are commonly faced in other Colleges and programs on campus. Most of those faculty and Departments within HArCS who provided input did not feel that space allocation was a major issue in HArCS. Space allocation policy was, however, viewed as major issue in a few of the Departments/Programs (one example was Art Studio space). The Dean apparently re-delegates decisions about space allocation to the HArCS Assistant Dean based on some written guidelines.

The Dean has made decisions concerning consolidation of faculty or programs into smaller spaces and reallocation of space that was originally assigned (or thought to be assigned) to certain faculty. Problems arose because these decisions were perceived as having been made without sufficient consultation with all affected parties and created the perception of disregard for some faculty needs and previous commitments. Lack of proper communication to the Department and affected faculty about changes to previous plans (e.g., making clear what constraints or new directions are responsible for such changes) and about Divisional guidelines for space allocation have led to confusion or resentment of impacted faculty. The Committee learned that the HArCS Division is apparently developing a master plan for space and this will provide an opportunity for faculty participation and potential buy-in; however, those faculty who provided input to this investigation did not seem to be aware of space master plan development.

b. Recruitment of Academic Senate Members

The Dean's goal to promote excellence in her Division through active recruitment and hiring of outstanding faculty was widely recognized. The Dean is proactive and engaged in hiring. However some problems arose from conflicts between the Dean's vision for the Division in specific hires and the needs of faculty to fulfill their departmental goals and pick their future colleagues. For example, some interviewees stated the Dean did not accept the recommendation of the department in terms of their top choice as determined by the vote of the department and suggested consideration of other top candidates. Such actions were not apparently followed up with enough consultation and feedback to the impacted department leading to a perception, for some faculty, that the Dean does not value faculty input in these matters. Some faculty felt that their input was not seriously nor properly considered and that the rationale for the Dean's decisions was not always communicated back to the faculty. The Committee recognizes that sometimes not accepting a department recommendation on hiring by itself is not inconsistent with actions of Deans in other campus units. Having an open line of communication with the faculty, however, despite possibly delaying decisions in the short-term, will benefit the Dean and Division in achieving goals that are shaped and shared by all parties.

With regard to hiring for positions associated with campus initiatives, there were concerns that faculty positions that had been created for specific initiatives (probably before Dean Owens' appointment) were redirected or eliminated without sufficient communication with and buy-in from the committees originally defining the positions and from impacted faculty. Faculty were concerned with the Dean's reversal of

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commitments and redirecting promised positions for other purposes without taking the time to convince the faculty who were originally promised these positions. There was also the perception by some faculty that positions were taken away in retaliation when departments or programs did not agree with the Dean on certain issues.

The Committee recognizes the diversity of opinions, positive and negative, represented by interviewed and surveyed faculty regarding decisions and actions by Dean Owens in the matter of recruitment. Several faculty members were encouraged by the new directions the Division is taking under the leadership of the Dean. The Committee is concerned, however, that the process used in some of the recent recruitments has contributed to creating an environment of mistrust and unhappiness for more than a few faculty within the Division. Many of the issues associated with recruitment are also related to shared governance that is addressed in next section.

c. Shared Governance

Dean Owens is responsible for a large and highly multi-disciplinary Division with a wide variety of academic cultures and a very diverse faculty. In order to provide for increased shared governance, Dean Owens had created an organizational structure that, if implemented correctly, can greatly facilitate faculty input and participation in their Division. This structure includes:

- a. Assemblies consisting of department chairs and program directors (3 to 4 assemblies were created)
- b. Dean's Advisory Group consisting of 3 people appointed by the Dean and one person picked by each assembly
- c. Chairs Committee consisting of all the chairs and program directors
- d. There was also a retreat attended by approximately 100 faculty nominated by departments at the beginning of Professor Owen's appointment as the Dean of the Division.

In the opinion of the committee, the above structure has the potential to provide an excellent architecture to enhance shared governance in HArCS. Based on the input provided by many of the HArCS faculty, however, it appears that not all the structures described above are properly functioning and some have failed to support and encourage faculty participation and shared governance.

In the case of the Assemblies, for example, it was pointed out that the Dean met regularly with one of the Assemblies but did not meet with, nor seem to be concerned about the activities of, other Assemblies. Some of the Assemblies did not meet regularly or at all and were perceived by faculty as not providing a forum for consolidating faculty opinion or communicating with the Dean. In fact the Dean mentioned that she was not concerned that certain of the Assemblies were not active. This inconsistency among the different Assemblies undermines the Dean's Advisory Group because the Group is comprised of a

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representative of each Assembly. The Dean's also reorganized the original composition of the Assemblies, apparently with little faculty input, and this action was viewed as top-down, confusing and potentially working against the goal of faculty representation.

In terms of the appointment of chairs, program directors, and members of the advisory group, there was a perception held by some faculty that representation was not broad and members were sometimes selected from an inner circle. Furthermore there was some perception of retaliation when such members had differences of opinions with the Dean on some issues making it hard for some to make suggestions and feel that they are part of the decision making process.

In fact some faculty viewed their interactions with the Dean as intimidating which led, in some cases, to their feeling uncomfortable in expressing their opinions. More than a few faculty indicated that the Dean is dismissive of opinions and suggestions that do not agree with her views and this has contributed to an environment that is not hospitable to faculty participation and input. There was also a perception among some faculty members that differences of opinion with the Dean had resulted in her retaliation on the merit letters coming from the Dean's office. The committee did not have access to the merit letters and could not evaluate this. The committee does note, however, that such perceptions, even if misinterpreted or a result of poor communication, are not healthy for a Division. The end result is that many of the faculty providing input perceived that the existing structure for shared governance is not functioning properly.

On the positive end, the new directions the Division is moving in were viewed by some faculty as positive, or potentially positive, but the process to get there seem to be lacking and not properly functioning. It seems that the Dean's visionary approach and her desire to quickly achieve a final end product sometimes can get ahead of providing the hospitable environment needed to promote faculty input and feedback. The committee feels that much more care is needed in developing the process that could make this structure function and help achieve the Dean's vision for the Division.

CONCLUSIONS/RECOMMENDATIONS:

The Dean appears to have a strong and innovative vision for the HArCS Division and some faculty clearly view this as a positive change. Many of the issues raised above stem, however, from the fact that a substantial number of faculty feel left out of the process. First, the steps required to fulfill this vision, from inception to implementation, are perceived by many to not incorporate sufficient faculty involvement and feedback and have led to the perception that the vision is more the Dean's than the Division's. Consistently, a lack of communication on the part of the Dean is a recurring theme associated with many of the identified problems. Furthermore, there is a perception that different opinions are not welcome and pursuing them may lead to retaliation by the Dean. This creates an environment that is not hospitable to faculty input and participation. There is a general perception among some faculty that the Dean makes

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decisions unilaterally or that input is welcomed from only a few faculty members who have not necessarily been selected by the greater faculty as their representatives.

The committee recognizes that leading an institution requires a delicate balancing of different stakeholders' needs and goals. The Dean has the mandate to act, and should not get bogged down or too delayed by irreconcilable disagreements among stakeholders with different points of view. On the other hand, the Dean represents the faculty at a university with a strong tradition of shared governance and her vision would clearly benefit, and have a greater chance of success, with faculty input. Part of the Dean's mandate is to engage with and be a champion of the faculty in her Division. An academic environment that is not hospitable to faculty input can easily lead to a degradation of the Division regardless of how brilliant or strong is the vision of its leader. The Committee clearly recognizes that any problems within the Division are now further exacerbated by looming major budget cuts and difficult decisions confronting the Dean; this makes it all the more pressing to open communication channels and involve shared governance in making decisions.

Specific recommendations are:

- The Committee strongly encourages the Dean to **support and promote shared governance** within her Division. In recognition of Academic Senate Bylaw 55: "No department shall be organized in a way that would deny to any of its non-emeritae/i faculty who are voting members of the Academic Senate, as specified in Standing Order 105.l(a), the right to vote on substantial departmental questions..." the Committee suggests the Dean actively seek feedback and facilitate communication even when grappling with differing viewpoints. The Committee recommends that decisions by the Dean regarding faculty recruitment that differ from departmental recommendations should be presented to and discussed with impacted departments before implementation.
- The Committee recommends that the Dean expand existing Divisional structures to promote faculty representation, and to streamline communication between faculty and the Dean's office, by **establishing clear and universal guidelines that lay out responsibilities and expectations of the HArCS Faculty Assemblies**. This recommendation applies also to the Dean's other advisory committees. Given the unique structure of the Division within the College of Letters and Sciences (L&S), the committee recommends review of the HArCS Faculty Assemblies' structure, charge and membership strategy with the L&S Faculty Executive Committee during development and prior to implementation. The L&S Faculty Executive Committee is poised to provide the Dean with feedback that will assure the structure promotes HArCS Division shared governance in manner that is in concert with the college as a whole. Following review, the structure and process should be clearly defined and communicated to the faculty.

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- The **development and publication of a master plan for space allocation and reassignment** is strongly recommended to reduce unwarranted expectations, reconcile Departmental and Divisional needs, and to increase faculty involvement in a larger vision regarding space planning. The Committee recommends that space guidelines laid out by CEPEC, and guidelines adopted by other colleges, be considered in developing this plan. The committee also recommends examination of proper placement of authority for managing space assignments within the Division. According to APM 245: Department Chairs, Appendix A, Section 8 the Department Chair is responsible "...for assigning departmental space and facilities to authorized activities in accordance with University policy and campus rules and regulations."

Gina Anderson

From: Gina Anderson
Sent: Friday, May 22, 2009 2:46 PM
To: Gina Anderson
Subject: HArCS Academic Senate Member Survey

Dear Colleague,

In spring 2008, the Davis Division of the Academic Senate, Executive Council, passed a resolution appointing a special review committee (committee) to address faculty concerns in the Division of Humanities, Arts and Cultural Studies (HArCS). The committee was appointed in March 2009; and asked to review issues associated with specific interactions between the HArCS Dean and Academic Senate faculty regarding space assignment/allocation, faculty recruitment and shared governance.

The specific issues came from a subset of HArCS departments/programs. The committee is interested, however, in learning about other Dean-Department interactions pertinent to these issues and relevant policies and/or procedures from all programs or departments.

To date the committee has asked for information and policy/procedure associated with these issues from the Dean and all Department Chairs/Program Directors. The committee intends to compile all of the responses and will be conducting in-person interviews as appropriate.

The committee is also interested in HArCS Academic Senate faculty perspectives on these issues. Due to the large number of the faculty in HArCS, this information will be initially collected through an anonymous survey via the Academic Senate Information System (ASIS). The ASIS survey tool was deliberately programmed to prevent Senate staff and others from matching a response with the identity of the responder. However, bear in mind, if you decide to participate in the survey, carefully word "free text" responses to ensure your anonymity is maintained. Detailed instructions concerning how to access ASIS and use the survey tool use may be found at:

<http://academicsenate.ucdavis.edu/documents/ASIS-Survey-Procedures-HArCS.pdf>

We ask that you complete the short survey via the Academic Senate Information System (ASIS) by Monday, June 1, 2009. Additional interviews, if deemed necessary, will be conducted after completion of the survey.

Sincerely,
Members of the Special Review Committee: HArCS
Kate Scow, Chair, Bahram Ravani, Marion Miller-Sears

HArCS Academic Senate Member Survey

Survey of Academic Senate members in HArCS related to the work of the Special Review Committee: HArCS

1 - Since 2006, have you been satisfied with HArCS Division: Space assignment/allocation?

- Yes
- No
- Abstain

2 - Since 2006, have you been satisfied with HArCS Division: Faculty hiring recommendations?

- Yes
- No
- Abstain

3 - Since 2006, have you been satisfied with department and program consultation in the decision-making process at the HArCS Division level?

- Yes
- No
- Abstain

4 - Since 2006, do you find that existing HArCS divisional policy and procedures are satisfactory?

- Yes
- No
- Abstain

5 - Since 2006, have you been consulted concerning space assignment(s) that impact you or your program/department?

IF YES, please answer questions 7 and 8. IF NO, please skip to question 9.

- Yes
- No
- Abstain

6 - If you answered yes to question 6, please briefly describe the consultation process.

7 - If you answered yes to question 6, please indicate who consulted with you.

Select as many as apply to your experience.

- Department Chair/Program Director
- Colleague

- Department/Program MSO
- Discussion during a department/program faculty meeting
- Other

8 - Are you aware of a policy and/or procedure governing the assignment/allocation of space within your program/department?

- Yes
- No
- Abstain

9 - Has your department/program recruited an Academic Senate faculty member since 2006?

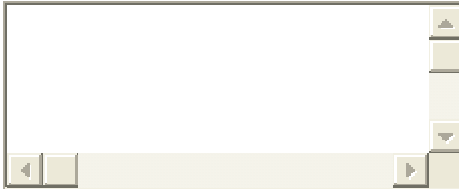
IF YES, please move on to questions 10-12. IF NO, please skip to question 14.

- Yes
- No
- Abstain

10 - If you answered yes to question 9, was a final vote regarding selection of the top candidate conducted in a department/program meeting?

- Yes
- No
- Abstain

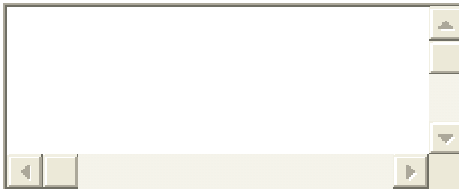
11 - If you answered yes to question 9, how was the vote conducted?



12 - If you answered yes to question 9, how were the vote results communicated to the HARCS Dean?

- Letter from the department/program signed by the Chair/Director.
- Verbally by the Chair/Director to the Dean.
- Don't know.

13 - If you answered question 12, what was the HARCS Dean's response?



14 - Any additional information you wish to add concerning recruitment?

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15 - Have you been satisfied with faculty involvement in the recruitment decision making process?
IF YES, please skip to question 17. IF NO, please answer question 16.

- Yes
- No
- Abstain

16 - If you answered no to question 16, what was the concern, please explain.

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17 - Please briefly describe your impression of how faculty are involved in shared governance in your department/program/division especially with regard to decision making related to space assignments and recruitments?

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18 - In your opinion, in what ways can the process of faculty participation in shared governance be improved in your department/program/division?

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19 - Do you have any other comments you would like to include on the issues under review by the Special Review Committee?

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HArCS Academic Senate Member Survey Results

(Ballots closed on 01-Jun-09 at 05:00 PM)

Description: Survey of Academic Senate members in HArCS related to the work of the Special Review Committee: HArCS




1. Since 2006, have you been satisfied with HArCS Division: Space assignment/allocation?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	37	0	37		42.53%
2.	No	35	0	35		40.23%
3.	Abstain	15	0	15		17.24%
	Total	87	0	87		100%




2. Since 2006, have you been satisfied with HArCS Division: Faculty hiring recommendations?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	35	0	35		44.87%
2.	No	33	0	33		42.31%
3.	Abstain	10	0	10		12.82%
	Total	78	0	78		100%

3. Since 2006, have you been satisfied with department and program consultation in the decision-making process at the HArCS Division level?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	28	0	28		35.90%
2.	No	44	0	44		56.41%
3.	Abstain	6	0	6		7.69%
	Total	78	0	78		100%

4. Since 2006, do you find that existing HArCS divisional policy and procedures are satisfactory?

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	29	0	29	====	37.18%
2.	No	35	0	35	====	44.87%
3.	Abstain	14	0	14	==	17.95%
Total		78	0	78		100%

5. Since 2006, have you been consulted concerning space assignment(s) that impact you or your program/department?

IF YES, please answer questions 7 and 8. IF NO, please skip to question 9.

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	32	0	32	====	41.03%
2.	No	40	0	40	====	51.28%
3.	Abstain	6	0	6	=	7.69%
Total		78	0	78		100%

6. If you answered yes to question 5 (yes, consultation concerning space), please briefly describe the consultation process.

The following is a summary of responses:

Majority Response: The majority of responses reflect consultation occurred. Responses indicate the Dean herself did not necessarily consult with individual faculty. Most responders expressed satisfaction with having some sort of consultation.

Minority Response: The minority response is small and reflects Dean disregard for consultation with faculty and planning (in some cases) prior to the current Dean's arrival.

7. If you answered yes to question 5, please indicate who consulted with you.

Select as many as apply to your experience.

Multiple Choice

		Electronic	Paper	Total	Percentage
1.	Department Chair/Program Director	1	0	1	: 1.28%
2.	Colleague	1	0	1	: 1.28%
3.	Department/Program MSO	2	0	2	: 2.56%
4.	Discussion during a department/program faculty meeting	6	0	6	= 7.69%
5.	Other	7	0	7	= 8.97%
Total		17	0	17	= 100%

8. Are you aware of a policy and/or procedure governing the assignment/allocation of space within your program/department?

Multiple Choice

		Electronic	Paper	Total	Percentage
1.	Yes	19	0	19	= 24.36%
2.	No	47	0	47	= 60.26%
3.	Abstain	6	0	6	= 7.69%
Total		72	0	72	= 100%

9. Has your department/program recruited an Academic Senate faculty member since 2006?

IF YES, please move on to questions 10-12. IF NO, please skip to question 14.

Multiple Choice

		Electronic	Paper	Total	Percentage
1.	Yes	69	0	69	= 88.46%
2.	No	7	0	7	= 8.97%
3.	Abstain	1	0	1	: 1.28%
Total		77	0	77	= 100%

10. If you answered yes to question 9, was a final vote regarding selection of the top candidate conducted in a department/program meeting?

Multiple Choice						
		Electronic	Paper	Total	Percentage	
1.	Yes	68	0	68	<u> </u>	87.18%
2.	No	1	0	1	:	1.28%
3.	Abstain	2	0	2	:	2.56%
Total		71	0	71		100%

11. If you answered yes to question 9 (yes, recruited Academic Senate faculty), how was the vote conducted?

The following is a summary of responses:

Majority Response: The majority of responses outline the voting process occurred by secret ballot.

Minority Response: The minority responses describe voice and show of hands voting during departmental faculty meeting and in one instance a vote by e-mail that is described as a mistake.

12. If you answered yes to question 9, how were the vote results communicated to the HArCS Dean?

Multiple Choice						
		Electronic	Paper	Total	Percentage	
1.	Letter from the department/program signed by the Chair/Director.	19	0	19	<u> </u>	24.36%
2.	Verbally by the Chair/Director to the Dean.	21	0	21	<u> </u>	26.92%
3.	Don't know.	30	0	30	<u> </u>	38.46%
Total		70	0	70		100%

13. If you answered question 12 (re: department recommendation-recruitment), what was the HArCS Dean's response?

The following is a summary of responses:

Majority Response: The majority of responses indicate the dean was supportive and worked to hire the candidate recommended. Responders described an example of a flawed department search (contained improprieties) and that the Dean's decision to intervene was the correct response.

Minority Response: The minority responses express significant concern. The dean's response was described as punitive in that when she disagreed with the department the search was canceled or candidates were selected in reverse rank order. The Dean's response was also described as disregarding the recommendations of the departmental faculty.

Note: Some responses indicated the responder did not know or the question was not applicable.

14. Any additional information you wish to add concerning recruitment?

The following is a summary of responses:

The negative and positive responses to this question were evenly divided thus there is no majority response.

Positive Response: Reflects general satisfaction with the Dean's management of recruitment issues. The responses discuss contentious faculty meetings and split votes managed effectively by the dean.

Negative Response: Describes the dean's actions as punitive and lacking transparency. There is general concern that requesting ranked lists from departments gives the Dean an ability to "micro-manage" the recruitment decision. Further there is one example in which the program director had a conversation with the Dean prior to the vote. The program director's sharing of the dean's preference for a candidate had the effect of shutting down any

meaningful deliberation.

Note: Some responses indicated the responder did not wish to add information.

15. Have you been satisfied with faculty involvement in the recruitment decision making process?

IF YES, please skip to question 17. IF NO, please answer question 16.

Multiple Choice

		Electronic	Paper	Total	Percentage	
1.	Yes	42	0	42	=====	53.85%
2.	No	26	0	26	=====	33.33%
3.	Abstain	8	0	8	=====	10.26%
Total		76	0	76		100%

16. If you answered no to question 15 (not satisfied with faculty involvement in recruitment), what was the concern, please explain.

The following is a summary of responses:

Majority Response: The majority response indicates the Dean routinely disregards the majority opinion of Senate members.

Minority Response: The minority response indicates satisfaction with the level of faculty involvement in recruitment but that some faculty could be more involved and respectful.

Note: Some responses indicated the question was not applicable or pointed out an error in question numbering.

17. Please briefly describe your impression of how faculty are involved in shared governance in your department/program/division especially with regard to decision making related to space assignments and recruitments?

The following is a summary of responses:

Majority Response: The majority of responses reflect satisfaction with the level of faculty involvement particularly related to the recruitment process.

Minority Response: The minority responses reflect a perception that the Dean consults with hand-selected groups (Dean's Advisory Council) or select members of a department (not necessarily the chair/director) disregarding the perspectives of the department as a whole. Once again the Dean is accused of interfering or making decisions contrary to department recommendations when those recommendations are not in agreement with the Dean's perspective. Again a lack of transparency is described.

18. In your opinion, in what ways can the process of faculty participation in shared governance be improved in your department/program/division?

The following is a summary of responses: Responses reflect general support for the Dean's actions. She is described as consultative and her actions are seen as a stabilizing force. Some of the responses describe department chairs or program directors that are not communicative. In addition there are multiple responses describing a need for the Dean and Division level activity to be more transparent.

19. Do you have any other comments you would like to include on the issues under review by the Special Review Committee?

The following is a summary of responses: Again, responses reflect support for the Deans actions. She is described as consultative and her actions are seen as a stabilizing force. Some seek more respectful dialog with the Dean. There is a sense that her mind is made up and the process of consultation is merely a formality. Several responses indicate that the Special Review Committee's task was initiated by a few faculty and not representative of the whole of HArCS.

January 25, 2010

BARBARA HORWITZ

Vice Provost – Academic Personnel

Re: Resolution on Hiring Practices and Faculty Searches

Dear Barbara:

The Assembly of the Academic Senate passed the CAPOC initiated Resolution on Hiring Practices and Faculty Searches at the October 15 meeting. The resolution was amended from its original version that was introduced by CAPOC at the June 5 Representative Assembly meeting. The CAPOC at the time raised concerns that there were “egregious” hiring cases that had lacking information, conflicts of interest, and were suspect.

In an effort to promote a more transparent hiring process, the committee proposed the Resolution on Hiring Practices and Faculty Searches. The resolution proposes that faculty searches are done openly and all relevant information be provided to CAPOC for review in a timely manner. The purpose of the resolution is not intended to change anything in the APM. Rather, it is meant to reaffirm the need for CAPOC to know when faculty searches are conducted and when they are not. As you are well-aware, particularly in these times of severe budget crisis, a faculty FTE is an incredibly precious resource. The amended and passed resolution is attached for your information.

Sincerely,



Robert L. Powell III, Chair
Davis Division of the Academic Senate and
Professor and Chair, Department of
Chemical Engineering and Materials Science
Professor, Food Science and Technology

Attachment

cc: Chancellor Katehi
Provost and Executive Vice Chancellor Lavernia
Executive Director Anderson
CAPOC Chair Palazoglu