NOTICE OF MEETING LOCATION

REPRESENTATIVE ASSEMBLY
OF THE DAVIS DIVISION OF THE ACADEMIC SENATE

To: Representative Assembly Members of the Davis Division of the Academic Senate

From: Davis Division of the Academic Senate Office

Re: Notice of Meeting Location

The **June 8, 2012** Representative Assembly meeting will be held at the **Memorial Union, MU II.**

Directions to the room can be found at the following website: http://campusmap.ucdavis.edu/?b=104.

MU II is located on the second floor.

The meeting is scheduled to begin at **2:10pm.**

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

Friday, June 8, 2012
2:10 – 4:00 p.m.
Memorial Union, MU II

Ines Hernandez-Avila, Secretary
Representative Assembly of the
Davis Division of the Academic Senate

*Consent Calendar. Items will be removed from the Consent Calendar on the request of any member of the Representative Assembly.

All voting members of the Academic Senate (and others on the ruling of the Chair) shall have the privilege of attendance and the privilege of the floor at meetings of the Representative Assembly, but only members of the Representative Assembly may make or second motions or vote.

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

Tuesday, April 17, 2012
2:10 – 4:00 p.m.
Memorial Union, MU II

*Consent Calendar. Items will be removed from the Consent Calendar on the request of any member of the Representative Assembly.

All voting members of the Academic Senate (and others on the ruling of the Chair) shall have the privilege of attendance and the privilege of the floor at meetings of the Representative Assembly, but only members of the Representative Assembly may make or second motions or vote.

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

Tuesday, April 17, 2012
2:10 – 4:00 p.m.
Memorial Union, MU II

Page No.

MOTION to accept the proposed amendment to add the following wording to the last sentence "and in the selection of course instructors" was made and seconded.
Vote: 50-0

MOTION to approve the regulation was made and seconded.
Vote: 50-0

35

ii. DDB 56: Committee on Courses of Instruction

MOTION to approve the amendment to DDB 56 was made and seconded.
Vote: 51-0

36

iii. DDB 147: Faculty of the School of Veterinary Medicine

MOTION to approve the amendment to DDB 147 was made and seconded.
Vote: 50-0

38

9. Petitions of Students - None

10. Unfinished Business - None

11. University and Faculty Welfare

12. New Business
    a. Reynoso Report

MOTION to thank Justice Reynoso and the Reynoso Task Force for their report on the November 18 incident was made and seconded.
Vote: 43-0

13. Information Item
    a. 2012 Distinguished Teaching Award Recipients (confirmed by the Representative Assembly by electronic ballot on 4.6.12) 40

Ines Hernandez-Avila, Secretary
Davis Division of the Academic Senate

*Consent Calendar. Items will be removed from the Consent Calendar on the request of any member of the Representative Assembly.

All voting members of the Academic Senate (and others on the ruling of the Chair) shall have the privilege of attendance and the privilege of the floor at meetings of the Representative Assembly, but only members of the Representative Assembly may make or second motions or vote.

State of the Campus
Tuesday, April 17, 2012
2:00 p.m. – 4:00 p.m.
Memorial Union II

[COVER SLIDE – STATE OF THE CAMPUS]

- Hello everyone. It is a pleasure to be here today for my third State of the Campus Speech and to report on the status of this great university.

- Despite the many challenges we face, the state of our campus is strong.

- Like so many great institutions -- around our state, our nation and the world -- we are dealing with shifting economic and political realities, which is never easy.

- But because of the hard work and vision of so many who have come before us, and because of the commitment and devotion of our outstanding faculty and staff, UC Davis remains **a dynamic and outstanding center of higher learning.**

- Together, we have earned a solid reputation as a world-class public research university with a bright future and a clear, well-defined path to even greater heights and accomplishments.

- In the middle of change and tough challenges, it is good to reflect on who we are and remember that we have overcome difficulties in the past and will again in the future

[SLIDE 2 – MOVING FORWARD]

- Now, before I continue, let me say a few words about the Reynoso report that was finally released last week.

- I am relieved the report is out and everyone can see what happened November 18 and the steps we can take to avoid something like this from occurring ever again.

- **The report illuminated clearly and critiqued sharply the missteps within the administration and police which led us to a very unfortunate and regrettable event.**

- As I said in November and I repeat now, **I take full responsibility for the incident and I consider myself accountable for all the actions that need to be taken to make sure our campus is a safe and welcoming place.**

- As the report indicated, we need major reform on a number of fronts, including robust policies and processes, as well as better coordination and communication within the UC Davis senior administration.

- Also, we need reforms in our campus police operations and **a holistic top-to-bottom review of the department**.

- We will address each of the missteps and any other deficiencies that need attention. But let me say a few things about what is already underway and provide a sense of what lies ahead.

- As the Reynoso report notes, the task force was not asked to conduct official disciplinary reviews of individual officers' actions. **There has been a parallel but independent internal affairs inquiry and that is nearing completion.**

- **We also eagerly await conclusion of the Academic Senate's inquiry and the system wide review of police protocols and policies on protests that President Yudof asked UC General Counsel Charles Robinson and UC Berkeley Law Dean Christopher Edley Jr. to head up.**

- In the meantime, Matt Carmichael, our acting police chief, in consultation with campus leadership, has identified independent experts to review and update departmental policies and audit training records.

- He is also bringing an internationally recognized expert to campus to lead a forum on police accountability.

- I envision this as a possible first step toward establishing a campus police review commission, which if adopted here would be just the second in the UC system.

- A special committee representing all campus stakeholders, including the Academic Senate, will examine the results of the independent police review and its implications for other possible reforms.

- Our efforts will be transparent and collaborative and I will continue to keep everyone updated. I also welcome your thoughts and ideas as we move forward.
- But please make no mistake about this: We will fix what needs to be fixed and we will be a much better university as a result.

- I want to also mention that November 18 and its aftermath reminded us again of the important role communications plays -- internally and externally -- in a modern university like ours.

- The need to communicate clearly and consistently, in good times or bad, is crucial as we work with all our stakeholders and the broader community to keep UC Davis moving in the right direction.

- **In January, we brought in an experienced communications chief, Barry Shiller, who had**

previously served at UC Santa Cruz, on an interim basis.

- Barry has helped stabilize and sharpen our messaging and has agreed to serve as executive director of strategic communications pending a national search – which will include Barry -- for a permanent director.

- Since my last state of the campus speech a little more than a year ago, we've had many more distinguished accomplishments at our university.

- Accomplishments that have brought additional prestige to UC Davis and made significant contributions to our state, nation and world.

[SLIDE 3 – DEFINING THE FUTURE OF HEALTH]

- Last month for instance, the UC Davis Cancer Center was designated a Comprehensive Cancer Center, the **world's most prestigious honor in oncology, by the National Cancer Institute.**

- It is one of **just 41 comprehensive cancer centers in the nation, the only one serving six million people in the Central Valley and inland Northern California.**

- Our faculty continues to generate worldwide honors and recognition for their work, both in the classroom and in their research.

[SLIDE 4 – MAKING AN IMPACT]

- To cite just one of many examples, three humanities faculty recently won fellowships from the American Council of Learned Societies, an impressive trio of awards for ongoing book projects on medieval French farces, Mark Twain and human rights in the Middle East.

- The three are Noah Guynn [**GWIN**], associate professor in the department of French and Italian; Hsuan Hsu [**SHAUN SHOE**], professor in the department of English; and Keith David Watenpaugh [**WAHTEN**-paw], associate professor in religious studies.

- We continue to be a sought-after destination for the best students. For fall quarter, we received a record **62,542 freshman and transfer applications, a 5.3 percent jump over last year.**

- Freshman applications alone were up **7.8 percent, and freshman applications from international students were up 99 percent.**

[SLIDE 5 – ADVANCING EXCELLENCE]

- Our Campaign for UC Davis continues to make significant progress, with **commitments now totaling almost 790 million dollars from more than 89,000 donors.**

- We also received a number of notable gifts in the past year that will enable us to offer more to our students and make even greater contributions to our region, state and nation.

- We started "The Child Family Institute for Innovation and Entrepreneurship" thanks to **a 5 million dollar gift from alumni Mike and Renee Child.**

- In one of the largest gifts for the arts in our history, Napa winemaker **Jan Shrem and Maria Manetti Shrem donated 10 million dollars for a new art museum near the Mondavi Center at the university's south entrance.**

- And in November, we held a ceremonial groundbreaking for the 8,000 square-foot Jess S. Jackson Sustainable Winery Building, made possible by a **3 million dollar gift from the late winemaker Jess Jackson and his wife Barbara Banke.**

- I am pleased to also note that our popular new **Student Community Center** opened in the heart of the campus in January.

- It is a warm, vibrant home for a variety of student life programs and academic resources, a comfortable and welcoming place for students to study, collaborate and enjoy someplace that truly epitomizes our Principles of Community by celebrating and honoring diversity.

[SLIDE 6 – RESEARCH POWERHOUSE]

- On the research front, our Office of Research has taken a number of important steps to better protect intellectual property and enhance the transfer of UC Davis research to the marketplace through commercial ventures and products.

- Under our new Vice Chancellor for Research, Harris Lewin, the **Office of Research has been restructured to**

bring corporate relations, intellectual property protection and technology licensing under the same roof.

- **We have brought on a new associate vice chancellor for Technology Management and Corporate Relations, and his team will fill six new positions in fiscal year 2012-13 to begin a New Venture Catalyst program.**

- **They will work closely with faculty innovators and others on campus to help spin out new ventures stemming from UC Davis faculty research.**

- Vice Chancellor Harris Lewin also unveiled several major new initiatives that will be transformative in our potential for large-scale interdisciplinary research.

- We announced the Interdisciplinary Frontiers Program, which includes a sub-program in the sciences and engineering, known as RISE, and another for arts and humanities.

- These will provide faculty seed money of grants ranging **from 100,000 dollars to one million dollars over three years**, to help establish projects that can compete for major funding from government, private industry, philanthropic foundations and other sources.

- **Within two months of the launch, the Office of Research received 115 RISE proposals** from faculty on our campus, an impressive statement of the energy and innovation that exists at UC Davis.

[SLIDE 7 DRIVING INNOVATION]

- In February, we announced a new agreement between UC Davis and BGI of China, the largest and most prestigious genomics institute in the world, which will put **UC Davis at the forefront of the revolution in the genomic sciences, with impact throughout our health and life sciences disciplines.**

- The agreement will **create an estimated 200 new jobs** in the Sacramento region, complementing our goals to more aggressively promote regional and statewide economic development.

[SLIDE 8 – RESEARCH POWERHOUSE]

- UC Davis also distinguished itself as one of the few UC campuses increase its federal research awards for the second quarter of fiscal year 2011-12, **growing an impressive 10.5 percent while most of the campuses experienced declines.**

- If you look at the graphic on research funding, you'll see how well we are doing compared to everyone else.

- Overall, we are in the top ten for public research universities in the nation, with **$684 million in research grants for fiscal year 2010-11.**

- We also saw great numbers in December with the release of our comprehensive economic impact report for UC Davis.

[SLIDE 9 – BUILDING THE ECONOMY]

- Conducted by the Sacramento-based Center for Strategic Economic Research, the report said UC Davis generates nearly **7 billion dollars a year in economic activity and accounts for 69,000 jobs.**

- For every dollar of goods and services **the university produced, another $1.10 to $1.40 in secondary economic activity was generated in the region**.

- We plan to do more on economic development and jobs creation for our graduates and others in the region with our stepped-up technology transfer efforts.

- We are moving forward with our first U-Hub at West Village, a collection of energy-related institutes to enhance interaction with the private sector and speed transfer of UC Davis innovations to the marketplace.

- **And speaking of West Village, this net-zero energy community opened this year and benefitted from guidance from our faculty, specifically the Energy Efficiency Center.**

- **Now, let me switch gears and provide a brief update on two big campus initiatives: the search for a new athletic director and progress on our 2020 proposal.**

[SLIDE 10 – INTERCOLLEGIATE ATHLETICS]

- First, let me say how much I appreciate the commitment and hard work on athletics by the Academic Senate's special committee on the topic.

- This is a complex issue and the committee has done a wonderful job explaining some of that complexity and identifying how the many moving parts must fit together to achieve excellence in our program.

- I appreciated being able to read the draft report posted on the website and look forward to reviewing the final version once it has been formally approved by the Senate.

- Here are a few initial reactions to what I have seen.

- First, I am confident there are parts of the Senate's report we can implement.

- There are other parts I will want to wait and work on with our new athletic director, once he or she has been hired.

- And there will be parts of the report that need more deliberation. I look forward to working with the Academic Senate on those once the report is final and I have had a chance to thoroughly review it.

- On the Athletic Director search itself, we have begun reviewing applications and hope to have finalists on campus in mid to late-May.

- We will also have an open forum for interested faculty, staff and students to attend, most likely with three to five finalists. And we expect to select a new athletic director by the end of June or early July.

- So let me thank you again for your time and efforts. There is more work to be done but this has been a productive and positive process. I am confident the outcome will be in the best interest of the entire UC Davis community.

[SLIDE 11 – 2020 STATUS REPORT]

- **On the 2020 Initiative**, our **three task forces for Academic Resources, Enrollment Management and Facilities Planning are continuing their work.**

- With the broad input they are receiving from the UC Davis community, they should have draft reports to the provost by the end of the academic year.

- We will then spend the summer refining our proposal and investigating the full range of issues concerning the feasibility of adding **5,000 undergraduates and 300 new faculty by 2020.**

- **Our motivation is to stabilize our financial situation in the face of declining state funding, to make our campus more international and to continue to capitalize on our existing infrastructure and past investments.**

- To be an even greater university than we already are and be more accessible to more deserving students.

- But I want you all to know that collectively, the university will go down this path only if it is in the best interests of UC Davis and the broader community.

- If we should ultimately decide to move forward with the 2020 proposal, which is still in the early stages of review, it will be **consistent with our Vision of Excellence and offers the best way to get there.**

- Moreover, any growth would occur in stages, to allow for the needed resources to be added across the campus to address the needs of growing numbers of faculty and students - including more international students - and only after wide consultation and the input or approval of the appropriate committees, consistent with our traditions of shared governance.

- There is one more issue I would like to address, and it concerns something I have been talking about every chance I can.

[SLIDE 12 – ADVOCATING FOR EDUCATION AND THE PUBLIC MISSION OF THE UNIVERSITY]

- As you may know, I have pledged to personally and persistently advocate for the importance of preserving the public mission of our university.

- I do and continue to advocate for additional state and federal investment in our university to help ease the financial burden being placed on students and their families.

- To help us collectively determine the best advocacy strategies and models of access and affordability, the provost and I announced creation of **a "Study Group on Accessibility and Affordability" that will be headed by Professor Ann Stevens, our economics chair and one of two directors of the new UC Davis Poverty Research Center.**

- Also, in a letter I sent some time ago to members of the UC Davis community, I wrote about some of my efforts in this regard.

- In that letter, I listed three actions people can consider taking as a first step in becoming involved.
  - Sign up for Aggie Advocates, our grassroots e-advocacy program.

  - Send a message to legislators telling them it is simply not right to raise tuition and cut programs.

  - Recruit three other people - family, friends or colleagues - to do the same.

- This is a start. Over the coming months, I will have more to say about some of our advocacy initiatives and I invite your ideas and suggestions as well.

- But please keep in mind, we are at a pivotal moment.

- Soon, the Governor will come out with his revised budget for the next fiscal year.

[SLIDE 13 – 2011-12 REVENUES]

- We are hopeful it will include some of the money that has been cut from higher education.

- It also appears likely that there will be one or more measures on the ballot in November that could cause some of higher education's lost funding to be restored.

- You may recall that the Governor's January budget proposal, which was contingent on voter approval of his November proposal, some our spending power would be restored, with an additional 90 million dollars going to UC Davis.

- **But he has also said that if his ballot proposal fails, the UC system will be cut $200 million. Our share at UC Davis would be $30 million.**

[SLIDE 14 – REVENUES VERSUS FIXED COSTS]

- And as you can see from this graphic on our fixed costs for pensions, health care benefits and salary increases, even if our revenues were constant, we would have a significant shortfall well into the future.

- *Faculty Merit Cycle: ~$4.0 million (core funds)*

- *UCRS: Each 1% increase in employer contribution:*
  ~ $3.5 million core funds
  ~ $12.1 million all funds

- *Faculty Pool: ~$2.0 million for each one percent increase (core funds, all academic titles)*

- *Staff Pool: ~$1.7 million for each one percent increase (core funds)*

[SLIDE 15 – STAFFING LEVELS]

- You can also see from the graphic on staff FTE, that as we have dealt with declining state aid and reduced the size of our staff, we have done our best to keep as many positions as possible in the academic units where they serve our core academic mission of research and teaching.

- More cuts would be detrimental for everyone associated with UC Davis, but to be as well prepared as possible for whatever the future brings, we are proceeding with the first phase of our incentive-based budget model July 1.

- **The initial steps will focus on unrestricted state funds, undergraduate tuition net of financial aid and indirect costs for research.**

[SLIDE 16 – ORGANIZATIONAL EXCELLENCE]

- **Our Shared Service Center has also helped us become more efficient.**

- **On February 14, 2012 we completed consolidation of finance, payroll and HR for 6250 administrative employees**

- **Initial budget savings of approximately 25%**

- **$4 million in annual net savings**

- **Fifty-one administrative positions eliminated**

- **Integrated technology and streamlined process that can be leveraged by the academic community.**

- No we need to make our voices heard outside this campus and let the Legislature and Governor know how we feel about reinvesting in higher education. The public must hear us, too.

- If we are silent, some may see that as a sign we don't feel this is important.

- My friends and colleagues, nothing could be further from the truth.

- California's three-tiered system of higher education has long been a national model.

- A visionary Master Plan made college accessible and affordable to thousands upon thousands of students who went on to build productive lives for themselves and their families.

- And they contributed to a prosperous and innovative California that set the pace for a robust national economy.

- The Master Plan was a partnership between institutions of higher learning, the public and our state.

- We must now convince the state to renew its part of the partnership and keep California heading in the right direction.

- We need to remind our elected leaders in Sacramento of the importance of reinvesting in higher education - how it pays off for our young people and for our state and nation, too.

- And we must stand with our students and their hard-working families and do everything in our power – through scholarships, philanthropy, revenue-producing research, advocacy and more – to help them get the education our outstanding faculty can provide.

- Thanks to all the great work from our faculty, staff and students, the admiration I have for everything UC Davis embodies has only intensified during my time as chancellor.

- And I know that winning formula will keep UC Davis strong, on the rise and a place that always does the best job possible for our students and for our state.

- Thank you very much.

Amendments from Athletics Report:

Pages 12 and 13 (UA = University Admissions Office):

Old version:
1. All ICA-ABE requests that are sent to Admissions also be sent to the Academic Senate for routing to the Undergraduate Council and the Committee on Admissions and Enrollment. We are not, at this point, recommending that either of those committees should be part of the decision chain, but we do believe that proper functioning of the system will be more likely if the Senate receives current information on ABE cases.

New version:
1. At the end of each calendar quarter, UA will prepare a report on the cases of all ABE applicants (ICA and non-ICA) that have been evaluated by UA and accepted for admission (with redactions necessary for privacy). This will be sent to the Academic Senate for informational purposes and routed to the Committee on Admissions and Enrollment and the Undergraduate Council. The report should include identifiers of the source of the ABE requests. The proper functioning of the system will be more likely if the Senate receives this information on ABE cases.

Old version:
4. The Academic Senate make explicit its heretofore implicit delegation to ICA of effective authority to make admissions decisions for UC-eligible student-athletes with a written specification of the procedure followed and the acceptable range of parameters within which it can operate.

New version:
4. Policy and processes on the admissions of prospective student athletes who are likely UC eligible and "sponsored" by ICA should be established. The decisions to admit those applicants rest with UA, and those applicants should be held to the standards for admission, as assessed through holistic review, that are used for the general applicant pool.

In consideration of NCAA National Letter of Intent signing dates and accepting that some recruitment of student athletes falls outside of the fall term, appropriate measures of flexibility on the timing of UA evaluation of ICA sponsored applicants should be identified and approved by the Academic Senate (through its representative committees) after consultation with ICA and UA.

PROPOSED DAVIS DIVISION REGULATION 534

COURSE EVALUATIONS

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by the Committee on Academic Personnel, Graduate Council, Undergraduate Council, and the Executive Council.

The proposed Regulation would mandate the use of course evaluations in courses determined by the Committee on Courses of Instruction and would specify that the course evaluation process would protect the privacy of the students and not compromise the confidentiality of the information with respect to the instructor.

It is proposed that the amendment to Regulation 534 be effective immediately.

Rationale.

At present, there is no mandate for the collection of course evaluations by instructors. Although it is a nearly universal practice in a large class of courses, there are cases in which no evaluations are collected in these courses. (The exact class of courses would be determined by the Committee on Courses of Instruction.) Such evaluations are important for the control of the quality of courses and their instructors and should be required. The growing trend toward the use of electronic means of course evaluations poses a potential threat to the privacy of the evaluating student and hence the integrity of the process. Since the evaluations are integral to the academic personnel process, which is intended to be confidential, the instructor's confidentiality should also be protected. (There are cases such as those involving legal actions where access to evaluations becomes necessary.)

Proposed Revision: Davis Division Regulation 534 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

534. Course Evaluations

> **In every course designated by the Committee on Courses of Instruction, all instructors must implement a course evaluation procedure in such a manner as to afford to each student the ability to evaluate the instructor and the course. Such evaluations shall be made available to the instructor after grades for the course have been submitted. The evaluation procedure shall, to the fullest extent possible, preserve the anonymity of the student and restrict the identification of the course instructor to authorized persons only, including the Committee on Academic Personnel and others involved in the academic personnel process and in the selection of course instructors.**

Representative Assembly Motion of Thanks:

On behalf of the Davis Division of the Academic Senate, the Representative Assembly commends Justice Reynoso and the Reynoso Task Force for their report on the November 18th incident. The time and effort needed to produce the report were significant and are appreciated by the Academic Senate. We specifically thank Justice Reynoso for his tenacity and determination to have as complete a report as possible released to the campus community.

Divisional Officers – 2012-2013

Chair: Bruno Nachtergaele (confirmed through August 31, 2014)
Vice Chair: Andre Knoesen
Secretary: Abigail Thompson
Parliamentarian: Janet Shibamoto Smith

Academic Freedom & Responsibility:
Adela De La Torre (Chair), Moradewun Adejunmobi, Robert Berman, Evelyn Lewis, Jane-Ling Wang
University Committee on Academic Freedom (UCAF) Divisional Representative: Adela De La Torre

Admissions & Enrollment:
Patrick Farrell (Chair), Carlos Jackson, Martine Quinzii, Joseph Sorensen, Rena Zieve
Board of Admissions and Relations with Schools (BOARS) Divisional Representative: Patrick Farrell

Affirmative Action & Diversity:
Susan Rivera (Chair), Miroslava Chavez-Garcia, Colleen Clancy, Courtney Joslin, Kyu Kim, Brian Osserman, Tina Zicari
University Committee on Affirmative Action and Diversity (UCAAD) Divisional Representative: Susan Rivera

CAP Appellate Committee:
Jeannie Darby (Chair), Frances Dolan, Leslie Kurtz, Dean Simonton, Dennis Styne

CAP Oversight Committee:
John Hall (Chair), Trish Berger, Daniel Gusfield, James Jones, David Simpson, W. Martin Usrey, Andrew Vaughan, Richard White, Xiangdong Zhu
University Committee on Academic Personnel (UCAP) Divisional Representative: W. Martin Usrey

Courses of Instruction:
Benjamin Shaw (Chair), Richard Green, David Hawkins, Nelson Max, Terry Murphy, Kriss Ravetto-Biagioli, David Webb, Becky Westerdahl

Distinguished Teaching Awards:
John Harada (Chair), Judy Callis, Gail Finney, Ronald Olsson, Charles Walker

Elections, Rules & Jurisdiction:
David Rocke (Chair), Steven Carlip, John Hunt

Emeriti:
Charles Hess (Chair), Karen Bales, Alan Jackman, Joel Dobbins, John Fetzer, J. Paul Leigh, Rajinder Singh

Excellence in Teaching:
Richard Coss (Fa, Wi)

Faculty Privilege and Academic Personnel Advisers:
Motohico Mulase (Chair), Shirley Chiang, Nolan Zane, Ian Kennedy, Walter Stone,

Faculty Research Lecturer:
Qizhi Gong (Chair), Margaret Ferguson, Alan Hastings, Charles Langley, Richard Robins

Faculty Welfare:
Stuart Hill (Chair), Joann Cannon, Joel Hass, Anna Kuhn (Fa, Sp, Su), Bernard Levy, Lisa Miller, Saul Schaefer
University Committee on Faculty Welfare (UCFW) Divisional Representative: Stuart Hill and standing alternate: Saul Schaefer

Grade Changes:
Lawrence Bogad (Chair), Elizabeth Applegate, Robert Bell, Florin Despa, Benjamin Highton

Graduate Council:
Rachael Goodhue (Chair), Ari Kelman (Vice Chair), Enoch Baldwin, Patrick Carroll, Jean-Pierre Delplanque, Chris Drake, Beth Freeman, David Fyhrie, M. Levent Kavvas, Leslie Lyons, James Murray
Coordinating Committee on Graduate Affairs (CCGA): Ari Kelman

Information Technology:
Paul Gepts (Chair), Anupam Chander (Fa, Su), Francois Gygi, Boris Jeremic, Susan Stover

International Education:
Jeannette Money (Chair), Leopoldo Bernucci, Sheldon Lu, Julia Menard-Warwick, Raul Piedrahita, Andres Resendez, S. G. Schladow
University Committee on International Education (UCIE) Divisional Representative: Jeannette Money

Joint Academic Federation/Senate Personnel:
William Casey, W. Jack Hicks, Randal Southard

Administrative Series Personnel:
Vacant (Senate Representative)

Library:
Brian Kolner (Chair), Maxine Craig
University Committee on Library and Scholarly Communication (UCOLASC) Divisional Representative: Brian Kolner

P&T Hearings:
Floyd Feeney (Chair), David Biale, Angela Cheer, Alan Conley, Katherine Florey, Anna Kuhn, Albert Lin, Annabeth Rosen, Janet Shibamoto-Smith, Valley Stewart, Ebenezer Yamoah

P&T Investigative:
Philip Kass (Chair), Afra Afsharipour, Premkumar Devanbu, Nancy Lane, Stephen Lewis
University Committee on Privilege and Tenure (UCP&T) Divisional Representative: Philip Kass

Planning & Budget:
Jerold Last (Chair), Gregory Clark, Thomas Famula, John Gunion, Niels Jensen, Debbie Niemeier, Christopher Reynolds, Michael Turelli (Wi, Sp, Su), Chris Van Kessel (Wi, Sp, Su)
University Committee on Planning and Budget (UCPB) Divisional Representative: Jerold Last

Planning & Budget Subcommittee: Instructional Space Advisory Group:

Vacant (Chair), Vacant (Member)

Public Service:
Lynn Roller (Chair), Jerold Last, Michael O'Mahony, Joan Rowe, Dean Tantillo

Research:
Kathryn Olmsted (Chair), Nicole Baumgarth, Sue Bodine, Kent Erickson, Janet Foley, Dave Hwang, Judy Jernstedt, Marjorie Longo, Nelson Max, Sally Mckee, John Ragland, J. Edward Taylor, Bella Merlin Turner, Anne Usrey, Xiangdong Zhu
University Committee on Research Policy (UCORP) Divisional Representative: Sally McKee

Undergraduate Council:
Janet Roser (Chair), Colin Carter, Shirley Chiang, Jesus De-Loera, Gregory Dobbins, Fidelis Eke, Susan Keen, Julia Menard-Warwick, Matthew Traxler, Craig Warden, Carl Whithaus, Jeffrey Williams
University Committee on Educational Policy: Janet Roser

General Education:
Craig Warden (Chair), Rebecca Ambrose, Manuel Calderon De La Barca Sanchez, Maggie Morgan, Terrence Nathan, John Smolenski

Preparatory Education:
Julia Menard-Warwick (Chair), Christine Drake, Elizabeth Miller, Joseph Biello, Richard Levin
University Committee on Preparatory Education (UCOPE) Divisional Representative: Julia Menard-Warwick

Special Academic Programs:
Jeffrey Williams (Chair), Robert Smallman Taylor, Raul Aranovich, Mark Rashid, Lori Lubin

Undergraduate Instruction & Program Review:
Carl Whithaus (Chair), Timothy Lewis, Steve Wheeler

Undergraduate Scholarships, Honors & Prizes:
Carlos Jackson (Chair), Paul Bergin, Matt Bishop, Fidelis Eke, Ian Faloona, Lorena Garcia, Ellen Hartigan-O'Connor, Kee Kim, Kyu Kim, Matthias Koeppe, Kristin Lagattuta, Richard Levin, Kenneth Loh, Markus Luty, Kent Pinkerton, Andres Resendez, Kurt Rohde, Naileshni Singh, Teresa Steele, Qinglan Xia

PROPOSED REVISION OF DAVIS DIVISION BYLAW 28
COMMITTEES OF THE DAVIS DIVISION: GENERAL PROVISIONS

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by Graduate Council, Undergraduate Council, Committe on Research, and Committee on Courses of Instruction, and the Executive Council

This proposal consists of two parts, each broadly falling under the rubric "delegation" as it applies to committees of the Division.

(A) It would specify procedures for delegation of authority by committees of the Division. Delegations would be required to be (1) made in writing, (2) reviewed by the Division for consistency with the Code of the Senate, and (3) reviewed on an annual basis.

(B) It would give explicit authority for administrators who are ex officio members of committee to delegate their membership to a person who reports to that administrator. A delegated member is also a member of the Academic Senate would have full voting rights unless holding and administrative title as in paragraph C below. Such members, and non-members of the Senate would have voting rights only insofar as the committee is not taking final action in the name of the Senate, as stated in paragraph E below.

Rationale.

For (A): At present, the Bylaws and Regulations of the Division in certain instances allow committees of the Division to delegate their authority to other parties, such as deans. In some cases, the delegations were made (or are claimed to have been made) years ago with no extant records of the delegations. The Divisional office as a result does not have a clear picture of what delegations have been made. This lack of information is especially pressing when there is legal action concerning decisions made by those who claim delegated authority. Thus, the Divisional office ought to have records of all delegations.

Prior review of delegations is necessary to insure that they are permitted by the Divisional Bylaws and Regulations.

Since the committees are delegating tasks that would otherwise be performed by themselves, they ought to be well-informed of the actions taken on their behalf, which would be accomplished by an annual review of those actions.

For (B): Some members of the Division who hold administrative titles are ex officio members of standing committees of the Division and historically have sent deputies to represent them in committee meetings. This amendment would explicitly allow such practice and would specify the voting rights of the deputies of the ex officio members.

Proposed Revision: Davis Division Bylaw 28 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

28. General Provisions

A. Committees of the Davis Division include the Representative Assembly, the Committee on Committees, regular standing committees (including the Committee on Academic Personnel, the Faculty Personnel Committees, and the Committee of Academic Personnel Advisers), joint standing committees, special committees, task-forces, and the Faculties of colleges and schools. (Am. 4/21/80; 1/27/81; 5/24/01; 06/09/05)

B. All committees of the Davis Division shall report to the Representative Assembly of the Division and are subject to its jurisdiction on all matters of policy. All committees shall implement, within the limits of Senate authority, any policy or direction adopted by a majority vote of the Representative Assembly or the Division by ballot. (Am. 12/15/1967, 4/21/1980)

C. No member of the Division holding an administrative title of Chancellor, Vice Chancellor, Provost, Vice Provost, Dean, Associate Dean or titles with equivalent levels of administrative responsibility may serve as a member of a divisional committee or as a representative of the Davis Division to any taskforce, committee, or agency (except in a non-voting, ex officio capacity.) These restrictions do not apply to chairs of academic departments or programs. (Am. 06/01/06)

D. All written reports submitted by committees of the Davis Division to the Representative Assembly shall be posted on a World Wide Web site, the address of which is clearly indicated on the agenda for the meeting to which they are submitted and shall be simultaneously sent to Department Chairs of all academic units. (Am. 11/1/96; 10/20/97, 06/09/05)

E. Only members of the Academic Senate may vote in divisional committees when those agencies or committees are taking final action on any matter for the Academic Senate, or giving advice to University officers or other non-Senate agencies in the name of the Davis Division. Persons other than Senate members may be given the right to vote on other questions, such as those that involve only recommendations to other Senate agencies, but only by explicit Bylaw provisions. Members of the Davis Division appointed or elected to represent the Division on joint committees, taskforces, or to other non-Senate agencies may not abridge the duties or powers of any standing committee or take a final action in the name of the Division unless by reference to, and with the advice and consent of, the relevant standing committee, the Representative Assembly, or the Division by ballot. (Am. 06/09/05;06/07/07)

F. All legislation and other policy actions of committees shall be publicly archived in a manner prescribed by the Secretary with the advice and consent of the Executive Council. No legislation or policy shall become effective unless and until it is publicly archived. [See Davis Division Bylaw 200 for effective dates.] (Am. 06/09/05)

G. All delegation of committee authority authorized by these Bylaws or by the Regulations of the Davis Division must be made in writing and is subject to review by the Division for consistency with the Code of The Senate. Such delegations shall be reviewed annually by the delegating committee.

H. Ex officio members of committees whose membership is based on their administrative titles may delegate their membership to a person who reports to that member. Such delegated membership confers a right to vote only if the delegated member is a member of the Academic Senate and is not prohibited from voting by paragraph C herein. A non-member of the Senate has a right to vote only as described in paragraph E herein.

PROPOSED REVISION OF DAVIS DIVISION BYLAW 31
SPECIAL COMMITTEES

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by the Executive Council

The proposed amendment to Davis Division Bylaw 31 would allow limited voting rights to members of Divisional special committees who are not members of the Academic Senate. The agency establishing the committee (e.g., the Representative Assembly) would be permitted to authorize such voting when it constitutes the membership of the committee. Voting rights would be limited to recommendations by the committee to the establishing committee or other Senate agencies.

Rationale.

Some special committees are established to address matters which are of general campus interest, and they are appropriately populated with non-members of the Senate such as members of the Academic Federation, students, and staff. This amendment would allow recommendations of such committees to reflect the judgment of the committee as a whole.

Proposed Revision: Davis Division Bylaw 31 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

31. Special Committees

A. Special committees of the Davis Division may be established by the Representative Assembly; or by the Executive Council; or by the Chair of the Division, subject to confirmation by the Executive Council. Special committees shall be appointed or elected in the manner established, at the time of their creation. Unless a different method of election or appointment is indicated, the Committee on Committees shall appoint such committees and designate their chairs. Appointments to special committees by the Committee on Committees shall be reported to the Representative Assembly but shall not require confirmation. (effec 2/7/2007)

B. A special committee may be established by the Division: (i) for a particular purpose; or (ii) when an issue engages the duties of more than one divisional standing committee, for the purpose of coordinating activities among those committees; or (iii) when an issue engages the duties of one or more standing committees and a non-Senate agency, for the purpose of coordinating activities between the Division and the non-Senate agency, and may, within the limitations of Academic Senate Bylaw 35.C and Davis Division Bylaw 28.C, include non-Senate representatives. (Am. 10/19/71; 12/21/71; 02/03/06)

C. Each special committee shall have such powers and perform such duties as shall be designated in the resolution calling for its appointment or, if established by the Chair of the Division, in the Chair's written charge to the committee. No special committee, however, shall be appointed or elected to perform any duties assigned to a standing committee. (Am. 02/03/06)

D. Wherever appropriate and feasible, members shall be drawn from the standing committees most relevant to the charge of the special committee. Members of special committees shall report regularly to the standing committees, that they represent. (Am. 02/03/06)

E. **The establishing agency may confer voting rights on committee members who are not members of the Academic Senate, but only on matters which involve recommendations to the establishing agency or other Senate agencies.**

F. A special committee of the Davis Division shall have tenure only until the regular meeting of the Representative Assembly of the ensuing fall term unless (1) a definite term is specified in the authorizing motion; (2) its authorization occurs after April 1, in which case it shall continue for one year beyond the normal expiration date; or (3) it is continued by action of the Representative Assembly. (Am. 10/19/71; 12/21/71)

~~F~~**G**. The final reports of special committees shall constitute a special order for the first regular meeting of the Representative Assembly each academic year. (Am. 10/19/71; effective 12/21/71)

PROPOSED REVISION OF DAVIS DIVISION BYLAW 80
GRADUATE COUNCIL

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by Graduate Council and the Executive Council

This proposal would give explicit authority to the Graduate Council for the approval and review of post-baccalaureate certificate programs not offered solely through a University Extension program.

Rationale.

Standing Order of the Regents 105.2(a) provides that "The Academic Senate, subject to the approval of the Board, shall determine the conditions for admissions, for certificates, and for degrees other than honorary degrees." There are a number of programs on the Davis campus that award certificates, but there are no Divisional Bylaws provisions specifying the authority for determining the conditions for certificates, as opposed to degrees. This proposal pertains to certificate programs for post-baccalaureate students.

Systemwide Regulation 735 defines what can be called "stand-alone" certificate programs with independent admissions processes which are not offered solely by University Extension. The systemwide Coordinating Committee on Graduate Affairs (CCGA) has taken the position in 2009 that all such programs are subject to CCGA review and approval. At the Divisional level, the relevant recommendations to CCGA would be made by the Graduate Council. CCGA further requires that certificate programs offered in conjunction with degree programs be approved and reviewed by the local Graduate Councils and Divisional Senates. The proposed legislation would formalize CCGA policy in the Davis Division Bylaws. In addition, it would place under the purview of the Graduate Council certificate programs which are offered through University Extension in co-operation with campus departments and Senate faculty. In these cases, University Extension acts as an administrator of the programs, which are staffed by graduate faculty.

A list of affected certificate programs is attached. Under the present proposal, the Graduate Council would be responsible for the review of all but the last category of programs, "Extension Professional Certificates."

Proposed Revision: Davis Division Bylaw 80 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

80. Graduate Council

A. This council shall consist of twelve Senate members (including a chair, a vice chair, and the Dean of Graduate Studies non-voting ex officio), four graduate student representatives (the Graduate Student Assistant to the Dean and Chancellor selected by Graduate Studies, the Graduate Student Association Chair, the GSA Vice Chair, a fourth graduate student selected by GSA) two postdoctoral scholar representatives (the Postdoctoral Scholar Association Chair and another postdoctoral scholar selected by the PSA) and two representatives appointed by the

Davis Academic Federation. The Dean of Graduate Studies shall not be chair or vice chair. A chair and vice-chair of this council shall be named by the Committee on Committees. Any member from the Davis Division on the Coordinating Committee on Graduate Affairs who is not a regular member of the Graduate Council shall be an additional ex officio member of this council. The council shall be organized into subcommittees to facilitate the conduct of its business. Subcommittees of the Graduate Council shall be appointed by the Chair and shall serve from the first day of September each year. Deans of Graduate Studies may be appointed to subcommittees but shall not serve as chair of any subcommittee. The Chair of the Graduate Council shall appoint additional Academic Senate members to the subcommittees as deemed necessary. (Am. 6/7/1983)

B. It shall be the duty of the Graduate Council with respect to the Davis campus:

1. To grant certificates of admission to qualified applicants for graduate status; to admit qualified students to candidacy for degrees to be conferred on graduate students; to appoint committees in charge of candidates' studies, who shall certify for every candidate before recommendation for a higher degree that the candidate has fulfilled the requirements of the University pertaining to that degree. (Am. 11/25/96)

2. To make final reports to the Executive Council concerning the conferring of graduate degrees.

3. To advise the Chief Campus Officer concerning relations with educational and research foundations.

4. To regulate the conduct of graduate work of the Division with a view to the promotion of research and learning. (Am. 10/22/2002)

5. To supervise the conduct of public and other examinations for higher degrees.

6. To make recommendations to the Representative Assembly and to the statewide Coordinating Committee on Graduate Affairs concerning the establishment of new graduate degrees.

7. To report and to make recommendations to the Representative Assembly on matters pertaining to graduate work.

8. To coordinate the procedures of the various departments and schools on the campus insofar as they relate to the conferring of degrees higher than the Bachelor's degree.

9. To recommend and supervise all new, changed, or deleted graduate courses of instruction in the Division. In discharging this responsibility, the Graduate Council presents its recommendations to and shall maintain liaison with the Committee on Courses. (Am. 12/15/1967)

10. To determine for the Division and to make recommendations to the statewide Coordinating Committee on Graduate Affairs concerning the qualifications of departments and graduate groups for initiating new programs and for making changes in established programs leading to existing graduate degrees. (Am. 11/1/2005)

11. To set policies and standards for admission to full- and part-time graduate status. (Am. 10/19/1971)

12. To make rules governing the form of presentation and the disposition of dissertations. (Am. 12/15/1967)

13. To recommend the award of fellowships and graduate scholarships, including honorary travel fellowships, according to the terms of the various foundations. (Am. 12/15/1967)

14. To set policies and standards for appointment of graduate students to be Teaching Assistants, Teaching Fellows, Research Assistants, and recipients of University Fellowships. (Am. 12/15/1967)

15. To limit at its discretion the study lists of students who are employed.

16. To set policies and standards for appointment of postdoctoral scholars or their academic equivalent and for their enrollment by the Graduate Division. (Am. 12/15/1967)

17. To conduct regular reviews of current graduate programs for their quality and appropriateness. (Am. 11/25/1996)

18. To establish policy on and exercise authority on academic disqualifications and/or dismissals as well as over all graduate academic transcript notations. (En. 12/15/1967)

19. To recommend the award of the Outstanding Graduate Student Teaching Award, according to the terms of the Academic Senate.

20. **To approve and review, or make recommendations to the Coordinating Committee on Graduate affairs where required, all post-baccalaureate certificate programs not offered solely through University Extension.**

C. The annual report of the Graduate Council will be presented at the first regular meeting of the Representative Assembly in the fall term. (En. 6/4/85)

D. At its discretion and consistent with Senate Bylaws 20 and 330(C), the Graduate Council may delegate to the Dean of Graduate Studies administrative decisions related to the academic regulations and policies of the Graduate Council. The Dean of Graduate Studies will report on and Graduate Council will review these delegated decisions annually. (En. 2/28/05 & eff. 2/28/05)

Post-Baccalaureate Certificate Programs at UC Davis

Certificate	Currently Approved by Grad Council?	Administered by	Requires an UG degree minimally?	Current Students or Direct Admit?
1. Graduate Academic Certificate (4)	✓	Programs/OGS	✓	Current students only
2. CAES Postgraduate Certificates (12)	No	CAES/Extension	✓	Direct Admit (primarily foreign students)
3. Extension Postgraduate Certificates (5)	No	Extension & sponsoring dept	✓	Direct Admit
4. Business Development Certificate Program	No	Center for Entrepreneurship & GSM	✓	Current students in science & engr (grad & post-docs)
5. Extension Professional Certificates (52)	No	Extension	No	Direct Admit

1. Graduate Academic Certificates

http://www.gradstudies.ucdavis.edu/programs/GACs.html

- Air Quality and Health
- Conservation Management
- Development Practice
- Second Language Acquisition

2. CAES Post-Baccalaureate Certificates

http://caes.ucdavis.edu/intprogold/eduopp/postgrcert/postgraduate-certificate-program

- Agricultural and Resource Economics
- Agronomic and Rangeland Sciences
- Animal Science
- Aquatic Ecosystems, Aquaculture, and Fisheries
- Floriculture
- International Agricultural Development
- Nematology
- Plant Pathology
- Pomology
- Postharvest Biology & Technology
- Vegetable Crops
- Weed Science

3. Extension Post-Baccalaureate Certificates

- Post-Baccalaureate Certificate Program in Classics
- Post-Baccalaureate Certificate Program in Gender and Global Issues
- *Advanced Chemical Engineering
- *Advanced Electron Microscopy
- Plant Breeding Academy

4. Business Development Certificate Program

http://entrepreneurship.ucdavis.edu/fellows.php

5. Extension Professional Certificates

http://extension.ucdavis.edu/certificates/

Agriculture and Food Science
- Applied Sensory and Consumer Science

Arts, Humanities and Writing
- Forensic Photography

Autism Spectrum Disorders
- Autism Spectrum Disorders Certificate Program
- Professional Concentration in Autism Spectrum Disorders

Aviation
- Emergency Response Aviation Safety Management

Brewing
- Professional Brewers

Business and Management
- Accounting
- Business Analysis
- Business Communication
- Coaching for Life and Work
- Conflict Resolution
- Construction Estimating
- Construction Management
- Employee Relations
- Energy Resource Management
- Equine Event Management
- Green Building and Sustainable Design
- Human Resource Development and Management
- Labor-Management Relations
- Niche Tourism Development
- Paralegal Studies
- Personal Financial Planning
- Project Management
- Renewable Energy
- Taxation

Common Ground
- Conflict Resolution

Education
- Autism Spectrum Disorders Certificate Program
- Professional Concentration in Autism Spectrum Disorders

- Data Use for School Improvement
- Reading
- Teaching English to Speakers of Other Languages (TESOL)
- Teaching the Gifted and Talented

Engineering and Technology

- Energy Resource Management
- Renewable Energy
- Solar Energy Systems and Design

Health and Safety

- Health and Safety Training
- Intensive Certificate Program in Workplace Health and Safety
- Workplace Health and Safety

Health Sciences

- Health Informatics
- Migration and Health

Information Technology

- Website Design

Land Use and Natural Resources

- Energy Resource Management
- Green Building and Sustainable Design
- Land Use and Environmental Planning
- Renewable Energy
- Sustainability and the Built Environment

Sustainability and Green Building

- Energy Resource Management
- Green Building and Sustainable Design
- Renewable Energy
- Solar Energy Systems and Design
- Sustainability and the Built Environment

Winemaking

- Winemaking

PROPOSED REVISION OF DAVIS DIVISION BYLAW 88
PUBLIC SERVICE COMMITTEE

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by the Public Service Committee and the Executive Council

This proposal would give explicit authority to the Public Service Committee for the approval and review of post-baccalaureate certificate programs offered solely through a University Extension program. It would also eliminate from the list of members the title "Director of the Public Service Research Program."

Rationale.

Standing Order of the Regents 105.2(a) provides that "The Academic Senate, subject to the approval of the Board, shall determine the conditions for admissions, for certificates, and for degrees other than honorary degrees." There are a number of programs on the Davis campus that award certificates, but there are no Divisional Bylaws provisions specifying the authority for determining the conditions for certificates, as opposed to degrees. This proposal pertains to certificate programs for post-baccalaureate students.

The proposed Bylaw amendment would explicitly designate as a duty of the Public Service Committee to advise on post-baccalaureate degrees that are solely offered through University Extension. Relations to University Extension are referred to in three of the duties of the committee, so it is clearly the appropriate body to review such certificates. Other certificate programs offered by University Extension involve regular graduate faculty of the campus and would be under the purview of the Graduate Council, if the companion amendment to Bylaw 80 is adopted.

The position of Director of the Public Research Program no longer exists and has not been replaced by a similar position.

Proposed Revision: Davis Division Bylaw 88 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

88. Public Service

A. This Committee shall consist of five Academic Senate members, two representatives appointed by the Davis Academic Federation, one undergraduate student representative, one graduate student representative, as non-voting ex officio members, the Vice Chancellor of Research, Vice Provost for University Outreach and International Programs, **and** the Dean of University Extension~~, and the Director of the Public Service Research Program as an ex officio member when also a member of the Senate and as a representative when not~~. (Am. 3/16/93; 11/2/92; 10/20/97; 6/8/98)

B. The duties of the committee shall be:

1. To review and advise on non-personnel matters relating to the involvement of faculty in public service activities, and to advise the Chief Campus Officer and the Academic Senate on such matters.

2. To advise the Chief Campus Officer either on its own initiative or at their request on: a. Goals and objectives of campus public service programs and policies; b. Effectiveness of these programs and policies; c. Such other matters as may be referred to the committee by the President, the Chief Campus Officer, the Vice Chancellor of Research, or the Dean of University Extension. (Renum 7/29/2011) (Am. 12/15/1967)

3. To review new offerings and the approval process for courses carrying University Extension credit.

4. To establish policies and criteria for admission to University Extension courses, including concurrent courses.

5. To advise the Dean of University Extension and the departments, divisions, schools, colleges, Graduate Studies**, the Davis Division**, and when appropriate, Cooperative Extension on: a. Criteria for approval of University Extension courses offered for University Extension credit; and b. Criteria for appointment and retention of University Extension instructors **and c. Post-baccalaureate certificates offered solely through University Extension.** (effec 3/16/1979)

6. To select up to four members of the faculty to receive a Distinguished Scholarly Outreach Award. The name of the recipients shall be presented to the Representative Assembly for confirmation at its regular meeting in the winter or spring term of each academic year. (Renum 7/29/2011)

PROPOSED REVISION OF DAVIS DIVISION REGULATION 528

Credit by Examination

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by the Graduate Council, Undergraduate Council, and the Executive Council

Regulation 528 sets out rules for the granting of course credit on the basis of the completion of an examination. As currently worded, Regulation 528 specifies that a student must be registered in the current quarter in order to be eligible. The proposal would allow students registered in a semester to be eligible for credit by examination. In addition, it would allow students registered in Spring Quarter to earn credit by examination in the immediately succeeding Summer Session. Implementation of this proposal will require consideration of a fee structure, which should be worked out between the Division and the Office of the Registrar.

It is proposed that the amendment to Regulation 528 be effective upon adoption.

Rationale.

Regular courses are offered during semesters and summer sessions as well as quarters. Students receive unit credit for completion of such courses. There is no apparent reason to prevent such students from receiving the same credit for passing an examination during a semester or quarter.

Proposed Revision: Davis Division Regulation 528 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

528. Credit by Examination

Academic credit by examination is available to registered students, under the following conditions:

(A) The privilege of taking an examination for credit usually will be granted only to students (undergraduate and graduate) **enrolled in UC Davis degree programs** who are in good standing and are registered **either** in the current quarter or semester, or in the spring quarter or semester prior to a summer session in which the examination is taken. (Academic Senate Reg. 540 and 542). Application shall be made on a petition form available from the Registrar.

(B) Credit by examination may be applied for in any course listed in the current General Catalog. The application must be approved by the instructor who will administer the examination and by the dean of the student's college or school, in the case of an undergraduate student, or the Dean of Graduate Studies, in the case of a graduate student. The instructor will specify the examination date.

(C) The application, if approved by the appropriate dean, is forwarded to the Registrar, who issues to the student a permit for the examination and sends notice of the action to the instructor or examiner by whom the examination is to be conducted. The examination may not be taken until the permit has been issued. (Am. 6/9/81)

(D) Credit by examination is not available (a) if such credit would duplicate credit presented by the student for admission to the University; (b) in elementary courses in a foreign language which is the native tongue of the applicant; or (c) in subjects for which the University has no competent examiner.

(E) Credit earned by examination may not be applied toward satisfaction of the General Education requirement. (En. 10/28/86)

(F) The final result of a student's work in an examination for credit shall be reported to the Registrar in terms of the following grades: A, B, C, D, F, P, NP, S, U. The "I" grade (incomplete) is not acceptable. Optional P/NP or S/U grading is subject to approval by the appropriate dean. If a student does not take the examination on the specified date and has not made prior arrangements with the instructor to change the date, the instructor shall write "Enrolled - No Work Submitted" on the grade report. (Renum. 10/28/86)

PROPOSED REVISION OF DAVIS DIVISION REGULATION 538
EXAMINATIONS

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by Graduate Council, Undergraduate Council, Committee on Courses of Instruction, and the Executive Council

Three revisions of Regulation 538 are proposed. All concern the conditions for the accommodation for final examinations for students with disabilities. The proposed revisions are the result of consultation with Campus Counsel.

The first revision concerns the relation between the accommodations and the academic demands and standards of academic performance of the course. The current Regulation is that the accommodation may result in no alteration of the demands and standards. The proposed revision would prohibit only fundamental alterations.

The second revision concerns the provision of facilities and personnel in making the accommodation. The current Regulation states that "No accommodation shall require facilities or personnel that cannot reasonably be provided." The proposed revision would specify that accommodation would have to cause undue financial and administrative burdens in order to be prohibited.

The third revision would state that course instructors have a legal obligation to provide recommended accommodations.

It is proposed that the amendment to Regulation 538 be effective immediately.

Rationale.

The revisions are proposed in order to describe more accurately the legal responsibilities of instructors, the campus, and the University with respect to the accommodation of students with disabilities. The proposals were made after consultation with Campus Counsel. The obligation of the instructor to provide accommodations is based on the obligation of the institution to do so. The restriction of instructors' obligation to academic, but not physical, accommodations, clarifies the proper role of instructors in carrying out the obligations of the institution. Campus Counsel ~~, which~~ states that under the Americans with Disabilities and Rehabilitation Acts, "there is no individual liability, only institutional liability." ~~although instructors have a legal obligation to provide recommended accommodations, liability rests with the university and not the individual instructor.~~

Proposed Revision: Davis Division Regulation 538 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

538. Examinations

(A) Except under certain specified circumstances, Senate Regulation (SR) 772 requires that final examinations be given in all undergraduate courses. Final examinations may be given in graduate courses. (Am. 4/26/82)

(B) At the instructor's option, a final examination in any course other than an on-line course may be wholly or in part of the take-home type. All examinations for on-line courses must be proctored to ensure that the person taking the examination is the student receiving credit. In accordance with SR 772(A), in undergraduate courses, the writing time of a take-home final examination and an in-class final examination together may not exceed three hours. (Am. 5/4/04)

(C) In each course for which a final examination is required, each student shall have the right to take a final examination (or, when the instructor has so opted, to submit a take-home examination) at the time and on the date published in the Class Schedule. For on-line courses, the University Registrar will offer to the instructor of each on-line class the option to have the final in the last time slot on the last day of finals or at a time on dead day to be negotiated between the University Registrar and the instructor. Students shall be notified of the time and place of the final on or before the first day of instruction. (Am. 5/4/04)

(D) In each course (other than in an on-line course) for which a midterm examination is required, each student shall have the right to take a midterm examination (or, when the instructor has so opted, to submit a take-home examination) during one of the scheduled meetings of the class published in the Class Schedule. (Am. 4/26/82; 5/4/04)

(E) Holding a final or midterm examination (or setting a deadline for submission of a take-home examination) at a time not specified in (C) or (D) requires the mutual consent of the instructor and all students involved in the change (other than in an on-line course). Any student who does not consent in writing to the different time must be permitted to take an examination (and/or submit a take-home examination) at the officially scheduled time. A student who consents in writing to the change of examination time waives the right cited in (C) or (D). (Am. 3/13/95 and effective 9/1/95; 5/4/04)

(F) Any departures from the published examination schedule should be carried out so as not to disadvantage students who are unable to accept the alternative examination schedule. An in-class final examination may not be rescheduled for a date earlier than the first day of final week. The due date for a take-home final examination may not be rescheduled for a date earlier than the first day of finals week. In the case of on-line courses, the published examination schedule is that announced no later than the first day of class in accordance with 538(C), and finals may be scheduled or rescheduled to occur on dead day. (Am. 10/26/87 and effective 9/1/88) (Am. 3/13/95 and effective 9/1/95; 5/4/04)

(G) A student who is improperly denied the right cited in (C) or (D) may file a petition with the Executive Council by the end of the next regular term, for appropriate action.

(H) In accordance with current law, students with documented disabilities may be entitled to in-class accommodations. The student shall provide a letter from the campus Student Disability Center (SDC) with a recommendation for those academic accommodations that the instructor is responsible for providing. It is the student's responsibility to request accommodations as soon as possible; this notification must be made within a period of time which allows the university a reasonable opportunity to evaluate the request and offer necessary adjustments. **The instructor has a legal obligation to provide recommended academic accommodations, unless the instructor can demonstrate that the** ~~No~~ accommodations ~~sha~~**will fundamentally** alter the nature of the academic demands made of the student**,** ~~n~~or decrease the standards and types of academic

performance. **It is the responsibility of the University to provide recommended physical accommodations.** No accommodation shall require facilities or personnel that **can be demonstrated to result in undue financial and administrative burdens to the University**. The instructor should consult with the student and the SDC if there are any questions or concerns. If the instructor and the SDC cannot arrive at a mutually agreeable accommodation, the matter shall be resolved by a committee convened by the Vice Chancellor - Student Affairs that includes the instructor, the department chair, and a representative from the SDC. (En. 6/8/87; Am 11/25/96; Am 4/14/08)

(I) An instructor may release to individual students their original final examinations (or copies thereof) at any time. Otherwise the instructor shall retain final examination materials, or a copy thereof, until the end of the next regular term, during which period students shall have access to their examinations. (En. 5/25/77; Renum. 6/8/87) (J) Paragraphs (A) through (I) of this Regulation shall be printed in the General Catalog. (En. 5/24/76; Am. and renum. 5/25/77; 6/8/87)

PROPOSED REVISION OF DAVIS DIVISION REGULATION A540
GRADES

Submitted by the Committee on Elections, Rules and Jurisdiction

Endorsed by Undergraduate Council, the Grade Changes Committee, and the Executive Council

Davis Division Regulation A540 contains a provision for a notation of "Enrolled-No Work Submitted" for students who turn in no work subject to grading for a class. The proposal would eliminate that notation and substitute for it a grade of F. A provision is added to allow petition to the Grade Changes Committee for removal of the grade in cases where failure to complete work is due to circumstances beyond the student's control.

Rationale.

Background: UC Davis is the only campus in the UC system that continues to offer an NS grade in place of an F to indicate the status of a student who is enrolled in a course but does not complete any of the work, presumably because they did not attend based on a misunderstanding of their enrollment status. Although such a category may have made sense back when enrollment was through punched computer cards, it presents a series of problems and issues of potential and real abuses in the present day.

Some of the primary concerns include:

a) The grade of NS is surprisingly common, given about 3,000 times annually across all courses, about the same frequency as Ds or Fs. The numbers are about the same in all Quarters, which fact indicates that a lack of familiarity with registration cannot be the explanation.

b) Students abuse their knowledge of the NS grading option to take seats in impacted courses, especially in Mathematics and Sciences, and deprive other students of the opportunity of enrolling in these courses.

c) Some students have multiple NS grades across several Quarters, suggestive of a strategy rather than a mistaken registration. Because the NS grade does not appear on official transcripts, these strategies are hidden.

d) According to anecdotal evidence, some students use NS to appear to have sufficient units to qualify for financial aid, but without intending to take the course seriously. That such a strategy entangles the student later in rules for minimum progress is a risk that is borne.

e) NCAA oversight views with particular suspicion athletes who receive this grade. A student athlete may remain academically eligible if they receive an F in a course as long as their other academic progress is sufficient in quantity and quality, but the NS grade in its uniqueness to UCD presents a red flag.

f) According to anecdotal evidence, some professors choose or are asked to use the NS grade in an inappropriate way to help students who are struggling academically (as opposed to following the procedures for a late drop in cases where the student has completed some portion of the work with various levels of success). Such professors do

not have access to the student's entire record, when they grant what are in effect late drops.

g) Those students who have multiple NSs are often dismissed from the University. That fact is not to suggest that the availability of the NS grade causes the dismissal, rather the NS grades are a symptom. But the availability of the NS grade often delays the reckoning, and hence makes the situation worse for the students. It would be better that such students had to meet with the counselors in Deans' Offices sooner rather than later.

Although there will be a few isolated cases of genuine mistaken enrollment that might legitimately deserve an NS designation, Fs that will be generated in this way can be petitioned to the Grade Change Committee for expurgation. In instances in which the course cannot proceed as intended – as happens say in special tutoring for English as a second language, when the person to be tutored fails to show – the Department involved can provide Quarterly lists for routine processing by the Grade Change Deputies. The Grade Change Committee, which itself began the process of this recommendation, believes it can handle the increased number of cases.

Proposed Revision: Davis Division A540 shall be amended as follows. Deletions are indicated by ~~strikeout~~; additions are in **bold type**.

A540. Grading

Except as provided otherwise in Davis Division Regulations A545 and A548, and in Regulation 70 of the Faculty of the School of Medicine, the following provisions apply to the grading of the work of all students subject to Davis Division Regulations.

(A) The work of each student shall be reported in terms of the following grades: A (excellent), B (good), C (fair), D (poor), F (failure), I (incomplete), and IP (in progress). Grades of A, B, C, and D may be modified by plus (+) or minus (-) suffixes. (En. 4/23/78, Am. 11/28/79)

(B) Grade points per unit shall be assigned by the Registrar as follows: A - 4; B - 3; C - 2; D - 1; F, I, or IP - none. "Minus" grades shall be assigned three-tenths grade point less per unit than unsuffixed grades, and "plus" grades (except A+) shall be assigned three-tenths grade point more per unit. The grade of A+ shall be assigned 4.0 grade points per unit, the same as for an unsuffixed A; but when A+ is reported it represents extraordinary achievement.

(C) The grade Incomplete shall be assigned only when the student's work is of passing quality and represents a significant portion of the requirements for a final grade, but is incomplete for good cause as determined by the instructor. "Good cause" may include illness, serious personal problems, an accident, a death in the immediate family, a large and necessary increase in working hours, or other situations deemed to be of equal gravity. The student is entitled to replace this grade by a passing grade and to receive appropriate grade points and unit credit provided he or she satisfactorily completes the work of the course in a way specified by the instructor before the end of the third succeeding term of the student's academic residence as defined in Regulation 610. If a degree is conferred upon the student before the expiration of the time limit for conversion, the time limit for conversion for the graduated student shall be the end of the third regular term succeeding the term in which the Incomplete grade was assigned. If the time limit for conversion expires before a degree is conferred upon the student and the Incomplete grade has not been replaced, the grade shall revert to an F, a Not Passed, or an Unsatisfactory, depending on the grading system in effect in the particular instance. If the time limit expires after a degree has been conferred and the Incomplete grade has not been replaced, the Incomplete grade shall remain on the student's record. If the degree has not been conferred, and the work has not been completed before the end of the term three calendar years after the

grade Incomplete has been assigned, and during which the student has not been in academic residence as defined in Regulation 610, the grade Incomplete shall remain on the student's record, unless the course is repeated. This time-limit for the completion of courses assigned the grade Incomplete shall apply to all and only those courses in which the grade Incomplete is assigned on or after September 1, 2010. (En. 1/20/75, Am. 5/29/75, effective Fall 1975; Am. 10/25/76, effective Winter 1977; Am. 6/4/79, Am. 11/28/79, effective Fall 1980; Am. 6/3/80, Am. 12/3/80; Am. 4/25/83; Am. 11/30/83) (Am. 9/1/2010, 2/24/2011)

In calculating an undergraduate student's grade point average, grade points and units for courses graded Incomplete shall not be counted except that, in ascertaining compliance with the 2.000 minimum grade point average required for the receipt of a bachelor's degree, all incomplete units attempted for a letter grade shall be counted and assigned a grade point value of zero. Any undergraduate student who accumulates more than 16 units of Incomplete for which final grades have not been assigned shall be subject to academic probation or disqualification. (Am. 1/27/81)

(Am. 9/1/2010) In calculating a graduate student's grade point average, grade points and units for courses graded Incomplete shall not be counted except that, in ascertaining compliance with the minimum grade point average required for receipt of a degree, all incomplete units attempted for a letter grade shall not be counted and assigned a grade point value of zero. Any graduate student who accumulates more than 8 units of Incomplete for which final grades have not been assigned shall be subject to academic probation. (Am. 10/25/76, effective Winter 1977; Am. 1/27/81)

(D) For a course extending over more than one term, where the evaluation of the student's performance is deferred until the end of the final term, provisional grades of In Progress shall be assigned in the intervening terms. Subject to the provisions of Academic Senate Regulation 634, grade points and units for courses graded In Progress shall not be counted in calculating a student's grade point average. Provisional grades shall be replaced by final grades if the student completes the full sequence. The student may receive final grades, grade points, and unit credit for completed terms when he or she has not completed the entire sequence if the instructor certifies that the course was not completed for good cause.

(E) All grades except Incomplete or In Progress are final when filed by the instructor in the end-of-term course report. The correction of clerical and procedural errors shall be governed by guidelines established by the Davis Division and shall be under the supervision of the Davis Division Grade Changes Committee. No change of grade may be made on the basis of reassessment of the quality of a student's work or, with the exception of Incomplete or In Progress grades, the completion of additional work. No term grade except Incomplete may be revised by re-examination. **Students who believe that their failure to submit work subject to grading was due to circumstances beyond their control, resulting in a grade of F may petition the Grade Changes Committee for removal of the grade.**

(F) Repetition of courses not authorized by the Davis Division Committee on Courses of Instruction to be taken more than once for credit is subject to the following conditions.

(1) An undergraduate student may repeat only those courses in which he or she received a grade of D, F, or Not Passed, as well as courses in which a grade of I has become permanent on the student's record because the work was not completed within three years, as described in (C) above. Departments may restrict repetition of a course if it is a prerequisite to a course already completed with a grade of C- or better. Courses in which

a grade of D or F has been earned may not be repeated on a Passed or Not Passed basis. (En. 4/21/80, Am. 3/11/81) (Am. 9/1/2010)

(2) A graduate student, with the consent of the appropriate graduate adviser and the Dean of Graduate Studies, may repeat any course in which he or she received a grade of C, D, F or Unsatisfactory, as well as courses in which a grade of I has become permanent on the student's record because the work was not completed within three years, as described in (C) above, up to a maximum of three courses for all courses repeated. Courses in which a grade of C, D, or F has been earned may not be repeated on a Satisfactory or Unsatisfactory basis. (Am. 10/25/76, effective Winter 1977) (Am. 9/1/2010, 9/1/2011)

(3) Repetition of a course more than once requires approval by the appropriate dean in all instances.

(4) Degree credit for a course will be given only once, but the grade assigned at each enrollment shall be permanently recorded. (Am. by mail ballot 5/7/74)

(5) In computing the grade point average of an undergraduate who repeats courses in which he or she received a grade of D or F, only the most recently earned grade for each course and corresponding grade points shall be used for the first 16 units repeated. In the case of further repetitions, the grade point average shall be based on all grades assigned and total units attempted.

(6) In computing the grade point average of a graduate student who repeats courses in which he or she received a grade of C, D, or F, only the most recently earned grade for each course and corresponding grade points shall be used.

(G) ~~The instructor in charge of a course shall enter the notation "Enrolled-No Work Submitted" (E-NWS) on the end-of-term course report for a student who, to the best of the instructor's knowledge, did not present any work subject to grading. The course number and the notation shall be omitted from the official transcript.~~(Am. 11/30/98; eff. immediately and retroactively)

~~(H)~~ The Registrar shall enter the notation "NG" on the end-of-term course report and on the student's record for a student whose instructor has not yet submitted an appropriate grade (letter grade or P, NP, S, U, I, or IP)~~ nor designated the student as E-NWS~~. The instructor must indicate in the "memorandum" column on the course report the reason for not submitting a grade. Conditions for removing the NG are:

(1) The NG notation shall be replaced by the appropriate grade upon written submission of that grade by the instructor.

(2) The NG and relevant course notation both shall be deleted from the student's transcript if it is established that an administrative error resulted in improper assignment of NG to the student.

(3) The Registrar shall change the NG notation to an F grade if the NG has not been removed under the provisions of (1) or (2), unless the instructor in charge indicates otherwise to the Registrar. To ensure that the student is aware that an NG must be removed, the Registrar shall provide the following written notification to all affected students: "NG must be removed within one term or the NG will be changed to a grade of F. If this course appeared on your midterm course check list, see your instructor immediately; if it did not appear, see the Registrar."

UNIVERSITY OF CALIFORNIA, DAVIS

BERKELEY • DAVIS • IRVINE • LOS ANGELES • RIVERSIDE • SAN DIEGO • SAN FRANCISCO

SANTA BARBARA • SANTA CRUZ

ACADEMIC SENATE, UC DAVIS DIVISION
COMMITTEE ON ACADEMIC FREEDON AND RESPONSIBILITY

ONE SHIELDS AVENUE
DAVIS, CALIFORNIA 95616

May 18, 2012

RE: Egregious Academic Freedom Violation

Academic Senate:

The Committee on Academic Freedom and Responsibility (CAFR) has investigated a serious situation related to the academic freedom of an individual faculty member. By unanimous assent CAFR has found that the faculty member's academic freedom was violated by precipitous and inappropriate retaliatory statements of disciplinary sanction and legal action in the hours and days following the publication of a professional expert commentary perceived by some to be against University interests. Further, the violation persists such that the professor works in fear for his job and has to withhold his professional knowledge from students and society for fear of further retaliation. University administrators involved in the case misunderstand the University's policies and procedures regarding academic freedom and shared governance. The University's fundamental mission is to discover new knowledge and to disseminate that to its students and to society at large. CAFR calls upon the Academic Senate to affirm that professors should not be subjected to disciplinary sanctions, legal action or threats thereof for writing scholarly publications and professional expert commentaries, and that evaluations of the intellectual honesty of such writings require due process through shared governance according to APM-015 and APM-016 without circumvention to the legal system or to unregulated administrative action. CAFR calls upon the administration to apologize and take concrete actions to learn from its missteps, as enumerated below.

Introduction and Procedures

According to Academic Senate bylaws, CAFR is charged with studying any conditions within the University that, in the judgment of the committee, may affect the academic freedom and responsibility of its individual members. When a faculty member brings forward a formal complaint, CAFR is obligated to investigate and write a report to the Academic Senate explaining our findings.

On November 22, 2010 a faculty member formally wrote an email to CAFR on the subject of "request for senate review" in which he sought advice about what he described as his being subjected to intimidation, threats, and harassment. The CAFR Chair undertook a preliminary investigation involving talking to several involved and peripheral parties as well as receiving documents in support of all perspectives. CAFR met to review the materials and discuss the situation. Before we could return formal advice, the Academic Senate Chair intervened to consult the Committee on Elections, Rules and Jurisdiction (ERJ) to evaluate whether this situation should be reserved for sole review by the Privilege and Tenure Investigative (PTI) committee. Although ERJ affirmed the independent and unfettered right of CAFR to proceed (as has occurred in similar situations UC systemwide in the past), the faculty member did not formally request that and CAFR informally advised the faculty member to contact PTI. All information regarding subsequent PTI activity is confidential and has been withheld from CAFR.

On December 21, 2011, the faculty member wrote to CAFR, "I would like to formally request a review of what I believe has been a blatant breach of my academic freedom." CAFR informed the Senate Chair as well as the PTI Chair and then undertook an investigation. The investigation consisted of (a) reviewing the extensive past information from the complainant and from CAFR's 2010 preliminary investigation, (b) inviting each direct party to meet with CAFR and then holding meeting with those who agreed, (c) reviewing a supervisor's letter on behalf of one of the parties who declined to meet, (d) soliciting advice from the UC system-wide University Committee on Academic Freedom (UCAF), and (e) discussing the matter as a committee. These sources of information were used to write this report that presents the details of the situation and CAFR's findings.

In preparing this report, a decision had to be made whether to redact the names of those involved. The faculty complainant agreed that his name could be used in the report. Given that information about the positions of the relevant parties is vital to laying out the events and complaint, it is impossible to completely hide the identities of those involved. The advice from experienced UCAF members was that the names of university officials need not be withheld, because they are in public positions that have accountability. Nevertheless, we have withheld the names of individuals other than the complainant, even though we cannot hold back the related information about their positions and actions, and it is difficult to write clearly without using gender-specific pronouns where necessary.

Chronology of Events and Related Facts

1. Professor Michael Wilkes, M.D., is widely credited with originating "doctoring" courses that are now used by 33 medical schools. Prof. Wilkes was recruited to the UCD medical school (UCDMS) from UCLA in part to create a four-year sequence of "doctoring" courses at UCDMS. Prof. Wilkes won a teaching award in 2010. Prof. Wilkes has been a medical reporter for the *New York Times*, *ABC News*, McClatchy newspapers, and other media where he has provided professional expert commentaries. Among other topics, he is a recognized expert on prostate cancer. He has co-authored scholarly articles and professional expert commentaries about prostate cancer screening in both peer reviewed journals and newspapers. In 2010 he was serving as Chair of the Consensus Committee for the Centers for Disease Control and Prevention. He has also served as an organizer for an international medical student exchange program, helping to host students from Hungary.

2. UCDMS faculty members advertised and subsequently held a public event at the UCD MIND Institute on September 28, 2010. The advertisement for the event most prominently states, "Prostate Defense Begins at 40". There is also sizable text stating "Know Your Stats" with "About Prostate Cancer" in a very small font. There is also prominent text in red stating, "Attend a Free UC Davis Men's Health Seminar". The event was promoted with mention of special guest Guy McIntyre, a three-

time Super Bowl participant, and former player for the San Francisco 49ers. It also has the symbols or nameplates for UC Davis Health System, AUAFoundation, and NFL.

3. Prof Wilkes first learned of the event and promotional campaign on September 16, 2010. The same day he wrote an email to the UCDMS Executive Associate Dean, the Associate Vice Chancellor for Strategic Technologies and Alliances, and the UCDMS Associate Dean for Curriculum and Competency Development. The email noted a concern about the presentation and suggested a lack of objectivity by the American Urological Association with regard to the prostate-specific antigen (PSA) test. Prof. Wilkes suggested it was contradictory for UCDMS to teach evidence-based medicine and concurrently host an event promoting the use of PSA, which he characterized as "far away from evidence-based". The Executive Associate Dean wrote back the same day stating, "We cannot impinge academic freedom. maybe you need to be more interactive internally."

4. Prior to the event, Prof. Wilkes investigated the advertisement and planned event. By his account, this consisted of (a) attempting to talk with the faculty members hosting it, (b) conversing with football player Guy Macintyre and researching his payment, and (c) attempting to obtain event materials.

5. Prof. Wilkes did not attend the September 28, 2010 event, but two medical students did attend and recorded it with an audio device in a set of 7-minute clips. The students provided Prof. Wilkes with the audio recordings. One student wrote that a video was played that the student deemed to be "unabashed marketing" and the student reported that "the urologists mentioned having a baseline PSA at age 40 for predicting lifetime risk of prostate cancer."

6. On September 30, 2010 the *San Francisco Chronicle* printed an "Op Ed" article entitled "PSA tests can cause more harm than good" written by Prof Wilkes and a medical faculty colleague from another university. The article was edited by the newspaper to reduce the length (from 950 to 520 words), with the edited version provided to Prof. Wilkes the day before it was published using the standard editorial practices used by major newspaper outlets. An online version of the article was subsequently published on October 01, 2010 (see Appendix 1). The thesis of the article is that PSA tests can cause more harm than good, so men should be informed about the pros and cons of the tests to enable them to make informed decisions. The article provides several sources of evidence and professional judgments in support of the thesis. The authors used the event hosted by UCDMS faculty members to illustrate societal problems associated with PSA testing. The authors suggested and described possible financial motivations for the event, and in doing so they provided two caveats: (a) they can't know why UC Davis offered the event and (b) they "wonder whether it just might have to do with money". These are clear statements that their ideas are speculative commentary.

The Executive Associate Dean says that he received "multiple faculty complaints" about the article, but the timing of those complaints is unclear, so they are not assigned a sequence in the numbered chronology

7. At 7:02 am on the same day the article appeared in print (9/30/10), the Executive Associate Dean wrote an email to the UCDMS Associate Dean for Curriculum and Competency Development with

copies going to the Associate Vice Chancellor for Strategic Technologies and Alliances and Prof. Wilkes in which he stated that (a) Prof. Wilkes would not be invited to continue as doctoring Instructor Of Record (IOR) after the academic year and (b) resources to support Prof. Wilkes' Hungarian student exchange would be ceased after completing commitments to date. In a meeting with CAFR, the Executive Associate Dean acknowledged that he had read the *San Francisco Chronicle* article before he wrote this email.

10. At 8:30 am on October 2, the Associate Vice Chancellor for Strategic Technologies and Alliances wrote to Prof. Wilkes that the Executive Associate Dean "is clearly upset that the Men's health issue is being played out in the paper and through the students rather than an academic debate or issue specific seminar as he would expect in a University." [In a meeting between CAFR and the Executive Associate Dean, the Dean corroborated this when he said that his issue with Prof. Wilkes was not the debate about PSA, but rather the propriety of how Wilkes engaged in the debate].

11. At 10:45 am on October 2, the Executive Associate Dean refused a request by Prof. Wilkes to talk and informed him that further information would be coming about his "future with Doctoring 4 and with your position as Director global health for UCDHS." UCDHS is the UC Davis Health System.

12. On October 5, Prof. Wilkes wrote an email to the faculty members who hosted the event in which he wrote, "I am sorry if this caused your team unnecessary angst" and explained that his original article was substantially cut and edited in a way that he felt created a more negative tone. He offered to take them to lunch and discuss educational opportunities. He also explained more about his scholarly position on PSA testing.

13. According to the UCDMS Executive Associate Dean, a meeting was held between the UCDMS Dean, the UCDMS Executive Associate Dean, and the Health System Counsel some time after the article was published. The UCDMS Dean made the decision to have the Health System Counsel write a letter to Prof. Wilkes.

14. The Health System Counsel wrote a letter to Prof. Wilkes in which he expressed the University's concern about factual inaccuracies pertaining to UC Davis in the online version of the article. To CAFR's knowledge, the Health System Counsel was not present at the event. The letter alleges that there are five false statements in the article, provides the statements, and describes reasoning as to why the statements are false. The origin of the scholarly analysis is not stated and there is no indication that a scholarly review was conducted. The letter then ends with the following paragraph, "The purpose of this letter is not to stifle legitimate public debate, academic freedom or policy advocacy about the role of PSA screening or broader issues- far from it. I am simply pointing out that there are numerous errors of fact in your article, that they were injurious to the University interests and reputation and thus potentially actionable under the law of defamation."

15. Prof. Wilkes alleges that he was also told that his space was going to be re-assigned, although there is no documentation of that. In a meeting on November 30, 2010 between the CAFR Chair and the Executive Associate Dean, the intention of re-assigning Prof. Wilkes' space was confirmed by the Executive Associate Dean.

16. As of May 1, 2012, none of the actions against Prof. Wilkes stated by the Executive Associate Dean (i.e. change in IOR, cessation of resources for Hungarian exchange, removal as Director of global health for UCDHS, and reassignment of space) have occurred.

Allegation of Violation of Academic Freedom

Prof. Wilkes alleges that his academic freedom has been violated and that he has been subjected to threats and harassment by the University as a direct response to the publication of his article in the *San Francisco Chronicle*. Prof. Wilkes alleges that the fact that the University has not carried out the actions against him to date is irrelevant in that the threatening proposed actions, including the threat of legal action against him, have not been withdrawn and there has not been any apology by the University for inappropriate behaviors that violated his academic freedom. As a result of the University's actions against him, Prof. Wilkes is concerned about his employment status and concerned about his right to continue to freely pursue his scholarly research and professional expert commentary about ethics in medicine. The fear he feels and expresses has resulted in him have turning down opportunities for commentaries out of fear of further intimidation and loss of his job.

Key Factors in Defense of University

Removal of Prof. Wilkes' IOR appointment: The Executive Associate Dean alleges that there was faculty and administrative discontent over Prof. Wilkes' teaching, course management, and collegiality, and that these factors were the basis of the decision to remove him as IOR of Doctoring 3. There is widespread documented information that the Doctoring sequence as a whole had problems, so a Doctoring Task Force was established. This group was reviewing the courses in the series one at a time starting at Doctoring 1. In interviews and emails, different individuals pointed to very different concerns about the Doctoring sequence, so CAFR could find no clear consensus. As of March 2012 the Doctoring Task Force had yet to address Doctoring 3 or 4 as far as CAFR knew. According to a December 2010 email to the CAFR Chair from the Associate Dean for Curriculum- because the Doctoring Task Force would not be able to complete its work in time to make a decision about Doctoring 3 before it was to be taught the next time, the chairs of internal medicine, family medicine, and psychiatry met and recommended to the Executive Associate Dean that the IOR for Doctoring 3 be changed. The three chairs confirmed in an email to the CAFR Chair in December 2010 their agreement with this recommendation and alleged that their concerns go back to September 2009, even if the formal recommendation was not made until the time the *San Francisco Chronicle* article was published.

Removal of space: The Executive Associate Dean alleges that the space was needed by the home department that holds that space.

Removal of Hungarian student exchange of directorship of global health of USCHS: The Executive Associate Dean alleges that the program was being implemented poorly and that he had issued multiple warnings about how Prof. Wilkes was running the program.

Overall, the Executive Associate Dean alleges that the timing of the actions against Prof. Wilkes was purely coincidental.

Letter from Health System Counsel: In a February 2012 letter to CAFR, the UC Davis Chief Campus Counsel provided the following information specifically pertinent to this review: (1) the Health System Counsel "letter in no way proposes or imposes disciplinary sanctions against Dr. Wilkes, (2) "Publicly broadcast false statements that injure the University's interests and reputations are potentially actionable as a tort. Such a statement is a fact. It is not a threat and it is not a sanction.", (3) "As indicated above in APM 016, faculty members remain subject to compliance with University rules and regulations, as well as laws, outside the scope of faculty discipline and 'faculty are subject to appropriate administrative actions for failure to comply with such rules and regulations.' "; and (4) "The administrative action elected in this case was simply to provide information to Dr. Wilkes regarding the false information in his article and the potential legal exposure for broadcasting false information that is injurious to reputation. For these reasons, there was no requirement to first pursue disciplinary action against Dr. Wilkes under APM 016."

Relevant Authorities

1. "The University of California is committed to upholding and preserving principles of academic freedom. These principles reflect the University's fundamental mission, which is to discover knowledge and to disseminate it to its students and to society at large. The principles of academic freedom protect freedom of inquiry and research, freedom of teaching, and freedom of expression and publication." (APM 010 ¶1).

2. "Members of the faculty are entitled as University employees to the full protections of the Constitution of the United States and of the Constitution of the State of California." (APM-010, ¶3).

3. "The University seeks to provide and sustain an environment conducive to sharing, extending, and critically examining knowledge and values, and to furthering the search for wisdom. Effective performance of these central functions requires that faculty members be free within their respective fields of competence to pursue and teach the truth in accord with appropriate standards of scholarly inquiry." (APM-015, ¶1).

4. Faculty have a constitutionally protected right to freedom of expression which includes the free exchange of ideas (APM-015, Part I).

5. "No disciplinary sanction for professional misconduct shall be imposed by the administration except in accordance with specified campus procedures adopted after appropriate consultation with agencies of the Academic Senate..." (APM-015, Part III A(1)).

6. "No disciplinary sanction shall be imposed until after the faculty member has had an opportunity for a hearing before the Divisional Committee on Privilege and Tenure..." (APM-015, Part III A(2)).

7. "While Administrative Officials may delegate many of their responsibilities, they cannot delegate accountability." (UCD Administrative Responsibilities Handbook, p. 8).

8. New York Times Co. v. Sullivan, 376 U.S. 254 (1964) was a United States Supreme Court case which established the actual malice standard which has to be met before press reports about public

officials or public figures can be considered to be defamation and libel. According to the actual malice standard, there has to be a reckless lack of investigation, which is a difficult standard to prove.

CAFR Findings

With respect to the actions taken by the UCDMS administration, CAFR finds that Prof. Wilkes academic freedom has been violated. Prof. Wilkes was told that he would lose his IOR position for Doctoring 3, his space, and his directorship. That is undisputed. We can never know with 100% certainty that the actions by the Executive Associate Dean were a direct response to the *San Francisco Chronicle* article, but there is a very strong appearance of impropriety on the basis of several lines of evidence.

1) The timing of events is highly suspect beyond any reasonable doubt. The Executive Associate Dean admits the disciplinary email was written after reading the article and characterized the email as "intemperate." The Executive Associate Dean agreed the email has an appearance of impropriety, based upon its close proximity to the timing of the article, even though he denies that the timing is connected. He characterized the email as "reflexive" and said if he had it to do over again, he would not have sent the email.

2) There is no evidence to indicate that Prof. Wilkes' space was under review for reassignment prior to the date the article was published. Space is always a stressor, but by all accounts Prof. Wilkes has a well-funded research program that warrants the space he is allotted. There is no independent reasoning behind reassigning space at that specific moment in time.

3) There is no evidence to indicate that the Hungarian student exchange and Prof. Wilkes' role as director of global health for UCDHS was under review or had reached a level of poor performance to necessitate cessation at that specific moment in time.

4) By all accounts, there was never any discussion to remove Prof. Wilkes as IOR of Doctoring 4, but the Executive Associate Dean sent a threatening email shortly after the article appeared that Prof. Wilkes should expect further information regarding his role in that course.

5) With regard to Doctoring 3, the information is highly conflicting and complex. On one hand, Prof. Wilkes won an award for his outstanding teaching in 2010 and is highly lauded by his students. The Executive Associate Dean described Prof. Wilkes to CAFR as "a gifted educator who uses technology well." On the other hand, some faculty and administrators had concerns in 2010 that pre-dated the *San Francisco Chronicle* article. The UCDMS has in place numerous faculty bodies that play a role in curriculum and instructors, including an Executive Committee, a Committee on Educational Policy, a Doctoring Steering Committee that meets monthly, and a Doctoring Task Force. The fact that the Executive Associate Dean and the chairs of internal medicine, family medicine, and psychiatry abruptly decided to supersede the normal procedures of faculty shared governance and faculty oversight of administrative actions related to IORs is peculiar. Taking a decision on such a conflicted matter without faculty consultation and doing so on the very day a controversial article was

published is at best very poor leadership, but more reasonably evidence of direct retaliation against Prof. Wilkes.

6) Removal of IOR, space, and a directorship would constitute disciplinary sanctions and stating these sanctions to a faculty member in response to alleged (by other faculty) or perceived (by the Dean) faculty misconduct requires that the administration proceed in accordance with specified campus procedures adopted after appropriate consultation with agencies of the Academic Senate (APM-015, Part III A(1)). No such procedures were followed regarding an evaluation of faculty misconduct. Instead, a final decision was given to Prof. Wilkes at 7:02 am on the very day the article was published.

7) The fact that none of the stated disciplinary actions has actually been carried out demonstrates that they were taken precipitously in the heat of the moment as a retaliatory action. The desire to act out against Prof. Wilkes at that moment trumped due process according to University policy and procedures for disciplining faculty for their conduct.

8) The fact that none of the stated actions has been formally withdrawn in writing (as they were presented in writing) demonstrates that they are intended as a persistent threat. There was no indication given to CAFR that Prof. Wilkes' space or directorship are under formal review. Therefore, continuing to leave these stated actions as they are serves no purpose other than to intimidate Prof. Wilkes.

With respect to the letter written by the Health System Counsel, CAFR finds that the University violated Prof. Wilkes' academic freedom by acting precipitously to threaten potential legal action prior to a full and fair assessment of the facts or any establishment of "actual malice". Contrary to the statement by the Counsel in his letter, CAFR finds that the purpose of the letter requested by Dean Pomeroy was precisely to stifle legitimate public debate and impinge on Prof. Wilkes academic freedom. A key line of evidence substantiating this judgment is that neither Dr. Wilkes' co-author or the San Francisco Chronicle were sent letters by the Health System Counsel, even though they were mutually involved in writing and editing the article. Dr. Wilkes was not a sole author of the Op Ed. CAFR investigated and found out that only Dr. Wilkes was sent a letter. The UC Davis Chief Campus Counsel stated that the letter was intended to only be informational. If that was true, then why not send that information to all parties involved, since they would all bear equal jeopardy? The fact that the letter was only sent to Dr. Wilkes is an inconsistency that presents a strong appearance of impropriety on the part of the Health System Counsel if the goal truly was to be informative. Furthermore, the defamation standard for showing actual malice is high and notably the letter from the Health System Counsel does not address the topic of actual malice, only the presentation of perceived false statements. That is a surprising omission if the claim of defamation is to be taken seriously as informational instead of as a threat. Establishing actual malice would require a more substantial effort than undertaken by the Health System Counsel to determine what prior investigation Dr. Wilkes had undertaken. CAFR was able to establish that Dr. Wilkes did try to investigate the event prior to its occurrence and he did speak to the former football player.

By definition, a threat is a statement of an intention to inflict damage in retribution for something done or not done. The words in the letter exactly conform to that definition, so it is certainly a threat. When a University lawyer sends an official letter on University letterhead to a professor

(excluding his co-author and newspaper editor from similar action) stating that the professor's academic writings or professional expert commentary are potentially actionable under the law and the letter fails to provide the key information that makes the professor's writing "actual malice", then that is absolutely a threat. In fact, since most faculty do not have their own legal counsel, it is essentially a gamble preying on the ignorance of faculty. Further, the letter had an immediate chilling effect upon Prof. Wilkes' willingness to engage in his long-time established practice of providing professional expert medical commentary for various reputable publications, and also his willingness to engage medical students in important teaching dialogue. The effect of the letter has been to suppress Prof. Wilkes' academic freedom and to instill in him a fear of legal retaliation and unemployment if he presents scientifically sound, but perhaps controversial material. This violation was carried out by the UCDMS Dean in demanding the letter be written and the Health System Counsel for writing it.

1) Beyond any doubt, Prof. Wilkes is a scholar with expertise on prostate cancer. APM-010 and APM-015 present no limitation as to the venues, format, or content of scholarly publication and professional expert commentary. Scholarly publications commonly include professional judgments and speculations, which are in due course subject to scholarly discussion and/or critique. Consequently, any article Prof. Wilkes writes on prostate cancer, drawing on any information related to that topic, is scholarly and pertains to his professional obligations acting as a faculty member. University oversight and discipline of faculty as pertains to scholarly writings is governed by APM-015 and 016. Therefore, by circumventing the required venues for oversight and discipline of faculty scholarship, the University violated Prof. Wilkes' academic freedom by sending him a threatening letter on legal affairs letterhead in place of pursuing appropriate investigation and potential discipline.

2) The stated purpose of the Health System Counsel's letter was to take issue with the truth of statements made in the article. That is inherently a scholarly discussion, not a legal one. If the UCDMS Dean wanted to address that, then the Academic Senate is the body charged with evaluating the merit of scholarship. The Health System Counsel is not a scholar on prostate cancer and is not qualified to render a judgment as to the veracity of statements in the article, which is exactly what he did in the letter. The fact that the letter's stated purpose was to render such scholarly judgment is the strongest evidence that the topic at hand was in fact Wilkes' intellectual honesty. Contrary to the claim by the Chief Campus Counsel in the subsequent letter to CAFR, the topic of intellectual honesty is definitely covered by APM-015, which states the ethical principle that professors "accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty." The letter by the Health System Counsel directly accused Prof. Wilkes of violating these ethical principles. As a result, the letter has everything to do with faculty conduct. Therefore, by circumventing the required venues for oversight and discipline of intellectual honesty, the University violated Prof. Wilkes' academic freedom by sending him a threatening letter on legal affairs letterhead in place of pursuing appropriate investigation and potential discipline.

3) In the letter by the Chief Campus Counsel that defended the original letter, the claim is made that faculty members remain subject to compliance with University rules and regulations and that faculty are subject to appropriate administrative actions for failure to

comply with such rules and regulations. Indeed, if a faculty member fails to return a library book they may be disciplined and so on. Unfortunately, neither the original letter to Prof. Wilkes nor the subsequent letter by the Chief Campus Counsel state any specific University policy as having been violated. In fact, no one has ever written or stated a University policy that Prof. Wilkes violated. Therefore, that defense of the letter is baseless.

4) Both the Health System Counsel and the Chief Campus Counsel stated that publicly broadcasting false statements that injure the University's interests and reputations are potentially actionable as a tort. However, the University did not convene a scholarly evaluation by peers in the Academic Senate to determine if in fact any false statements were made or present information to show that the statements rose to the high standard of "actual malice". The choice to not send a warning letter to the *San Francisco Chronicle* and the other author is indicative of the weakness of the potential action. According to legal sources, the fact that the allegedly defamatory communication is essentially true is usually an absolute defense; the defendant need not verify every detail of the communication, as long as its substance can be established. The defendant in this case would be one of the nation's foremost experts on medical ethics- who better to make professional judgments in a public article? This goes to the heart of there being some possibly mistaken statements in the article, as the occurrence of some false statements do not rise to the standard of defamation- a fact that the Counsel chose not to reveal to Prof. Wilkes. Furthermore, legal sources indicate that a public official or entity (even non-governmental) must prove that a libelous statement "was made with 'actual malice'—that is, with knowledge that it was false or with reckless disregard to whether it was false or not" (New York Times v. Sullivan, 376 U.S. 254, 84 S. Ct. 710, 11 L. Ed. 2d 686 (1964)). Neither Counsel made an allegation of actual malice in their letters and it was clear in our communications that Prof. Wilkes was deeply concerned with getting to the truth. CAFR has established that Prof. Wilkes did conduct some investigation about the UCDMS event prior to its occurrence and he was certainly already among the foremost experts on the topic of prostate cancer. Simply not attending the event and being precluded from receiving the powerpoint presentation in advance do not rise to the standard of actual malice. Consequently, it is very difficult for a plaintiff to prevail in a libel action. Knowing that and without providing Prof. Wilkes with any actual information about defamation and the "actual malice" standard, the only reasonable conclusion is that the sole value in making a statement of this nature to a professor is to intimidate and threaten. The failure to follow appropriate procedures, the precipitous timing of the letter, and the low potential for achieving the "actual malice" threshold demonstrate the punitive purpose of the letter as a threat to harm and stifle Prof. Wilkes.

5) The fact that the University would take the position that it is appropriate to take legal action against a professor whose scholarly writing or professional expert commentary is perceived as injurious to University interests and reputation is an unprecedented affront to academic freedom and the people of California. APM-010 states that the University's fundamental mission is to discover new knowledge and to disseminate it to its students and to society at large. APM-010 is intended to protect scholarly publication without caveat as to the subject matter of the scholarship. Circumventing University policy and procedures that serve the University's fundamental mission by precipitously launching legal action or threats thereof is an outrageous abuse of power that undermines the standing of the University in society.

The University ought to abide by its own policies and seek to address allegations of faculty misconduct through its internal procedures prior to threatening or taking legal action.

Conclusions

CAFR finds that Prof. Wilkes was and continues to be subjected to egregious threats and unfounded potential disciplinary sanctions by UCDMS administrators and the UCD Health System Counsel. These threats and potential disciplinary sanctions stem from the perception of faculty misconduct in terms of intellectual dishonesty related to statements made in a newspaper Op Ed he wrote in which a University event was used as a case study to illustrate questionable practices in the health sector. UCDMS administrators stated that they would have preferred that Prof. Wilkes keep the matter internal, but in fact there is no limitation on faculty in presenting their scholarship and professional expert commentary publicly. In fact, faculty are encouraged in policies and practices to demonstrate to students real-world applications of the topics of their scholarship and to get involved in societal matters to bring their professional capabilities to bear on important topics of the day. That is exactly what Prof. Wilkes did. It is not for CAFR to evaluate the merits of the contents of Prof. Wilkes' article, and neither is it for the Health System Counsel or administrators to decide either. Assessment of faculty scholarship, including issues related to faculty conduct are governed by shared governance procedures in APM-015 and APM-016. The timing of the stated sanctions immediately following the publication of the article and other evidence indicate a strong appearance that the two were linked. Further, the emails and letters by UCDMS administrators and the Health System Counsel were so precipitous, beginning with the strongest sanctions at 7:02 am on the very day of publication, that they were without rational scrutiny and lacked evaluation of the facts. The Health System Counsel letter arrived just 19 days after the publication and purports to present a thorough scholarly rebuttal, but without having followed any appropriate procedure for faculty assessment of scholarly content. The letter was only sent to one Op Ed author and failed to present and explain the basis for actual malice. Writing on the letterhead from legal affairs to tell Prof. Wilkes that his scholarly writing was potentially actionable under the law of defamation was a blatant threat intended to damage him and in fact there is little legal potential for successfully pursuing action against a foremost national scholar on the topic of his scholarship to meet the standards for defamation. Finally, the contention that the University may take legal action against faculty for their scholarship or professional expert commentary any time it is perceived to injure University interests and that the University may do so without any faculty consultation regarding matters related to faculty misconduct renders University policy and procedures impotent and alerts society that the University cannot be trusted as a truthful and accountable purveyor of knowledge and services. It is far more injurious to University interests that Prof. Wilkes' scholarship is being stifled through unjust and unreasonable threats of legal action and potential disciplinary sanctions than it is to have society know what Prof. Wilkes' professional judgment is about PSA tests and what his speculations are about any associated University financial motivations.

CAFR recommends to the Academic Senate that the following actions be taken:

1) The Representative Assembly vote to affirm the academic freedom right of Prof. Wilkes and all other faculty to publish scholarly articles and professional expert commentaries that address ethics and societally relevant critiques.

2) The Representative Assembly vote to express severe disapproval in the perspective that the University may take legal action against professors whose scholarly publications or professional expert commentaries may be perceived by University administrators to injure University interests.

3) The UCDMS Dean, UCDMS Executive Associate Dean and Health System Counsel must within 6 months all promptly and publicly accept responsibility for serious errors of judgment, write individual apologies to Prof. Wilkes, and rescinding all disciplinary actions stated, proposed, or taken against Prof. Wilkes.

4) The UCDMS Dean must within 6 months take concrete steps to prevent future violations of academic freedom rights, including training administrators, their staff, and faculty on academic freedom rights.

5) The UCDMS Dean must report back to the Academic Senate 6 months hence about what training activities have been done.

Sincerely,

Committee on Academic Freedom and Responsibility

Unanimous Assenting Committee Members:
Moradewun Adejunmobi, Professor
James Beaumont, Professor Emeritus
Eric Nelson, Graduate Student Representative
Gregory Pasternack, Professor, Chair
Adela De La Torre, Professor
Jane-Ling Wang, Professor

Appendix 1: San Francisco Chronicle Online Article

PSA tests can cause more harm than good
Michael Wilkes,Jerome Hoffman
Friday, October 1, 2010

UC Davis just announced a seminar for the public on "men's health." That title notwithstanding, the program appears to be entirely about prostate cancer and in particular about the prostate specific antigen screening test. Prostate cancer can be devastating, and the PSA is intended to find cancer early - in time to do something about it.

If only it were that simple. Research has shown that there are steps people can take to improve the quality and length of their lives, even before they're having any symptoms. (That's what "screening" for disease is.)

Unfortunately, though, the devil's in the details, and many possible screening programs turn out not to do any good - and in fact some tests like PSA cause harm. That's why virtually all expert public health panels do not recommend the PSA test.

A blood test that isn't accurate can fail to find disease that's present, leading to false reassurance. It can also report disease when it's not really there, leading to unnecessary use of other tests (like biopsy) that are not so benign. Perhaps most concerning, the PSA test frequently identifies something that qualifies as cancer under a microscope but acts nothing like cancer in real life. That is to say, the large majority of PSA-discovered "cancers" would never cause any problem whatsoever if they went undetected.

But because doctors can't tell whether one of these "cancers" is benign (as it usually is), or might occasionally be one of the bad actors, finding something through screening invariably leads to treating it.

Most of the men so treated would have been just fine if they never knew about the cancer. But when they're treated (whether with surgery, radiation or chemotherapy), the majority suffer really life-affecting effects, such as impotence and/or incontinence. That's why both of the two very large trials of PSA screening published in 2009 found no (or at most a tiny) benefit, but a great deal of harm.

Sadly, most men are never told the facts about the test, nor are they encouraged to make their own informed decision. The UC Davis course doesn't even acknowledge a problem with prostate cancer screening. Its expert presenters - including two urologists and a professional football player (!) - will tell you that you need to "know your (PSA) statistics" beginning at age 40. Contrast this to the comments of Dr. Richard Ablin, the inventor of the PSA test, who has publicly called it "a hugely expensive public health disaster," with accuracy "hardly better than a coin toss."

We can't say why UC Davis offers this course that ignore scientific evidence, but we wonder whether it just might have to do with money. Testing for and treating PSA-identified cancer is a large part of the practice of many urologists so it may not be surprising that urology groups take a

far more positive stance on the test than almost any other doctors. They also fund a pro-PSA lobby that now includes the National Football League.

Health care spending is threatening to wreak greater and greater havoc on our economy. That's not to say we shouldn't invest in treatments that lead to improved health, even when they're expensive.

And UC Davis, the NFL and surgical device companies have the right in our society to promote events in order to increase their profits. But we worry when companies and doctors with a conflict of interest sponsor what could be considered an infomercial endorsement to unsuspecting men without telling them they might end up being harmed as a result of a simple PSA blood test.

Michael Wilkes is a professor of medicine at UC Davis, and Jerome Hoffman is a professor of emergency medicine at the University of Southern California. Both are researchers/consultants for the U.S. Centers for Disease Control and Prevention.

http://sfgate.com/cgi-bin/article.cgi?f=/c/a/2010/10/01/EDET1FLK3B.DTL

This article appeared on page A - 14 of the San Francisco Chronicle

DATE: April 23, 2012

TO: Linda F. Bisson, Academic Senate Chair

FR: Academic Senate Task Force on Simplifying the Academic Personnel Process (STAPP)
Jeannie L. Darby, College of Engineering (COE), Civil & Environmental Engineering (chair)
Ahmet Palazoglu, COE, Chemical Engineering & Material Science
Colin Cameron, Division of Social Science (DSS), Economics
Robert Feenstra, DSS, Economics
Phillip Shaver, DSS, Psychology
Walter Stone, DSS, Political Science
Susan Kauzlarich, Division of Math & Physical Sciences, Chemistry
Bryce Falk, College of Agricultural and Environmental Sciences (CAES), Plant Pathology
Rachael Goodhue, CAES, Agricultural & Resource Economics
Kyaw Tha Paw U, CAES, Land, Air, and Water Resources
Hung Ho, School of Medicine (SOM), Surgery
David Rocke, SOM, Public Health Sciences and COE, Biomedical Engineering
Phil Kass, School of Veterinary Medicine (SVM), Population Health & Reproduction
Lisa Tell, SVM, Medicine & Epidemiology

RE: Final STAPP Report

On June 3, 2011, the UC Davis Representative Assembly passed the following resolution:

> *"The Representative Assembly wishes to form a task force to determine the feasibility of potential simplifications of the academic personnel process that will result in reducing the amount of staff and faculty time invested in that process."*

In November, 2011, the Committee on Committees confirmed appointment of members of the Task Force (hereafter referred to as STAPP) listed above. The Committee on Committees "envisioned a draft report for review by the Davis Division standing committees in late March 2012 with a finalized report before the Representative Assembly during the June 8, 2012 meeting." STAPP has met nine times (November 18, December 2, January 13 & 27, February 10 & 24, March 16, and April 6 & 20).

Our charge was challenging due to the complexity of the campus' stated academic personnel policies as well as the wide diversity of the actual academic personnel practices across the campus. The situation is made more complicated by the workload and resource imbalances across the campus.

In its discussions, STAPP drew upon the following documents:

- Report of the Academic Senate Special Committee on Academic Personnel Processes, 7-10-2000 (Attachment 1)
- Delegations of Authority for Academic Affairs Actions (Attachment 2)
- Proposal to Re-Delegate to Departments Routine Merit Actions in the College of L&S, 4-8-10 (Attachment 3)
- Letter from CAPOC to Davis Academic Senate Re. Streamlining the Academic Personnel Review Process, 4-5-10 (Attachment 4a)
- VP-AP Comments on CAP Streamlining Suggestions (Attachment 4b)
- CAPOC Response to VP-AP Comments, 6-28-10 (Attachment 4c)
- VP-AP Phase II Streamlining Academic Senate and Academic Federation Actions, 8-24-10 (Attachment 4d)
- Summary of Streamlined Actions in 2010/2011, (Attachment 4e)
- CAPOC Annual Reports: 2009/2010 and 2010/2011 (Attachment 5a & b)
- CAPAC Annual Reports: 2009/2010 and 2010/2011 (Attachment 5c & d)
- UC Davis Report from the Off-Scale Salary Task Force, 2-24-12 (Attachment 6)
- 2011-2012 Call for Annual Call (Attachment 7)
- UCD-220 APM Section on External Letters (Attachment 8)
- Report of the Special Committee on Student Evaluation of Teaching, 6-11-10 (Attachment 9)

STAPP also invited 17 analysts from the Deans' offices across campus to provide input regarding streamlining opportunities. Eight of these analysts participated in two different interview sessions. STAPP members also interviewed various other UC Davis faculty and Associate and Assistant Deans including UC Davis Vice Provost Maureen Stanton as well as Vice Provost Susan Carlson (Office of the President, Division of Academic Affairs-Academic Personnel) and Vice Provost Janet Broughton (UC Berkeley).

Introduction

As was stated aptly more than a decade ago, in the July 10, 2000, Academic Senate Special Committee on Academic Personnel Processes Report (Attachment 1), STAPP began its discussions with a shared view

"*that the basic structure and philosophical underpinnings of the academic personnel process used at UC Davis are sound. Peer review of faculty performance is one of the foundations of academic excellence and shared governance at the University of California. It ensures equal treatment better than any system depending solely on administrative review. Multiple administrative and peer reviews provide checks and balances that are meant to serve the faculty and the institution well. Multiple merit steps within ranks help the faculty gauge their progress towards major promotions and, in principle, permit them the flexibility to emphasize teaching, research, or service at various times during their career. Finally, the system is flexible enough to accommodate a wide range of interpretations and practices that suit the various needs of all UC campuses."*

Although the University of California has a minimum uniform set of policies regarding review of appointments and advancement of academic personnel to which all campuses must adhere, each campus has developed its own set of policies and practices over time. Davis, arguably, has developed the most complex set of campus policies and practices. For instance, we are the only campus with Faculty Personnel Committees (FPC), which are used extensively here to make recommendations on actions that have been re-delegated to the deans. Other UC campuses handle re-delegated actions directly at the department and dean levels. Further complexity on the Davis campus is introduced through a historical culture of trying to have uniform policies and practices imposed upon a very non-uniform campus community. We are the most diverse campus, with Schools or Colleges of Agricultural and Environmental Sciences, Biological Sciences, Education, Engineering, Law, Letters & Sciences, Management, Medicine, and Veterinary Medicine. A practice that might appear overly burdensome and without merit in relatively large and fully engaged departments in one College/School may be seem indispensable to another College/School.

Finally, our system is further complicated by the need to have fair and equitable review of the large numbers of Academic Federation members. Often the same staff, faculty and administrators work on both Academic Senate and Federation merit and appointment actions. STAPP was not charged with providing recommendations regarding the review process for Academic Federation members and thus this report does not include this topic. However, throughout our interviews with staff and faculty, the need to address the severe workload issues and equity concerns surrounding Academic Federation members has been brought up continually. Although separate efforts to simplify the personnel process are necessary for Federation members, we think that the recommendations provided herein for the regular Academic Senate faculty could serve as a starting point for simplifying those processes as well.

History of Streamlining Efforts

It is clear that many of the academic personnel practices on the Davis campus are unduly burdensome and time-consuming and are particularly problematic in light of ongoing budget shortfalls. A snapshot view of the myriad layers of review and authority for faculty advancement is presented in Attachment 2. Even in the 2000 Academic Senate Report (Attachment 1), during a relatively resource-rich period, the following points were stressed:

- *"The need for increased efficiency of the process is recognized at all levels of the campus.*
- *Review files are too complex for efficient review of either normal merits or promotions.*
- *Some UC campuses use abbreviated procedures for evaluation of normal merit actions.*
- *More re-delegation of personnel decisions is widely supported by faculty, deans, and other administrators."*

Although many of the recommendations provided in the 2000 Report for improving the efficiency of the process were carried out with a beneficial impact, the number of Academic Senate faculty has grown by approximately 25% since 2000 without a corresponding increase in the budget or in staff support. In addition, many of the practices that have developed since 2000

have added significantly to the workloads of staff and faculty without commensurate benefit in terms of quality of the resulting reviews.

STAPP concurs with and has found widespread concurrence across departments and colleges with the statement made in April 2010 from the College of L&S in a memorandum to the Committee on Academic Personnel – Oversight Committee (CAPOC) (Attachment 3):

"The UCD personnel process is cumbersome and replete with duplicated effort. Its wasteful features have come to overshadow the benefits of widely distributed, collective merit evaluations. In the current budget climate we do not have the staff resources to implement it effectively. We face increasing difficulty securing the voluntary faculty time needed to manage it effectively. Movement to on-line systems (e.g., MIV) will only marginally improve this situation. Much of our effort is lost to redundant reviews by multiple groups and individuals to achieve highly predictable results in the great majority of cases. Estimates suggest that the per capita cost of these reviews ($20K each) significantly exceeds the salary increments at stake in the decisions. There are subtle costs as well. The whole system of peer review becomes routinized and, partly from exhaustion, ceases to engage critical faculty attention at the points it is most needed. Peer review itself suffers."

In response to that memorandum and another (copy not found) from former and current chairs and FPC members from the College of Agriculture and Environmental Sciences, CAPOC sent a memorandum to Chair Powell of the Davis Representative Assembly (April 2010, Attachment 4a) stating that "*post-factum audits confirm the widely held impression that, for the majority of routine merit actions, broad agreements exist within and among all reviewing agencies (Department, FPC, Dean, CAP).*" The Annual Reports for CAPOC (Attachments 5a & b) and the Committee on Academic Personnel – Appellate Committee (CAPAC)(Attachments 5c & d) for the 2009/2010 and 2010/2011 merit cycles provide further evidence for this impression, as well as documenting the enormous workload due to personnel actions each year.

A Tale of Phase II Streamlining on the Davis Campus. A brief history and summary of the streamlining action approved and implemented in response to the L&S and CAES concerns described above follow. We provide this example to illustrate the need for the campus to take much **bolder** steps at this time with clearer direction and follow-through than in the past if significant workload reduction is to occur.

In April 2010 CAPOC sent a modest streamlining proposal to the Academic Senate and the Vice Provost for Academic Personnel (VP-AP) (Attachment 4a). Under the proposal, streamlining meant allowing a slightly abbreviated dossier, a shorter department letter, and direct Dean action (omitting FPC review) for normal re-delegated merit actions for every other step at the Associate and Full level. (Attachments 4b & c illustrate some of the CAPOC/VP-AP discussions regarding the proposal.)

As a result of the CAPOC proposal, the VP-AP approved a modified and more modest streamlining plan for a trial period of three years beginning with actions in the Fall 2010 (Attachment 4d, August 24, 2010, Streamlining Academic Senate and Academic Federation Actions – Phase II).

There are five items of interest regarding this recent example of streamlining:

1) A large amount of effort (time spent in meetings and memorandums) went into a very modest proposal.

2) The streamlining applied only to normal actions (no accelerations) for 4 steps: Associate Professor I to II, Professors I to II, III to IV or VII to VIII.

3) The streamlining allowed only the following workload reduction:
   a) A shorter department letter (maximum of 2 pages). This option was already available to any department chair for any action.
   b) An optional rather than a required FPC review. This option has existed for more than 10 years for all first merits after a promotion and thus is only a new form of streamlining for 2 of the 4 so-called streamlined steps.
   c) No need to send hard copies of manuscripts and student evaluations unless requested (this was a significant change).

4) The department vote required by the VP-AP to streamline an action was significantly different than that proposed by CAPOC and was interpreted non-uniformly[1]:

   Proposed by CAPOC: *"If a streamlined action receives equal to or more than 10% negative votes, a recommendation by the College/School FPC will be required. In addition, the Dean may seek advice from FPC regardless of the department vote."*

   Authorized by VP-AP: *Optional review by FPC only if ninety (90) percent of their department colleagues eligible and available to review the file voted positively on the action (i.e., the combination of abstention and negative votes did not exceed 10 percent). Those on an approved leave and unable to review the dossier do not count in these calculations."*

5) Approximately 800 Academic Senate merit actions were considered last year (50% at CAPOC and 50% re-delegated to the dean's level, Attachment 5b). Eight packets were forwarded from departments to the dean's offices under the Phase II streamlining plan. Four of these were considered ineligible because of the interpretation of the voting policy[1] and returned to the departments to re-submit without streamlining. Four others were approved as streamlined actions. (Attachment 4e)

[1] For example, in one case, the department vote was 17 in favor, none opposed and no abstentions. In addition, all Assistant Professors voted and were in favor. However, 6 eligible voters did not vote: 1 was on FPC, 1 was on sabbatical, 2 were 25% appointments and voted only on cases within their group, and 2 did not vote. This case was considered by the VP-AP ineligible for streamlining. Yet in another College, a similar voting pattern occurred and it was considered eligible. There was a difference in interpretation of the 90% rule.

In summary, only four additional cases were streamlined out of approximately 800 actions, and the streamlining consisted of a slightly shorter department letter and direct action by a dean without FPC review, with no need to have hard copies of manuscripts or student evaluations sent forward from the department. All four cases had a 90% positive vote from the eligible department voters who voted and were normal actions. Other similarly strong cases were denied streamlining due to overly stringent rules on voting, but even without those rules, the actual streamlining would have been modest. More staff and faculty time was spent on the "determined to be ineligible for streamlining" actions than the equivalent number of non-streamlined normal actions.

One other example of a streamlining effort on the campus is noteworthy. More than a decade ago, deans were given (and retain) the option to forego FPC review for all normal first merit actions after a promotion. The rationale is that these candidates recently went through a rigorous CAPOC promotion review thus obviating FPC review during the subsequent action. The Colleges of Biological Sciences, Letters & Sciences, and Veterinary Medicine have utilized this option. For instance, this past year, seven first merit actions after promotion went directly to these deans rather than through FPCs (Attachment 4e). Other deans (e.g., Engineering) have never used this option.

Take-Home History Lesson. There is no point in spending time discussing further streamlining or simplifying efforts that are not accepted and uniformly interpreted by administrators. Moreover, even if accepted, streamlining measures that provide insignificant workload reduction or are overly restrictive can end up being counterproductive.

Recommendations

Based on our investigations and discussions, we have developed three sets of recommendations for simplifying the personnel process. These are described in detail below. The first set (Part A) contains two alternate plans for a significant change in our current system of review. The second set (Part B) contains individual measures for minimizing redundant or unnecessary effort in our current system. The third set (Part C) is based on utilizing on-line technology more effectively and includes on-line voting at the department level, on-line student evaluation of teaching, and use of MIV for faculty packets. We propose that each recommendation in Parts B and C be considered regardless of whether Plan 1 or Plan 2 in Part A is implemented.

Part A. Proposed Changes in the Review Process

We propose below two alternative plans for significantly reducing the number of hours faculty and staff spend on advancement actions. We prefer Plan 1 ("Step Plus"), as it will result in much greater workload reduction; however, we provide Plan 2 ("Streamlining Normal Actions") as an alternative in case Plan 1 is considered too much of a change for our campus. Both plans are premised on two key principles: 1) workload involving personnel actions must be reduced to allow faculty to focus on our dual mission of research and teaching, and 2) any change in our current system should encourage, rather than hinder, accelerated merit-based advancement.

Plan 1 (Step Plus). Currently, between 20 and 30% of faculty personnel actions on campus are retroactive or accelerated requests rather than normal two-year (Assistant and Associate) or three-year (Professor) reviews (Attachment 5). This behavior clearly imposes a much greater workload than if faculty went up for review only at the normal fixed time intervals. We think that part of the reason this behavior occurs is because "*faculty salaries at UC Davis are lower than those at other UC campuses and other comparable universities*" (Attachment 6), and faculty have adapted their behavior to counter this fact. It is widely believed, and likely true, that frequent one-year accelerations are more easily obtained in our complex layered review system than multi-year accelerations that skip a step. For example, a faculty member might believe that it is more likely that he/she will receive three one-year accelerations at the FPC level than a single three-year acceleration (skipping a step) via a CAPOC review. He/she may well be right, but such behavior leads to three times the number of reviews and subsequent increases in workload.

Under Step Plus, <u>all</u> reviews, regardless of the strength of the record, would be conducted every two years for Assistant and Associate Professors (up to Step III) and every three years for Associate Professors after Step III and Full Professors. This has been the long-standing policy at UC Berkeley, so it is not novel. Limiting reviews to every two (or three) years would result in a significant decrease in workload. To ensure that merit-based accelerations were not hindered, and were instead encouraged, candidates and departments would continue to prepare the packet and make as strong a case as possible for either normal or accelerated action. <u>All</u> actions, other than promotion, barrier step, or above-scale, would be re-delegated to the deans. Deans would obtain FPC review prior to making a decision.

The FPC would be charged with reviewing the packet and opining on the following options:

- The record warrants normal advancement or
- The record warrants accelerated advancement with a recommendation of how many years the record is worthy of accelerating compared to a normal record (e.g., 1, 2, 3, 4 etc.)

Let's take the example of a faculty member up for department review in the Fall of 2015, for advancement to Step X, effective July 1, 2016. The next two higher steps are Y and Z in this example. If an Assistant or Associate Professor is under review, the record will be for the prior two-year period (July 1, 2013 to June 30, 2015). If for a Full Professor, the record will be for the prior three-year period (July 1, 2012 to June 30, 2015). The department would vote and the packet would be sent forward for FPC review. If after FPC/dean review, normal advancement is recommended, nothing needs to change from our current system. The person would advance to Step X effective July 1, 2016. However, if instead, accelerated advancement is recommended, the following policies would need to be put in place:

For Assistant and Associate Professors:

- A recommendation of a one-year acceleration would result in that person receiving a "merit bonus" check immediately and advancement to Step X.1, effective July 1, 2016. The number 1 indicates the accumulation of one year of "acceleration credit." (Both the "merit bonus" and "acceleration credit" terms will be explained below.)

- A recommendation of a two-year acceleration would result in that person advancing to Step Y, effective July 1, 2016 (no change over current policy of skipping a step except that CAP is not involved in reviewing the packet).

- A recommendation of a three-year acceleration would result in that person receiving a merit bonus check immediately and advancement to Step Y.1, effective July 1, 2016. Again, the number 1 indicates that the person has accumulated one year of acceleration credit.

- A recommendation of a four-year acceleration would result in that person advancing to Step Z, effective July 1, 2016 (no change over current policy of skipping two steps except that CAP is not involved in reviewing the packet).

Faculty seek accelerations for financial gain, but they also seek accelerated action to move up the academic ladder more rapidly so that they can obtain Above-Scale status (Distinguished Professor) before they die or are too old to enjoy that status. Under Step Plus, the merit bonuses for Assistant and Associate Professors would provide the short-term financial gains that are currently provided through retroactive actions and accelerated review periods. The acceleration credits would allow faculty to accelerate up the ladder as described next.

As soon as an Assistant or Associate Professor obtains two one-year acceleration credits (not necessarily in consecutive reviews), that person is automatically advanced an additional step (in addition to the step he or she was already being reviewed for). For example, say Assistant Professor I was reviewed for Step II, effective July 1, 2016, and received one year of acceleration credit as well as a merit bonus check, as described above. Two years later when

Assistant Professor II.1 was reviewed for Step III.1, effective July 1, 2018, he/she was recommended for normal advancement (to III.1). Then, two years later when Assistant Professor III.1 was reviewed for Step IV.1, effective July 1, 2020, he/she was recommended for another one-year acceleration credit. That person then receives another "merit bonus" check and, since he/she has now accumulated two one-year acceleration credits, he/she automatically (without further review) advances to Step V, rather than Step IV.2.

Note that acceleration credits would not allow someone to advance from Assistant Professor IV to Associate Professor I (tenure) (a promotion action) but rather to the overlapping Assistant Step V. Then when the person was promoted, he/she would advance to Associate II, rather than I.

Also note that the amount of the "merit bonus" as well as the pay scale for persons with accumulated "acceleration credits" (i.e., at Steps 0.1) would have to be standardized in some manner that created equivalent financial gains to our current "acceleration in time" system. However, we think those accounting adjustments are quite feasible.

A similar approach, as described above, is proposed for Full Professors, except that the review period would be three years, rather than two, and thus more options for acceleration recommendations must be available, as described next.

For Full Professors:

- A recommendation of a one-year acceleration would result in that person receiving a "merit bonus" check immediately and normal advancement to Step X.1, effective July 1, 2016. The number 1 reflects the accumulation of one year of acceleration credit.

- A recommendation of a two-year acceleration would result in that person receiving a "merit bonus" check immediately and normal advancement to Step X.2, effective July 1, 2016. The number 2 reflects the accumulation of two years of acceleration credits.

- A recommendation of a three-year acceleration would result in that person advancing to Step Y, effective July 1, 2016 (no change over current policy for skipping a step, except that CAP is not involved in the decision).

- A recommendation of a four-year acceleration would result in that person receiving a "merit bonus" check immediately and normal advancement to Step Y.1, effective July 1, 2016. Again, the number 1 reflects the accumulation of one year of acceleration credit.

- A recommendation of a five-year acceleration would result in that person receiving a "merit bonus" check immediately and normal advancement to Step Y.2, effective July 1, 2016. Again, the number 2 reflects the accumulation of two years of acceleration credits.

- A recommendation of a six-year acceleration would result in that person advancing to Step Z, effective July 1, 2016 (no change over current policy for skipping two steps except that CAP is not involved in the decision).

Again, to ensure that deserving Full Professors accelerate up the academic ladder, once three years of acceleration credits accumulate, he/she would be automatically accelerated by one step.

Also, as described above, the amount of the "merit bonus" as well as the pay scale for persons with accumulated "acceleration credits" (i.e., at Steps 0.1 and 0.2) would have to be standardized in some manner that created equivalent financial gains to our current "acceleration in time" system. Such equivalence would require using two instruments: (i) a "bonus" at the time that a one or two-year acceleration is added onto a step increase and (ii) a higher (but appropriate) rate of pay for a step such as X.1 or X.2.

All existing rights of reconsideration and appeal would continue unchanged.

We support the Step Plus plan for four reasons:

1) Step Plus will result in a significant decrease in the number of actions reviewed each year, a clear workload reduction on the part of faculty, staff and administrators.

2) Step Plus provides a greater likelihood that deserving faculty who do not currently put forward their packets for accelerated reviews (because either they are less aggressive or are just too busy) will actually begin to gain the rewards of acceleration (via the "merit bonus" and "acceleration credits") without any additional workload. All packets will be considered for accelerated action at each review. In theory, that is the case today, but in practice most reviewers are too overloaded to take a proactive stance.

3) Step Plus allows all contributions during a review period to be fully accounted for - whether happening uniformly across the review period or occurring all at once at the end of a period. For instance, an award coming at the end of a review period could result in one acceleration credit.

4) Step Plus provides a greater likelihood of uniformly equitable decisions, because all packets will cover either a two-year (Assistant and Associate) or three-year (Full) record rather than the current range of years.

Although this proposal might at first seem a draconian change to UC Davis faculty who over the past decade have become accustomed to being able to put their packet forward on a yearly basis, the concept of being reviewed only every 2 or 3 years is not novel. Limiting reviews to normal time periods would be a truly significant workload savings – to faculty, staff and administrators.

However, STAPP recognizes that Step Plus requires administrative change to award merit bonuses, acceleration credits, and an appropriately adjusted "plus" salary. We also fully appreciate that this plan requires that departments, FPCs and deans take a proactive approach to reviewing each packet as potentially deserving of acceleration. Without these components, the resulting outrage of the faculty, particularly the ones who are most deserving of accelerations, would be tremendous. Currently, accelerations in time, as well as retroactive accelerations, are an important way for faculty to be rewarded for exceptional productivity or excellence. Thus, if Step Plus is initiated, STAPP considers it essential to track the awarding of acceleration credits, merit bonuses, and adjusted salaries and compare these to our historical advancement rates. Clearly any decrease in accelerated movement must result in appropriate and timely corrective action so that Step Plus achieves our dual goals: 1) workload involving personnel actions must

be reduced to allow faculty to focus on our mission of research and teaching, and 2) any change in our current system should encourage, rather than hinder, accelerated merit-based advancement.

Plan 2 (Streamlining Normal Actions). Plan 2 is proposed as an alternative to our recommended Plan 1 and is focused on streamlining the majority of actions. Although a significant percentage of the packets reviewed each year are requests for some type of acceleration, the majority of personnel actions at Davis are normal actions. The vast majority of these normal actions receive positive decisions (Attachment 5) but only after undergoing extensive review. We think much of this review is a massive waste of time. Plan 2 would not result in decreasing the number of personnel actions (as would Plan 1) but would streamline the actions that do occur and would decrease the workload that each action created.

Currently most non-promotion actions on the Davis campus have been re-delegated to deans. We consider the decentralization that has occurred over the past 15 years a positive trend. Deans have full authority for making decisions on these re-delegated actions. They receive input from FPCs but deans have the authority to make the decision regardless of the FPC recommendation. For the majority of departments on the Davis campus, the department members and the chair do an excellent job of reviewing and presenting the case.

Under Plan 2, we recommend that, for the most part, all normal actions (in which no acceleration is being requested) would go directly to the dean, without FPC review. Davis is the only campus that utilizes FPCs. If a dean thinks that he/she needs more input, he/she has the option of requesting FPC review. Under Plan 2, we are not suggesting that FPC be abolished, just used more judiciously. It appears that deans believe that a positive vote from both a department and the FPC allows the dean (or a surrogate) to spend significantly less time on the evaluation of a file. However, the workload on others (FPC and staff) is higher and the time to decision is longer. Sending a file to FPC before review by the associate dean/dean requires a large multiple of extra faculty hours compared to the extra associate dean/dean hours of review that would be required without prior FPC review. This behavior implicitly values faculty time at a small fraction of administrator time, a valuation we reject.

We understand that there are important situations where FPC advice is helpful, such as when a department is small or unengaged in reviewing their colleagues or when the department vote is mixed or even negative. We also understand that FPC advice can be important for all faculty at key times in their career, such as prior to tenure, or mid-way through the Associate ranks or prior to Step VI advancement. These are times when faculty members could benefit from constructive comments from colleagues (i.e., FPC) outside of their department. Furthermore, when a dean is considering a negative decision, a review by FPC is considered essential. Under Plan 2, we recommend that campus policy be changed such that FPC reviews would be required only in these situations and that the deans expedite all other re-delegated actions.

Part B. Individual Recommendations for Streamlining by Removing Unnecessary Effort
The recommendations described below are individual measures to reduce the unnecessary redundancy in our current personnel practices that do not require a major change in our current system. There is a general and clear consensus that we spend too much staff and faculty time on redundant reviews, letters and reports and copying of material. Implementation would be

relatively easy and rapid with sufficient leadership at the level of the Vice Provost's Office for Academic Personnel and the Dean's offices. All of these recommendations have been suggested by previous committees at one time or another on campus but have never been fully supported by administrative leadership. We offer them again herein. The actual workload reduction is not anticipated to be as great as for either Plan 1 (Step Plus) or Plan 2 (Streamlining Normal Actions). However, faculty and staff morale would be improved due to a visible and immediate lessening of wasted efforts. Each recommendation is distinct and not dependent on the other recommendations. Pilot trials are neither necessary nor useful.

1. Retroactive Actions. One-year retroactive actions should no longer go to both FPC and CAPOC, as these actions are workload intensive. These actions should be decided at the dean's level, similar to accelerations that do not skip a step.

2. Reduction of copying of materials that are rarely read downstream of the department. For re-delegated actions (not seen by CAPOC), copies of student evaluations and publications should be kept at the department office and sent forward only if requested. In the future, use of MIV could allow the creation of hyperlinks to electronic manuscripts as well as electronic student evaluations, but meanwhile we recommend abolishing the requirement for sending hard copies forward unless requested.

3. Minimize repetition of parts of department letters in deans' letters. The 2011-2012 Annual Call (Attachment 7) states clearly that "CAPOC has agreed that if the Dean concurs with the department recommendation, the reviewing Dean may opt to write a statement indicating that he/she has reviewed the dossier and agrees with the recommendation" (in lieu of writing a detailed letter, unless there is new information to add to the dossier or the dean has constructive advice for future personnel actions). We strongly support this recommendation and hope that deans are taking advantage of this reduction in unnecessary workload. It does not appear to be the case in the most recent cycle. For cases in which a dean disagrees with the department assessment, a complete letter would still be written.

4. Minimize repeating of parts of department letter in FPC letters. Require each College, School or Division to develop a one page form for re-delegated actions to be used if the FPC is consulted and agrees with a positive department recommendation for a normal advancement. In these cases, no FPC letter or case summary would be written. In cases where the FPC disagrees with the department assessment or has additional constructive comments to add, a report would still be written.

5. Take advantage of existing streamlining already available. Encourage deans to omit use of FPC review in first review after a promotion. This option already exists on campus (with the rationale that these cases recently went through rigorous CAPOC review) but not all deans use it, with the excuse that their workload is heavier than that of FPC. We do not think it is an effective use of faculty time to review non-problematic normal cases to save administrator time.

6. Abolish or severely modify the "return-to-scale" policy by allowing deferrals or declined merits without risking off-scale salary. The "return-to-scale" policy can create perverse

incentives both for individual faculty as they contemplate their next merit and/or promotion, and for faculty colleagues voting on these actions. Faculty might hesitate to vote no when such a vote means a sizeable salary reduction for a colleague.

7. Contributions to Publications. Some faculty are expected to list the contributions of all authors to a manuscript while other faculty are expected to describe only their own contributions to a manuscript. For collaborative research with many authors, we strongly contend that the latter approach is most sensible and will prevent introduction of incomplete and erroneous information into the merit dossier. Provide clearer guidance on this requirement so that staff and department chairs do not require useless, and potentially counterproductive, effort from faculty.

8. Action Tracking. Allow department chairs to view "Action Tracking." Allowing this access will increase transparency in the review process (e.g., time to decisions at various levels) as well as provide answers to faculty and staff questions more efficiently and quickly. There is no reason not to trust department chairs with this access.

9. External letters. Although external letters are valuable for appointment and promotion actions, obtaining them requires significant effort, particularly from chairs and staff. We have several concerns regarding external letters, as explained below.

   a) Inconsistencies. There exists a great deal of inconsistency in the practice of obtaining these letters and in the interpretation of what is and is not required; this lack of clarity results in unnecessary workload and possible equity concerns. The 2011-2012 Annual Call spells out the definition of "arm's-length" letters and the required percentage of "arm's-length" letters (Attachment 7). However, this information is somewhat at odds with that found in the APM (Attachment 8), and we found widely different interpretations of the policies in practice. We recommend that the VP-AP office or CAPOC develop and disseminate clear guidance for external letters to reduce both workload and unfairness Some, but not all, of the consistency issues include:

   - Differences in the number of letters required (we recommend six).
   - The fact that some chairs require all the letters to be arm's length, whereas other chairs require only that the department-selected letters be arm's length (causing an inequity issue). We recommend a minimum of 3 arm's-length letters, clearly identified as such.
   - Differences in the number of reviewer names that the candidate must provide to the chair, from which the chair selects some percentage (we recommend the candidate provide at least 4 names and the department selects at least 3 of those).
   - For appointments, apparently some departments are required to obtain arm's-length letters after the department has voted to rank the candidates. This practice has no value and should not be used.

   b) Value of letters for Step VI action. We note that UC Berkeley does not obtain external letters for advancement from Step V to VI, nor does the UC APM require such letters. We have found that colleagues at non-UC campuses do not understand the V/VI barrier, and there is a substantial "cost" to requesting in-depth reviews from esteemed colleagues

at other Universities when the value of review is not apparent to them. Moreover, it is unclear that the letters themselves are of significant value to reviewers on this campus. We recommend therefore that the VP-AP consider abandoning our campus' requirement for these letters. Under such a policy change, CAP would still maintain its authority to request external letters if appropriate for particular situations.

Part C. Improved use of on-line systems. Recommendations in Part C have already been implemented by various departments on this campus and by many campuses across the U.S. They seem to be low-hanging fruit that we should immediately and proactively pursue across the campus. Past examples of success (and failure) should be considered in implementation. IT resources will have to be provided to initiate the processes. At a minimum, the campus should investigate and/or invest in the following practices, which have already proven valuable for many departments (and campuses):

1. Secure on-line voting. The voting process at the department level, and the recording of the votes and comments, entails a significant workload. Some departments use on-line voting for personnel actions, rather than paper ballots. These departments have indicated that the transition was easy and has resulted in significant workload reductions for both staff and faculty. Both votes and comments are electronically captured and easily made part of the department letter. The confidentiality of the voting process is as secure as it was for paper voting. We recommend that all departments be provided with the IT resources necessary to move to electronic voting as soon as possible. This transition can happen immediately; it does not have to be coupled to MIV use (but could be so coupled eventually).

2. Secure on-line student evaluations of teaching. One significant workload for departmental staff is the tabulation of student evaluations of teaching each quarter. Some departments have students fill out teaching evaluations on-line. The June 11, 2010 report of the Special Committee on Student Evaluation of Teaching developed a set of recommendations for the implementation of online evaluations that allow for protection of student and faculty rights (Attachment 9). We recommend that the campus move to investigate a campus-wide system for having students complete teaching evaluations on-line rather than through the current hard copy system. This change would result in a significant workload savings and would likely increase the value of the evaluations themselves because they could be correlated more readily with other parameters (such as prerequisites).

3. Use of MIV. Although increased use of MIV for faculty personnel actions on the campus is acknowledged to be inevitable as well as potentially of great eventual benefit, there are still many departments that have little or no familiarity with the system and have no resources to use it effectively. Provide resources to train targeted staff to use MIV effectively. Identify the existing staff who have become experts in MIV and utilize their skills to train others. Support programming and IT infrastructure for each college to make MIV more user-friendly for staff, voting departmental members, and reviewers. Continue improving MIV based on staff and faculty input. It would be ideal if resources could be made available to encourage collaborative efforts between units with little MIV experience and units with existing MIV experiences so that units would not need to re-invent the wheel.

REPORT
of the
ACADEMIC SENATE SPECIAL COMMITTEE ON ACADEMIC PERSONNEL PROCESSES

July 10, 2000

INTRODUCTION

On December 10, 1999, the Executive Council of the Davis Division of the Academic Senate directed the Special Committee on Academic Personnel Processes to review faculty salaries and all academic personnel policies, procedures, practices and outcomes on the Davis campus. The goals of these reviews are to understand why the Davis faculty has been among the lowest paid of those in the UC System and to make recommendations for improvements in the quality and efficiency of our academic personnel system. Appendix I contains the complete charge to this Committee together with brief responses to the questions posed in the charge. Appendix II describes the processes that the Committee used in its deliberations and includes a list of written documents consulted.

We affirm that the basic structure and philosophical underpinnings of the academic personnel process used at UC Davis are sound. Peer review of faculty performance is one of the foundations of academic excellence and shared governance at the University of California. It ensures equal treatment better than any system depending solely on administrative review. Multiple administrative and peer reviews provide checks and balances that are meant to serve the faculty and the institution well. Multiple merit steps within ranks help the faculty gauge their progress towards major promotions and, in principle, permit them the flexibility to emphasize teaching, research or service at various times during their career. Finally, the system is flexible enough to accommodate a wide range of interpretations and practices that suit the various needs of all UC campuses.

We have found abundant evidence, however, that our practices are placing the system under stress, that they cause widespread and unnecessary morale problems, and that they have caused injustice to individuals. Faculty dissatisfaction is not limited to those directly affected by negative decisions, but is also evident in the serious concern expressed by many successful faculty for those whom they believe have been treated badly. The practices that concern the faculty have contributed to a climate of mistrust, much of which is focused on the Committee on Academic Personnel (CAP). However, it appears to us that a more pervasive culture of mistrust has evolved that infects all levels of the personnel process and that this mistrust has led to an unnecessary and detrimental polarization of the campus.

The goal of this Committee is to recommend changes in our personnel practices that will help recreate a supportive environment that encourages academic excellence. We hope that, together, the faculty and administration can revive a spirit of generosity and mutual support. There are few faculty who undertake more burdensome service than those who serve on personnel committees and we owe these faculty an immense debt of gratitude. Nevertheless, it is unlikely that any improvement will occur if significant efforts are not made to change the procedures followed by our personnel committees and the ways in which they interact with and are perceived by the faculty. It is equally clear that our recommendations will require the faculty to re-establish their proper role in the University by taking increased and more effective responsibility for peer evaluation and shared governance.

Summary of Findings

Our major findings are summarized below. Brief responses to questions posed in the charge to the committee may be found in Appendix I and additional findings are listed in the section on Discussion and Recommendations.

1. Average salaries at UC Davis are among the lowest in the UC system.

2. The personnel system at Davis is the most rigorous in the UC system, as measured by denial rates for personnel actions that leave the department.

3. The average step of Full Professors at Davis is the lowest among all UC campuses.

4. A significant fraction of faculty at Davis is not making normal progress.

5. The Committee on Academic Personnel overturns recommendations from lower levels at higher rates than on other campuses.

6. There is a lack of clarity in standards, as indicated by the frequency with which different decision-makers disagree on the same action.

7. Many faculty, including those making normal or better than normal progress, are dissatisfied with the personnel system due to perceptions of unfairness.

8. The current climate is not a recent phenomenon, but has evolved over many years.

9. There is widespread support for increasing rewards for the very best faculty.

10. There is almost unanimous support for streamlining the personnel system.

Summary of Recommendations

The most important of our recommendations are listed below and clarified and expanded in the section on Discussion and Recommendations.

1. The Committee on Academic Personnel (CAP) should endeavor to play a positive and supportive role in our personnel process.

2. CAP should evaluate personnel actions on the basis of recommendations and evidence provided by other levels of the review process.

3. Only in unusual circumstances should CAP undertake independent evaluations of review files or overturn unanimous or nearly unanimous recommendations of prior reviews. CAP should make every effort to reconcile conflicting recommendations by consulting with departments, deans, and *ad hoc* review committees, as appropriate.

4. CAP should consult regularly with the Executive Council of the Academic Senate on pending policy matters.

5. The Academic Senate should decide whether the duties of CAP should include "initiating new policies."

6. CAP should be responsible for making recommendations about personnel actions in which the campus has a compelling interest such as appointments, appraisals of Assistant Professors, promotions and merit actions requiring extramural review.

7. All other merit actions should be re-delegated to the Colleges and Professional Schools.

8. Ad hoc review committees should be expanded to five members, including a departmental representative.

9. Documentation in review files should be streamlined.

10. CAP should adopt procedures by which members with a conflict of interest are recused.

11. The Committee on Committees should appoint a *Shadow* CAP to make recommendations on appeals of personnel actions and on actions involving members of CAP.

12. 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.

13. Each department should be requested to provide a written summary of the nature of scholarship within their academic discipline and their own criteria and standards for the evaluation of faculty performance.

14. 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.

15. The campus should adopt the policy of comparing our salaries with institutions whose reputations we wish to emulate.

DISCUSSION AND RECOMMENDATIONS

Salaries

A detailed analysis of salary information is presented in Appendix III: Comparison of Salaries at UC Davis with Other UC Campuses. Our analysis of salary and rank/step information demonstrates that:

- Salaries at Davis are among the lowest in the UC system.
- Salaries have decreased markedly relative to institutions with the best academic reputations.
- Salaries have decreased markedly relative to those at UCB, which are the highest in UC.
- Professors at UC Davis are essentially the same age, but at lower average step than at all other UC campuses, and 2 steps lower than at UCB.
- The lower average step of Professors at Davis explains most of the salary differences compared to UCB and other UC campuses.

Salaries at Davis are generally second or third from the bottom of the eight general UC campuses. Salaries at Davis also are, with two exceptions, significantly below the eight campus average when compared on the basis of discipline. Compared to salaries at Berkeley, the salary differential has increased significantly over the past 20 years, and the salary gap increases with increasing rank. Present salary differentials at the Assistant Professor level suggest that further separation can be expected in the future. Comparing all faculty by rank:

- Full Professors at Davis earn 84.4 % of those at Berkeley
- Associate Professors at Davis earn 91.5 % of those at Berkeley
- Assistant Professors at Davis earn 91.4 % of those at Berkeley

We have investigated several factors that could account for differences in salaries: campus reputation, initial appointment level, use of off-scale salaries, age of faculty, and rates of advancement. Neither policy statements nor data are available that would establish the significance of cost of living as a factor in the salary differential. Our analysis suggests that:

- Average salaries of the eight general campuses, the comparison eight universities and other research universities tend to reflect the order of academic reputation.
- Levels of initial appointment level are lower at UCD than at UCB. This reduces the average salary of the campus because more faculty are at the lower levels and take longer to reach the higher levels.
- Davis has the fewer faculty with off-scale salaries than the other UC campuses.
- The average age of faculty at each level varies only slightly among the campuses. Age does not appear to be a significant factor in the salary differential.
- The rate of advancement at Davis is slower than the normative time at every level and is most pronounced at the Full Professor rank.
- At the Full Professor level approximately 85% of the salary differential with Berkeley can be attributed to the differences in step distribution. Differences at the Associate Professor level are affected by both the step distribution and off-scale increments. At the Assistant Professor level, the off-scale component is the dominant factor contributing to salary differences.

We recommend that UC Davis adopt policies that will create a positive and supportive environment in which excellent faculty will thrive. Salaries are lower than elsewhere, in large part, because faculty at Davis are both appointed at lower rank and advance more slowly than at other campuses. The comparative difficulty of advancing through the ranks at Davis is disturbing because our ability to compete for the best faculty is ultimately related to our attitude toward supporting their endeavors and rewarding them. This situation is within our power to change, as individuals, by taking steps to ensure that we are worthy of advancement, and collectively, by

creating a culture in which standards are clear and faculty are appropriately rewarded for their efforts. Many of the recommendations we offer in the remainder of this report are designed to help create just such a positive environment.

We recommend that the campus adopt the policy of comparing our salaries with institutions whose reputations we wish to emulate. A recent report describes salaries at Davis as "fully competitive" (UC Davis: Growth & Academic Planning Opportunities & Challenges, The Office of the Provost and Executive Vice Chancellor, which may be found at http://provost.ucdavis.edu /presentations/growthandplanning/sld027.htm). In fact, the data we have consulted show that our salaries are among the lowest within UC and are much lower than at many highly ranked institutions. This is significant because we compete for faculty with many nationally ranked universities, most of which are not UC campuses. The responsibilities and goals of state and private universities differ. Nevertheless, if UC Davis aspires to be among the best of academic institutions, it must measure its progress against the very best, not against institutions that are struggling or that have fading reputations. Such a policy would send a very clear message about our goals and aspirations, about our focus on excellence, and about our determination to reward excellence on our own campus.

Personnel Process

The Role of CAP: Transforming the Culture

Our discussions and interviews lead us to find that:

- The Committee on Academic Personnel (CAP) should ask for guidance from the Senate in defining tasks beyond those explicitly stated in the by-laws.
- Any CAP, however constituted, will lack the expertise to make systematically sound, independent evaluations of scholarship for a faculty as diverse as at UC Davis.
- Research and scholarship should be evaluated as close to the source of disciplinary expertise as possible.
- The role of CAP should be to monitor and evaluate the evidence and recommendations presented by other review agencies. CAP should undertake totally independent review only in unusual circumstances.

We believe that CAP needs to be the voice of the faculty in the personnel process. It is, first and foremost, a committee of the Academic Senate that should seek advice from its constituency and be responsible to it. CAP should look for ways to reward our best faculty, to encourage all faculty to do their best work, and to support creatively those faculty who are struggling. When decisions are positive, it should be the role of CAP to offer congratulations on a job well-done. When previous reviews offer conflicting advice, it should be the role of CAP to reconcile the various parties to the review. Premature inclusion of the candidate in the reconsideration process should be avoided. When negative recommendations are unavoidable, CAP should specify, as clearly and unambiguously as possible, the grounds for the negative decision and, if appropriate, offer clear guidelines for a positive action in the future. If clear guidelines cannot be given, then perhaps personnel committees should reconsider their recommendation. In short, we imagine a CAP that plays a positive and supportive role in the personnel process.

For many years, CAP has interpreted its charge to include "independently evaluating the dossiers of the candidates under consideration." Indeed, such an activity is within the charge specified in Davis Division By-law 43 (B1): "To make recommendations to the Chief Campus Officer regarding ... promotions, merit increases, ... and related matters." Unfortunately, the way in which CAP is perceived to carry out this mission has caused significant controversy. The crux of

the matter is that CAP has attempted on numerous occasions to form independent judgments of the quality of scholarship and the nature of appropriate scholarship, teaching, or service that differ from the advice of departments, deans, *ad hoc* review committees and/or external referees. We suspect, and many faculty are convinced, that serious injustices have occurred as a result. We believe that scholarship is best evaluated closer to the source of expertise than at CAP. In fact, it is unlikely that any CAP, however constituted, routinely can render sound, independent judgments about the quality of scholarship.

CAP has also interpreted their charge to include "initiating new policies and changes in existing policies when appropriate." In comparing the Systemwide and Davis Division Bylaws, it is clear that the major duty of the Systemwide CAP is to focus on policy issues. There is no language in the Davis Division Bylaws that suggests CAP may initiate new policies without seeking advice from their constituency. Certainly some changes in policy recommended by CAP, without adequate notice to the faculty, have caused significant hardship and controversy (e.g. merit reviews for Associate Professor, Step IV).

Other activities that have caused significant concern include penalizing candidates for the quantity or kind of their assigned teaching, professional activities, or administrative duties. The kind and amount of teaching, professional/clinical activities, and administrative duties undertaken by a faculty member are assigned by a department chair or dean. The quality of such activities should be evaluated at all levels of personnel review, but the amount and kind of these activities are matters of policy that are negotiated with chairs and deans. Although CAP may properly disagree with a policy, it is inappropriate that any personnel committee criticize or penalize an individual faculty member for activities that have been negotiated with the responsible authorities within the University. In no circumstance should individual faculty be made to bear the burden of disagreements about policy between a personnel committee and the responsible administrators.

There is a widespread belief among faculty, chairs and deans that the comments returned to candidates by CAP and local personnel committees are destructive and create serious morale problems. Remarkably, even on positive actions, comments by personnel committees are commonly viewed as demeaning or insulting and it has been suggested that such comments have led to recruitment and retention problems. This issue is a particularly emotional one, and appears to represent an important source of dissatisfaction with the current merit and promotion system.

It is difficult to explain these perceptions or to recommend a solution. The problem has probably been exacerbated by the change in policy by which faculty now receive copies of the comments, rather than verbal summaries provided by their Chairs. Much of the problem may be that the comments are used for two incompatible goals: the comments need to provide useful advice to the candidate, but also need to be frank and honest in summarizing the case for the Chancellor. It appears that we as a campus have not yet achieved the difficult but necessary balance. Written comments should be straightforward, factual, balanced, and unemotional. Positive and negative aspects of the package should be given appropriate weight and discussion. Suggestions for changes in faculty priorities or conduct should be very clearly defined, but we note that no defined mechanism exists to insure that a future personnel committee will agree with those suggestions.

It is our view that the proper role of CAP is to supervise the personnel process in such a way as to ensure fairness and to ensure that the standards of review meet the criteria outlined in the Academic Personnel Manual. In doing so, we expect CAP to rely primarily on the evidence and recommendations provided by other review agencies: departments, deans, *ad hoc* review committees, and extramural referees. Only in unusual circumstances should CAP undertake its own independent analysis of the candidate's review package. If prior reviews provide conflicting advice, CAP should conduct joint discussions among the parties to the review in order to reconcile the different positions and reach the strongest possible decision. This approach contrasts with the present hierarchical procedure in which CAP substitutes its own recommendation for those with

which it disagrees. In order to preserve morale, a candidate should be asked for further information only if such reconciliation proves not to be possible. In general, we believe that the most appropriate role for CAP is to review the case for the proposed action that has been prepared by other review agencies. If CAP were to adopt this premise as the basis of its recommendations, we believe that the University and the faculty would be well-served.

We recommend that:

- The Committee on Academic Personnel evaluate personnel actions on the basis of evidence and recommendations presented to it by other review agencies.
- CAP undertake independent evaluations of review files or overturn unanimous or nearly unanimous recommendations of prior reviews only in unusual circumstances. CAP should make every effort to reconcile conflicting recommendations by consulting, as appropriate, with departments, deans, and *ad hoc* review committees.
- The Committee on Academic Personnel consult regularly with the Executive Council of the Academic Senate on pending policy matters.
- The Committee on Academic Personnel (CAP) ask for guidance from the Senate in defining tasks beyond those explicitly stated in the by-laws.
- The Academic Senate decide whether the charge to the Committee on Academic Personnel includes "initiating new policies."

There are no activities more important to the University than ensuring that it appoints and retains the best possible faculty and that it is meeting its obligations for research, teaching and outreach. Our personnel process should focus first, and foremost, on those steps that are most critical for ensuring the appointment and retention of the best possible faculty.

We recommend that CAP remain responsible for making recommendations for:

- Appointments above the level of Assistant Professor, Step III, as currently described;
- Fourth-year review of Assistant Professors
- Promotions to Associate Professor with tenure;
- Promotions to Professor, and merits to Professor, Step VI, and Professor, Above Scale.

It is essential that the Committee on Academic Personnel render the best possible advice to the Chancellor regarding these critical decisions. Our success in making recommendations on these actions will determine the future of the University and its ability to build a truly distinguished faculty that offers the best possible academic program in support of the missions of the institution. The appointments and tenure decisions are essential for attracting the best possible faculty and the higher level decisions will play a significant role in determining whether we are successful in encouraging and retaining our best faculty.

Criteria for Evaluating Faculty Performance

Criteria for faculty rewards are explicitly stated in APM 210-1-d (See Appendix IV) and include evaluation of faculty performance in the areas of: (1) teaching, (2) research and other creative work, (3) professional competence and activity, and (4) University and public service. Our investigation of the personnel process at UC Davis suggests that:

- The relative emphasis placed on research and teaching is appropriate for our campus.
- Personnel decisions are not currently made with the flexibility mandated by the APM.
- Academic leadership, especially by department chairs, is not appropriately recognized and rewarded.
- Decisions reflect an insufficiently broad view of the nature of scholarship.
- There is little consensus about appropriate rewards for some forms of research and creative activity and for some professional activities.

The criteria for faculty rewards are outlined in the Academic Personnel Manual and have served the faculty and the institution very well. *"Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions."* (APM 210-1-d). Although faculty opinion remains divided on the question of whether teaching is given too much or too little weight in the academic personnel process, we believe that the relative weights accorded research and teaching at Davis are appropriate for the mission, status and goals of the campus.

The APM (Section 210-1-d) also emphasizes the need to interpret the criteria flexibly, without relaxation of standards:

> *"In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another....As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility....Consideration should be given to changes in emphasis and interest that may occur in an academic career."*

An eloquent statement of the need for flexibility in our interpretations of the criteria can be found in the Pister Report (Report of the Universitywide Task Force on Faculty Rewards, June 1991, Karl S. Pister, Chairman). Indeed, the language of the APM was modified to reflect virtually all of the recommendations of that task force (see Appendix IV: Analysis of the Pister Report).

There is widespread concern on our campus that personnel decisions are not made with appropriate flexibility. The lack of flexibility is manifested in several ways, the most obvious of which is the persistent failure to appreciate the role of academic leadership and to reward it appropriately. This has been especially a problem for department chairs, but also for others in leadership roles. A great University needs the academic leadership of faculty who are fully engaged in the intellectual life of their discipline and the University. In order to provide that leadership, a fully engaged member of the faculty necessarily must devote less time to the research and teaching that are the foundation for advancement within the University and for achieving distinction within their discipline. However, the APM gives explicit recognition to the concept of substituting temporary service for other activities: *"...reduced activity in these areas [research and teaching] that results from active service as a department chairperson should be recognized as a shift in the type of academic activity pursued by the department chairperson rather than a shift away from academic pursuits altogether."* (APM, Section 245-11).

Unfortunately, the bias against service in our academic culture is so strong that the faculty finds it difficult to encourage or to recommend rewarding effective service. This bias is recognized in the need for the campus to emphasize that academic leadership may be substituted for reduced research activity for [only] one merit cycle (see Annual Call, 1999). The very need for such a statement of policy denigrates the intellectual contributions of good academic leadership with an implicit presumption that there is no significant learning period required or that leadership does not have a significant scholastic component that may temporarily substitute for other scholarship. Most chairs would strenuously reject the notion expressed by faculty and even by former members of CAP that chairs are already compensated for their efforts because they receive a small stipend. It is not only appropriate, but a fact of academic life, that teaching and research should remain the principal criteria by which we are judged. However, it seems probable that our cultural bias against excellent service will never be overcome and that other remedies should be sought.

We recommend, therefore, that 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. It is essential to the success of the research and outreach missions of the University, that we provide an additional mechanism by which our best faculty, who have devoted significant time to service, may restore the vigor of their research and creative activities. The current Faculty Development program and the possibility for minor administrative leave are useful, but simply inadequate. We suggest that a strong program of this sort would permit our best faculty to undertake heavy service and administrative positions with full confidence that they would be able to recover from the necessary delay of their scholastic endeavors. The University would be better for their service and for their efforts to restore their research activity.

The need for more flexibility in our personnel decisions is also evident in the lack of clarity of standards by which we evaluate research and creative activity and professional competence and activity. There are major differences of opinion throughout the academic community on such issues as: the role of clinical work in the academic setting; how best to evaluate integrative, interdisciplinary, multi-disciplinary, and applied scholarship; the appropriate way to evaluate new and emerging disciplines without infringing academic freedom; how best to compare faculty in the same discipline who have different emphases on applied and basic research. These differences of opinion are commonly manifested in the context of a particular personnel action. Indeed, policy is sometimes made on an *ad hoc* basis by holding individual faculty responsible for disagreements between the deans, chairs, and CAP. This process fuels the perception that standards fluctuate from year to year as the membership of personnel committees changes. The Pister Report took an appropriately broad view of the nature of scholarship in recommending flexibility, but it is not clear that any such broad view governs our personnel process. We believe the faculty must re-examine and articulate the nature of their scholarship and the appropriate weights to be given to their mandated activities. Recommendations concerning this re-examination are considered below, together with other measures designed to clarify standards for advancement.

Clarification of Standards

Our findings about the personnel process and the ways in which decisions are made are based on analyses described in four Appendices:

Appendix V: A Comparison of the Personnel Processes at UC Davis and Other Campuses;
Appendix VI: A Comparison of Personnel Decisions at Davis and Other UC Campuses;
Appendix VII: Analysis of Detailed UCD Personnel Data, 1998-1999.
Appendix VIII: Time in Rank and Step at UC Davis

- Faculty advance more slowly at Davis than at other UC campuses.
- Denials of personnel actions at UC Davis occur at higher rates than at other UC campuses. For example, UC Davis CAP denied 30 of 98 merit actions that it considered without an *ad hoc* committee, whereas at Berkeley only 5 of 400 merits were denied.
- All review agencies above the department level, except the Chancellor, contribute comparably to the overall rate of denial (19%).
- Rates of disagreement of 10% or more with the preceding step in the review are not uncommon.
- CAP overturns 19% of the recommendations made by the deans.
- The Chancellor overturns CAP recommendations at higher rates than at other UC campuses, usually in favor of candidates.
- These data suggest a tumultuous personnel process in which standards for advancement are unclear or interpreted differently by equally competent review agencies.
- Davis is more conservative than other UC campuses and clarification of standards is needed.

Faculty at UC Davis advance more slowly than at other UC campuses as reflected in rejection rates that are for the most part higher than at all other UC campuses (cf. Appendix VI). However,

we are unable to determine the extent to which these differences may reflect differences in personnel practices at the department level, for which no data are available. As shown in Appendix VIII, most of the delay occurs in the Associate and Full Professor steps. Even after excluding faculty who have failed to advance to Professor and Professor, Step VI, the average Associate and Full Professor makes less than normal progress through the steps. This failure to make normal progress is troubling and may account for an important part of the salary differences with respect to UC Berkeley and the other UC campuses.

We believe that the high rates of disagreement found at all steps of the review process reflect a lack of clarity about appropriate interpretations of the standards for excellence in the APM. Faculty, department chairs, local personnel committees and deans all have registered concern about expectations that appear to fluctuate with unpredictable frequency and amplitude. This uncertainty about the interpretation of research, teaching, and service efforts is detrimental to the University, to effective personnel decisions, and to faculty morale. We believe that the campus must clarify the performance expectations of faculty and we outline below several ways in which we believe this can be accomplished. In order to be effective, any such clarification must begin with the faculty.

Re-examination of Personnel Practices. *We recommend* that each department or program be requested to undertake a re-examination and articulation of the nature of its scholarship and of its practices for the evaluation of faculty performance. The goal of this exercise is to articulate the standards and practices of the department so that both candidates and persons evaluating the candidate have a clear view of performance expectations. After appropriate discussions, we expect that the statements will become the basis for interpreting excellence as defined by the APM and will become the detailed standards for evaluating the performance of faculty. These statements should be statements of the nature of scholarship, which is a matter of academic freedom, and a summary of standards and practices for evaluating performance.

We recommend that this re-examination should take the following form:

- Each department should write a short two- or three-page statement that focuses on practices for evaluating faculty performance and scholarship.
- The statement should reflect the highest standards of the academic discipline, the standards of excellence outlined in the APM, and the flexibility mandated by the APM.
- The statement should outline criteria in each category used to evaluate academic personnel: teaching, research and creative activity, professional activity, and service. The statement should address especially those issues of departmental philosophy or expectations that have been controversial in the past. We emphasize that the purpose of this statement is to aid in evaluating faculty performance and should not impinge on academic freedom in any way.
- To insure fairness and consistency with University policy, these statements should be reviewed by the dean, with the advice of the local personnel committee, and followed by appropriate discussions between the dean and the department.
- We expect that CAP will use the departmental statements as a basis for protecting the academic freedom of (1) the departments and programs themselves and (2) individual faculty members to pursue their careers within the guidelines established for the evaluation of faculty performance.

Workshop for Participants. *We recommend* that the Office of the Vice-Provost 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 goals of this workshop are to educate the principals who participate in the decision-making process, to discuss recent problems that have arisen, and to enhance mutual understanding of the different perspectives that arise at each level of review. While we hesitate to recommend increasing the burden of meetings on any of the participants, we feel that such an educational activity is essential to restoring and maintaining faculty

confidence in the personnel process. In order to be effective, such a workshop should be held early in the Fall term.

Annual Call. *We recommend* that the Annual Call be revised and greatly shortened. Presently, the document is unwieldy (41 pages) and ineffective as a mechanism for communicating with chairs. The new Annual Call should concisely communicate the essence of the review process and announce and clarify new policies. All other material should be kept as a permanent appendix, into which revised material may be substituted, available on the web and in all department offices. More detailed discussion and recommendations are presented in Appendix IX: The Annual Call.

Efficiency of the Process

Our communications with faculty and administrators on this campus and our analysis of how other campuses designed their personnel processes show that:

- The need for increased efficiency of the process is recognized at all levels of the campus.
- Review files are too complex for efficient review of either normal merits or promotions.
- Some UC campuses use abbreviated procedures for evaluation of normal merit actions.
- More re-delegation of personnel decisions is widely supported by faculty, deans, and other administrators.

We have proposed that CAP remain responsible for all promotions and special merit actions. However, the welfare of the institution does not require that advancement within ranks be reviewed with the same intensity as the major promotions, nor should such merit reviews require the same level of documentation. Nevertheless, the process of making such decisions plays a significant role in creating a positive and supportive environment in which the faculty make progress toward the major promotions. It is in the interests of the entire institution that merit increases in salary be determined more efficiently and that the recommendations be made near the sources of disciplinary expertise.

Re-delegation. *We recommend* that all merit actions within rank be re-delegated to the Colleges and Professional Schools. This recommendation specifically includes:

- All accelerations not involving a major promotion, for which CAP retains responsibility;
- All high level merit actions (currently Professor, Steps VII,VIII, and IX);
- Department chairs, members of local personnel committees, and associate deans.

This recommendation specifically excludes merits to Professor, Step VI and Above Scale, for which CAP has responsibility. This proposed re-delegation has two major advantages for the institution. First, the reduced workload of CAP will permit it to focus on the actions most critical to the institution. Secondly, the recommendations on merit advancement within ranks will be made by departments and local personnel committees most familiar with the scholarship and culture within which the faculty performs its duties.

We believe that there is no institutional imperative for keeping decisions on these actions at the level of CAP. Because the criteria are clear, local personnel committees should be just as capable as CAP of evaluating and rewarding candidates for multiple year accelerations and high level merits. There is no more need to have a cross-campus perspective on such actions than on any other action assigned to local personnel committees. In fact, there may be more consistency in the award of accelerations, if one-year and multi-year actions are considered by the same committees. With proper instructions and clearly stated guidelines, the issue of equity across Colleges and Professional Schools can be assured. The merit actions of department chairs, associate deans, and members of local personnel committees are also best accomplished at the College or School level. With appropriate guidelines and safeguards, no compelling issues about possible conflicts of

interest should arise. Negative decisions on such cases can be appealed upward and positive decisions that might have been too generous will be reviewed again at the next major promotion action. Ultimately, we believe the strongest decisions on merit actions will be made by the peers who understand the scholarship and local academic culture. The campus is better served by a stronger decision and increased faculty confidence in the process than by protecting against too generous treatment in a minor personnel action.

Implementation of this recommendation will require, nevertheless, that departments, local personnel committees and deans, take increased responsibility for the evaluation of faculty and that additional guidelines be established.

We also recommend that:

- CAP continue to be responsible for making annual post-audits of all personnel actions.
- CAP and local personnel committees confer annually in an appropriate workshop prior to beginning the annual process of making personnel decisions.
- CAP and the local personnel committees be responsible to create a carefully written set of guidelines for interpreting campus criteria for advancement and accelerations as well as departmental statements of personnel practices.
- A Shadow CAP should hear any appeals by department chairs, members of local personnel committees, or associate deans (see *The Appeals Process*, below).

Streamlining the Review File. In addition to the re-delegation of selected actions, the review file should be improved so that it is more efficient and more effective in presenting the case for a candidate. Over the years, the requirements for constructing the review files have evolved to the point that actions are difficult to review efficiently and accurately. Because review of faculty performance is so important and by necessity consumes a significant part of our collective time and energy, the Committee felt an obligation to suggest ways in which the review process could be made more effective and the burden of preparation reduced.

Review files for merit increases and promotions are described in the UC Davis Academic Personnel Manual. The descriptions for the two kinds of actions differ mostly in the details of supporting documentation and whether or not extramural letters are required. Currently, the review file can consist of twelve major items, organized so that essential review documents and non-essential administrative forms are mingled. In addition, several essential items are presented in formats that are not effective, either for the candidate or the reviewing bodies. Consequently, it is recommended the process for routine merit actions be truncated and streamlined. The documentation for promotion and above scale actions could also be reduced without altering the integrity of the review process. In this regard, the following is recommended:

We recommend that review files for routine merit actions consist of:

1. A departmental letter of recommendation that normally is limited to two pages for routine merits and perhaps three pages for other actions.
2. A one-page teaching record summarizing the most important courses taught during the review period. Student evaluations should be summarized and tabulated in numerical format on this page.
3. The record of advising and curricular development activities.
4. A one-page research record that summarizes all publications or creative works offered for evaluation for the review period. If necessary or appropriate, this list may include work in progress. A list of grants or funding could also be included, if it is viewed by the candidate to be a vital part of the research record. The complete list of publications and any necessary reprints should appear in the supporting documentation.
5. A one-page service record for the review period in which service to department(s), the campus, the University, and professional organizations is summarized separately.

6. A one-page record of professional activities, if appropriate for review of Professional Competence and Activity.
7. All assurance forms and related administrative documents (Recommended Action Form, Disclosure Certificate, List of Annual Report of Professional Activities submitted, and Updated Biography Form). Those documents that are considered to be necessary for administrative purposes should be collected in one place in the file so as not to interfere with rapid and efficient review.

If an action is: (1) a normal, on-time, merit advance, (2) does not involve an off-scale augmentation, and (3) is clearly supported by the department, there should be no need to forward supporting documentation because, we emphasize, the candidate's department should be viewed as the primary review body. Supporting documentation would be kept at the department, but available upon request. We emphasize that each record is meant to be brief by suggesting that most of these records can be limited to one page. Expanded descriptions of the various elements of the review file may be found in Appendix X: Comments on the Contents of Review Files.

We recommend that review files for appointments, promotions, merits to Professor, Step VI, and Above Scale, and fourth year review of Assistant Professors should include the previous seven items plus:

8. Candidate's statement (Optional).
9. Extramural letters, if appropriate.
10. All supporting documentation

Enhancing Fairness and Faculty Confidence

The charge to this Committee was prompted by a lack of confidence in our practices. Our investigations suggest that:

- There is increasing concern that small *ad hoc* review committees lack sufficient expertise to give good advice to CAP and lack sufficient size to mute the effects of undue influence by a single participant.
- Members of personnel committees sometimes participate in the review of close colleagues or others with whom they have a conflict of interest.
- It is not appropriate that appeals or reconsiderations of personnel actions return to the same committee that made the original decision.
- Appeals of procedural matters in personnel actions should be directed to the Committee on Privilege and Tenure.
- UC Davis CAP is perceived to work too closely with the administration.
- On most UC campuses, CAP is housed with and supported by the Academic Senate.

Ad Hoc Review Committees. *We recommend* that the campus return to the practice of using five-member review committees for major personnel actions. The current practice of having three-person committees has been a temporary solution for the loss of numerous senior faculty during recent retirement programs. Faculty have expressed serious concern that such small committees may lack sufficient expertise to evaluate scholarship and that any undue influence of a single member is difficult to counter in such a small group. We note that CAP decisions in the absence of an *ad hoc* committee have a markedly higher rejection rate than any other kind of action and that there is some evidence for an increase in rejection rates when the campus changed to smaller *ad hoc* review committees. Our recommendation can only be successful, however, if more faculty are willing to serve on committees than is currently the case.

We recommend , therefore, that service on *ad hoc* review committees, and requests to serve on these committees, become part of the service record of individual faculty members and that this record be assessed by the department and the dean as a normal part of any personnel action. Some campuses have found that such a policy effectively encourages faculty participation on review committees. If we make five-person committees the norm, the faculty must feel that service is essential and that they may decline to serve only in unusual circumstances.

We also considered a proposal for four-person committees having one non-voting member from the department. This proposal was based in part on the idea that the goals of expertise and departmental information are best served by the presence of a member of the department, but that it is unfair for someone from the department to vote again as a member of the committee. We rejected that proposal because we believe that the dynamics of discussion and review in a larger committee result in a stronger recommendation that serves both the candidate and the campus better. In a five-member committee, a candidate cannot be disadvantaged by a negative vote from the single departmental representative because a negative vote from that representative would not change any positive recommendation from the other members of the committee. On the other hand, we believe that the value to the University of departmental representation outweighs any possible undue influence of the departmental representative in favor of candidates.

Conflict of Interest. During our interviews with faculty, several examples were offered in which members of committees participated in the reviews of close colleagues or of faculty with whom they were known to have strong differences of opinion or other conflicts of interest. Although some committee members have recused themselves in such instances, there does not presently appear to be a uniformly practiced policy that assures the absence of possible conflicts of interest.

We recommend that the following procedures be adopted by CAP and local personnel committees:

- No member of CAP or a local personnel committee may participate in the review of an action before the committee concerning a colleague from the same department.
- No member of CAP or a local personnel committee may participate in the review of an action before the committee concerning any person with whom they may be perceived to have a conflict of interest.

The Appeals Process. Both CAP and local personnel committees are asked to reconsider negative recommendations. Although the committees view their action as a reconsideration of their judgment, candidates consider them to be appeals of decisions. In that context, if the appeal is considered by the same committee that made the original recommendation, it is difficult for the candidate to accept that the process is fair. This concern is widespread.

We recommend that:

- Reconsideration of CAP and LPC recommendations be undertaken by a Shadow CAP.
- A Shadow CAP composed of six members be appointed annually by the Committee on Committees. The charge to that committee should include considering and making recommendations on appeals of personnel actions and making recommendations on personnel actions involving members of CAP.
- Appeals of procedural matters should continue to be considered by the Committee on Privilege and Tenure.

Committee on Academic Personnel. We find widespread concern that the Committee on Academic Personnel and the Office of the Vice-Provost work too closely together. Although we affirm that a cordial working relationship may help to produce a good decision, the present close relationship has contributed to the evolution of an unnecessary and unproductive polarization between the faculty and both CAP and the Vice-Provost. The faculty seems to view CAP and the

Vice-Provost as one, having similar roles and effects on personnel actions. Action by the Vice-Provost on appeals of CAP recommendations may be perceived as less credible because of this close relationship. On most UC campuses, CAP is housed either in its own space or with the Academic Senate. Likewise, the budget of CAP on most campuses belongs to the Academic Senate (See Appendix V). With no prejudice about the merits or effectiveness of the current close relationship, we believe that logistical independence would reinforce the perception that the Chancellor is receiving independent advice from the faculty.

We recommend, therefore, that the headquarters for the Committee on Academic Personnel be moved to a space contiguous with the remainder of the Academic Senate offices. We further recommend that all necessary support staff be responsible to and be supervised by the Academic Senate. Although the proposed move is largely symbolic, we believe that it is essential in order to reinforce the notion that CAP is a committee of the Academic Senate, that it offers advice to the Chancellor on behalf of the Academic Senate, and that it is responsible to the Academic Senate. It is equally important that the faculty perceive that CAP is their voice in the personnel process.

We recommend, if such a move were implemented, that there be a thorough and immediate review of the management structure and function of the merged staff. Such a review would best be undertaken by a committee appointed by the Associate Vice Chancellor for Human Resources and Risk Management with the goals of ensuring an efficient organization, a productive working environment, and an harmonious merger of the staffs.

Further Review. *We recommend* that the state of the academic personnel system be re-examined by the Academic Senate during academic year 2001-2002 and at regular intervals thereafter. Complete implementation of the changes recommended here requires a change in the culture of the Davis personnel system. This will not be easy as this culture, which we believe is different from that at many of the other UC campuses, has evolved over many years. After two years, it should be possible to detect whether useful changes are being made in the system and whether they are having the desired effect on the climate in which decisions are being made. We recommend such a reassessment.

CLOSING STATEMENT

It is clear that faculty at Davis advance more slowly than at other UC campuses. Rates at which personnel actions are denied appear to be as high or higher than on other campuses and Professors, on average, are at a lower step than in the remainder of UC. These observations lead us to conclude that Davis is more conservative than the other campuses in recommending advancement for its faculty. Our analysis suggests that salaries at Davis are lower than most of UC, in large part, because we advance more slowly through the system, and, in part, because we make less liberal use of off-scale increments and accelerations, and hire at lower steps than some other campuses.

In our view, the problems we face are not linked to a particular committee or administration, but reflect our campus personnel system and the climate in which it operates as they have evolved over many years. We are mindful of the legitimate need to apply high standards to all personnel actions, but the detailed standards for advancement are unclear, and our current practices are too divisive, fail to encourage academic freedom, and make poor use of our resources. In order to clarify standards and begin to reduce controversy, we propose that each department articulate the nature of its scholarship and its practices for evaluating the performance of faculty in a concise statement that will help campus decision-makers to evaluate personnel actions. Resources are better used by having CAP focus on promotions and major merits to Professor, Step VI and Above Scale, rather than on all routine merit actions. Academic freedom can be increased by rewarding a wider range of creative endeavors, professional activities, and academic leadership than is currently the case.

Controversy and divisiveness can be further reduced by moving more decisions to those most knowledgeable, essentially those as close as possible to the individual's department.

We believe that the Committee on Academic Personnel can play a leadership role in renewing a spirit of generosity and creating an environment in which all faculty feel included in a flourishing academic enterprise that encourages academic excellence. The Committee can foster communication between the faculty and the administration, coordinate efforts to reconcile personnel recommendations while maintaining faculty morale, evaluate personnel actions on the basis of evidence presented by other review agencies, be aggressive in recommending that our best faculty be advanced rapidly, and consult regularly with the Academic Senate. If it does so, we are confident that the culture of our campus will become more supportive and academic excellence will flourish.

Respectfully submitted,

Anna Marie Busse Berger	Music	_____
Colin Cameron	Economics	_____
Howard W. Day, Chair	Geology	_____
Robert Hansen	Veterinary Medicine	_____
Ines Hernandez-Avila	Native American Studies	_____
Martin Privalsky	Biological Sciences	_____
John Robbins	Medicine	_____
Robert Rucker	Nutrition	_____
Edward D. Schroeder	Civil & Env. Engineering	_____

Delegations of Authority for Academic Affairs Actions

A: Approval authority
RP: Review for adherence to policy
I/R: Initiate action/Recommend
R: Review
R/R:Reviews/Recommends
O: Optional Ad Hoc or Standing Committee review

Professor (APM 220), Prof In Residence (APM 270), Prof of Clinical ___ (SOM, VM) (APM 275), and Acting (excluding Law School) (APM 235)	Dean's Review					Ad Hoc/Stand				Final Re	
	Department	Dean's Staff	CAPAC	Faculty Personnel Committee	Dean	VP - Academic Personnel Staff	Ad Hoc	CAPAC	Academic Senate / CAP	VP - Academic Personnel Staff	VP - Academic Personnel
Appointment											
Assistant Professor, Steps I to III	I/R	RP		R/R	A						
Assistant Professor, Steps IV toVI	I/R	RP			R/R	RP	O		R/R	RP	A
Assoc Prof, Step I to V through Professor, Steps I to IX and Above-Scale (Acting only) [1]	I/R	RP			R/R	RP	O		R/R	RP	A
Assoc Prof. Step I to V through Professor, Step I to IX and Above Scale (Professor, In Residence, and Clinical ___ Series only) [1]	I/R	RP			R/R	RP	O		R/R	RP	A
Merit											
First normal merit after appointment and first normal merit after promotion	I/R	RP			A						
Asst. Professor, Step II-VI Assoc Professor, Step II-III; Professor, Step II-V [2]	I/R	RP		R/R	A						
Assoc. Professor, Step IV-V	I/R	RP			R/R	RP	O		R/R	RP	A
To Professor, Step VI [1]	I/R	RP			R/R	RP	O		R/R	RP	A
To Professor, Steps VII, VIII, and IX [1]	I/R	RP		R/R	A						
To Professor, Above Scale [1]	I/R	RP			R/R	RP	O		R/R	RP	A
Professor, after first Above Scale [1]	I/R	RP			R/R	RP			R/R	RP	A
Accelerated Merit											
Asst. Prof II-VI; Assoc Prof, I-III; Professor I-V that does not skip a step	I/R	RP		R/R	A						
Assoc Prof, IV-V that does not skip a step	I/R	RP			R/R	RP	O		R/R	RP	A
To Professor, Step VI that does not skip a step [1]	I/R	RP			R/R	RP	O		R/R	RP	A
Professor, Steps VII, VIII, and IX that does not skip a step [1]	I/R	RP		R/R	A						
Professor, after first Above-Scale [1]	I/R	RP			R/R	RP			R/R	RP	A
To Professor, Above Scale that does not skip a step [1]	I/R	RP			R/R	RP	O		R/R	RP	A
Professor Series - All accelerated merits that skip a step	I/R	RP			R/R	RP	O		R/R	RP	A
Appraisal											
Assistant Professor - 4th year (Regular, In Residence, Clinical ___ Series only)	I/R	RP		R/R	R/R	RP			R/R	RP	A
Promotion											
Assistant Professor to Associate Professor (In Residence - approved promotions, Clinical ___ and Acting Series Only)	I/R	RP			R/R	RP	O		R/R	RP	A
Assistant Professor to Associate Professor (Professor Series only)	I/R	RP			R/R	RP	O		R/R	RP	
Assistant Professor to Associate Professor (In Residence - denied promotions only)	I/R	RP			R/R	RP	R/R		R/R	RP	
Associate Professor to Professor (Professor, In Residence, Clinical ___ and Acting Series)	I/R	RP			R/R	RP	O		R/R	RP	A
Deferral											
First and second year deferrals [3]	I/R	RP			A						
Third year deferral [3]	I/R	RP			R/R	RP			R/R	RP	A
Five-Year Review											
Associate and Full Professor	I/R	RP			R/R	RP			R/R	RP	A
Joint Appointment											
All actions are processed in accordance with procedures outlined above except all Departments and Dean's Offices must review the action (see UCD 220 for procedure)											
Appeal											
Professor series - Redelegated actions	I/R	RP	R/R		A						
Professor series - Non-Redelegated actions	I/R	RP			R/R	RP		R/R		RP	A
Removal of Acting (excluding Law School)											
Associate Professor and Full Professor, Any Step [4]	I/R	RP				RP			RR	RP	A

[1] Approval of salary rate above 47% of the maximum of the appropriate salary scale requires President/Regents approval

[2] Assistant Prof, V & VI and Associate Prof, IV & V are reserved for faculty entering the rank at Step II and above who need additional years to establish a record appropriate for promotion

[3] Does not apply to Professor, Step V and above (or equivalent titles at same step)

[4] This delegation excludes Visa issues

8 April 2010

Proposal to Re-delegate to Departments Routine Merit Actions in the College of Letters and Science

The UCD personnel process is cumbersome and replete with duplicated effort. Its wasteful features have come to overshadow the benefits of widely distributed, collective merit evaluations. In the current budget climate we do not have the staff resources to implement it effectively. We face increasing difficulty securing the voluntary faculty time needed to manage it effectively. Movement to on-line systems (e.g., MIV) will only marginally improve this situation.

Much of our effort is lost to redundant reviews by multiple groups and individuals to achieve highly predictable results in the great majority of cases. Estimates suggest that the per capita cost of these reviews ($20k each) significantly exceeds the salary increments at stake in the decision. There are more subtle costs as well. The whole system of peer review becomes routinized and, partly from exhaustion, ceases to engage critical faculty attention at the points it is most needed. Peer review itself suffers.

In response, we are asking the CAP to re-delegate some FPC reviews in such a way that Departments report their more routine actions directly to the Dean/Associate Dean, by-passing the significant time and effort members of the FPC now expend on them. In effect, we ask that the CAP allow us to evaluate a broader class of merit actions as we now evaluate merits that are 'first after' an appointment or promotion.

The set of such actions would be these: All routine merits and 1-2 year accelerations excepting those that entail: (a) an appraisal; (b) a negative departmental vote; or (c) a specific request by the departmental chair *or* candidate for a full FPC review. This set of criteria recognizes the FPC would continue to review and make recommendations on appointments at the Assistant Professor (Steps I-III) and Assistant Adjunct (I-III).

Of these criteria, (a) and (b) are straightforward. Criterion (c) is meant to be a safeguard for the process, departmental leadership and candidate. We also envision that the Dean or Associate Dean receiving one of these actions could ask for a full FPC review, if he or she felt it advisable. Otherwise, this arrangement envisions that for the most routine actions the Department will serve in an advisory role to the Dean/Associate Dean, just as the Department *and* FPC do currently.

If a Dean/Associate Dean overturned a positive departmental recommendation, the candidate would have the standard right of appeal.

We likewise propose that the re-delegated Continuing Lecturer merits bypass FPC review and be routed directly to the Dean/Associate Dean for

decision. Article 22 of the AFT contract does not appear to contain language which requires a committee review for the merit review process. Again, the candidate, Chair or Dean will have the option of asking for an FPC review.

We estimate this change would redirect approximately 70-75% of the current FPC caseload onto a path directly from the Department to the Dean/Associate Dean. The reduced workload would free the FPC to focus its collective experience and judgment on just those cases most in need of careful attention: appraisals, negative departmental votes, and other special circumstances, as perceived by the candidate, Chair or the Dean/Associate Dean.

As at present, the CAP would conduct a post-audit review, for purposes of oversight. If this re-delegation were to be granted, it of course could be revoked or curtailed in specific ways if post-audit review suggested revision was necessary.[1]

Merit reviews not passing directly to the Dean/Associate Dean would go through the FPC, with the resulting vote and commentary advisory to the Dean/Associate Dean, as is the case at present.

We note that the spirit and much of the substance of this recommendation is consistent with the "Report of the Budget Advisory Committee Subcommittee on Administration," section H, page 10 ("Re-delegation of a Subset of Academic Personnel Actions"). We have attached a copy in the Appendix, for purposes of comparison. It means to complement other changes in this same direction (e.g., Horwitz memo, 23 November 2009, titled "Streamlining the Academic Personnel Process"; Horwitz memo, 24 November 2009, titled "Academic Federation Streamlining Implementation").

We propose a three-year trial period for this system followed by review for adjustments or abandonment. Success or failure would be assessed in terms of the effect on costs and effort, and whether or not the new system was as good or better at promoting responsible peer review for purposes of merit advancement.

---

[1] Along with this redelegation – although not necessary to it - we would like to ask for a simplified, more standardized, and typically shorter means by which departments report the results of peer review. At present these are quite divergent within DSS (my realm of experience), with some Chairs writing two-page and others 7-9 page letters. For routine cases, we do not have the sense that the two page letters have disadvantaged a candidate or complicated review.

Our recommendation would be a short, one-page form, with the option of a supplemental written summary from the Chair. As at present, the candidate could provide a narrative statement. We would strongly recommend that the summary and narrative be no more than 1-2 pages in length, although it always could be more in exceptional circumstances. The form would be the point at which the candidate and Chair exercised the option of a full FPC review.

Appendix

From the Report of the Budget Advisory Committee Subcommittee on Administration, section H, page 10 (http://budget.ucdavis.edu/budget-planning/documents/2009-10/BAC-Administration%20Report%20REVISED%20072109.pdf).

H. Re-delegation of a Subset of Academic Personnel Actions

1. Description
   - The phrase "streamline the personnel process" is well-worn rejoinder that accompanies any discussions of merit and promotions at UC Davis.
   - The subcommittee proposes that, under very specific circumstances, the following personnel actions be re-delegated to the departmental level: Associate Professor I to II, II to III and III to IV; Professor I to II, II to III, III to IV, IV to V, VI to VII, VII to VIII and VIII to IX. Only those actions that represent normal progress would be re-delegated.
     There would be no re-delegated accelerations.
   - This proposal builds upon progress made about a decade ago when a large number of merit actions were re-delegated to Deans who are advised by Faculty Personnel Committees.

2. What is the relative potential for budget savings? What are the relative revenue increases that might be realized? What are the associated timelines and perceived barriers to realize these savings?
   - Past estimates have identified the cost of each personnel action as the equivalent of $20,000 due to the faculty and staff time involved in the assembling the merit package, the review of the package by the Department, the formulation of the letter by the Department Chair, the review at the College/School level (both in the Deans' offices and by the Faculty Personnel Committees) and by the Committee on Academic Personnel and the Vice Provost for Academic Personnel.
   - While there is no direct budget savings from this proposal, there should be a reduction in departmental staff time and a substantial reduction of workload at other levels of review.

3. What are the potential adverse impacts of suggested change?
   - There is concern that the criteria for faculty merit review would not be appropriately applied. However, this concern is largely unwarranted if, for example, the following strict criteria are applied:
     - A department would need to "apply" to have actions re-delegated to that level. The department would need to demonstrate the final decision was consistent with the departmental recommendation in 95% of the actions over the last five years.
     - If a departmental vote is closer than 80% / 20% (either for or against), then the package must be reviewed by the current procedure.
     - The actual percentages would be agreed upon by the Academic Senate and the administration.

4. What metrics and data sources might be used in a comprehensive evaluation?
   - Reduction in personnel involved in the faculty personnel process.
   - Less time spent on faculty personnel processes in departments and programs.

5. Who might be consulted for additional information?
   - Academic Senate Committee on Academic Personnel – Oversight, Committee on Planning and Budget, Faculty Executive Committees, Vice Provost – Academic Personnel and ADMAN.

April 5, 2010

ROBERT L. POWELL, Chair
Davis Division of the Academic Senate

Re: Streamlining the Academic Personnel Review Process

The Committee on Academic Personnel (CAP) proposes to modify the procedures and standards that apply to the academic personnel review process with the goal of identifying clear and quantifiable savings in faculty and staff time. This is motivated by the current budgetary climate and triggered by a memorandum from a group of current and former department chairs and Faculty Personnel Committee (FPC) members from the College of Agricultural and Environmental Sciences (CA&ES) to streamline certain personnel actions.

Following a preliminary evaluation of MyInfoVault (MIV), CAP judges that its increasing use at all levels of the personnel review process has the potential to make the single biggest impact on the streamlining process. CAP expects that dossier preparation using MIV should take much less faculty and staff time and also facilitate the review process. This depends on the expeditious elimination of some of the current bottlenecks in MIV as being identified by the users. In addition, CAP proposes a streamlining strategy inspired by a number of suggestions from the aforementioned CA&ES memorandum. Below, we outline the background, specific steps and a timeline for implementation of this strategy which targets a particular set of merit actions.

Background

A large number of actions reviewed by College/School FPCs are routine merit increases that do not involve accelerations. As seen in Table 1, the College of Engineering FPC reviewed 62 dossiers in 2008-09, of which 65% involved were routine merit requests. Table 1 shows comparable numbers for the other large Colleges/Schools in 2008-09, and the potential impact the proposed streamlining strategy might have on the number of cases reviewed by the FPCs.

CAP's post-factum audits confirm the widely held impression that, for the majority of routine merit actions, broad agreements exist within and among all reviewing agencies (Department, FPC, Dean, CAP). While these actions are redelegated to the Deans (with recommendation from local FPCs) at Davis,

they are often handled by Departments and Deans directly at most UC campuses (e.g., UCLA, UCSB, UCI). Table 2 shows which actions are redelegated to the Deans and which ones are handled by the Vice Provost for Academic Personnel (VPAC) (with recommendation from CAP) at Davis. The objective of this streamlining proposal is a specific subset of the redelegated actions. It is CAP's view that, for this subset, significant latitude is available to achieve real efficiency while maintaining the integrity of the review process and the requisite feedback to the faculty concerning peer perception of their career advancement.

Not all regular merit actions should be streamlined. For example, the independent review of assistant professors plays a critical role in their preparation for promotion to associate professor ranks. Therefore, their merit actions should not undergo abbreviated review. Similarly, merit advancements to overlapping steps such as Associate Professor, Step IV-V and to barrier steps to Professor, Step VI and Above Scale are important career transitions for which a full review by CAP remains imperative. Furthermore, accelerated actions require closer scrutiny by a broader review body and should not be streamlined. CAP further notes the possibility that, if the remaining actions are simply streamlined as outlined below, some faculty, who advance normally, may not be reviewed by a broader body for many years before they are eligible for advancements to Professor and barrier steps. This may disadvantage these faculty as they may not receive proper feedback in terms of their long term advancement prospects. This can be alleviated if the streamlined reviews are performed for every other eligible action.

Proposal Specifics

1. Table 2 depicts which actions will be eligible for streamlining with the restriction that if the previous merit action was streamlined, the next one will be a normal review.
2. As customary, the Dean's Office will inform the Departments in early summer regarding who is eligible for streamlined actions in the upcoming year should they choose to do so. The Department Chair and the candidate will discuss and decide if a streamlined action should be pursued. It is noted that streamlining should only be sought for those cases perceived to be strong with no apparent weaknesses in any review category.
3. An abbreviated dossier will be prepared for streamlined cases, aimed at reducing the preparatory effort of the candidate and the review efforts of the Department and Dean. The dossier will be prepared exclusively on MIV. A suggested checklist is shown in Table 3.
4. The departmental letter should be a single-page memorandum, stating the requested action, the departmental vote and highlighting the new

developments since the last review and the key elements supporting the case.

5. If a streamlined action receives equal to or more than 10% negative votes, a recommendation by the College/School FPC will be required. In addition, the Dean may seek advice from FPC regardless of the departmental vote.
6. If the Dean disagrees with the department's recommendation for a streamlined action, the case will be automatically forwarded to VPAC for recommendation by CAP.
7. Streamlined cases should be reviewed directly by Deans with minimal involvement of Dean's staff in the handling of dossiers.

Potential Workload Impact

1. Reduction of workload on Departmental and Dean's office staff would stem primarily from the simplified dossier preparation.
2. The abbreviated departmental letter would yield a reduction of workload for department chairs as well as the reviewing faculty.
3. The streamlining would also reduce workload on the candidate, primarily through the reduced effort in preparing the simplified dossier on a short-term basis, and increased preparation efficiency with the MIV database system on a long-term basis. An initial outlay of effort will occur when starting up the MIV database that could result in increased faculty workload for the short term.
4. A major efficiency in this proposal is the reduction in workload for the FPCs. The redelegation of the review responsibilities of these streamlined cases to Departments and Deans would yield substantial savings of effort by FPC members. The last column in Table 1 shows an estimate of the potential savings based on 2008-09 numbers.
5. CAP's workload will not be substantially affected because the proposed changes are mainly for redelegated actions, and auditing activities will continue. Nevertheless, MIV, perhaps expanded to include external referee letters (with appropriate confidentiality safeguards) and previous action documentation, could facilitate CAP review by allowing remote dossier access. MIV should be continually and flexibly modified to respond to user suggestions for ease of use and efficiency.

Implementation

CAP proposes streamlining to be implemented initially as a pilot. Each College/School/Division (with the exception of the Schools of Law and Education and the Graduate School of Management) should nominate one or two departments (with a total number of faculty around 50) to participate. While an assessment will be made each year as a part of the yearly audits by CAP, it will take a number of years to critically assess the real yields of

efficiency and impact, if any, on the integrity of review and career advancement. Thus, CAP proposes a full review of this practice after three years to decide if streamlining will be made available to the rest of the campus or terminated.

Ahmet Palazoglu, Chair
Committee on Academic Personnel

AP:sb

Table 1. Number of Redelegated Actions.

College/School	*Total # of Actions*	*Routine Merits*	*Can be Streamlined*
ENG	62	40 (65%)	23 (37%)
CBS	35	26 (74%)	10 (29%)
SOM	237	218 (92%)	130 (55%)
VM	53	46 (87%)	25 (47%)
L&S HArCS	66	61 (92%)	45 (68%)
L&S SS	46	34 (74%)	23 (50%)
L&S MPS	45	37 (82%)	27 (60%)

Table 2. Redelegated actions and suggested streamlined actions.

Current *Actions Considered by VPAC and CAP*

- Appointments at and above Assistant Professor, Step IV.
- Promotions to Associate Professor and Professor
- Merit to Associate Professor IV and V.
- Merit to Professor, Step VI and Above Scale.
- Accelerated merits that skip a step
- 3- and 5-year reviews
- Appraisals
- Career Equity Reviews (CERs)
- Retroactive merits

Current *Redelegated Actions for Deans and FPCs*

- Appointments up to and including Assistant Professor, Step III.
- Merits that are not delegated to VPAC and CAP
- Accelerated merits that do not skip a step
- Appraisals

Proposed *Eligible Redelegated Actions for streamlining at every other action:*

- Regular merit to Associate Professor, Step II and III
- Regular merit to Professor, Step II-V
- Regular merit to Professor, Step VII-IX

Table 3. Suggested checklist for dossier preparation (in MIV) for streamlined actions

- Full list of publications and creative works with a line drawn below those considered in the previous review.

- Publications and creative works should have proper *url* references that would allow the reviewing bodies to access them online.
- List of courses taught in the review period and the numerical scores of student evaluations.
- Students/researchers mentored in the review period.
- Campus and professional service activities in the review period.
- Awards and special recognition in the review period.

AP Comments on CAP Streamlining Suggestions

We are happy that CAP is recommending the use of MIV and the inclusion of extramural letters added to the system. Extramural letters may be uploaded into MIV at any time when CAP accepts the use of this feature. The department administrator has two uploads for extramural letters: a redacted version for the candidate and a non-redacted version for the reviewers and the official record. By uploading redacted and non-redacted versions of the letters, the candidate automatically receives a copy of the redacted letters prior to signing the candidate's disclosure certificate in MIV. The candidate does not have access to the non-redacted version of the letters or the archive in which the non-redacted letters are stored.

CAP also commented that they wanted access to previous MIV actions. CAP will not have open access to the archive in MIV since access is restricted by department and role. This restriction was put in place due to faculty concerns regarding confidentiality of their review records. However, the Electronic Document Management System (EDMS) will be available on-line sometime during the Summer of 2010 for CAP to access the personnel files of candidates being reviewed. CAP will be granted access to the personnel file in EDMS when the CAP analyst requests the personnel file (just as it is currently done by paper). CAP access to individual personnel files in EDMS will be turned on and off as the CAP needs access to the file (just like the hard-copy file is sent to Senate and returned by Senate). EDMS contains pdf records of all previous reviews since appointment, including previously archived MIV actions.

Following is our response to the program specifics outlined in the memo from CAP, followed by some questions that need further discussion/consideration.

Proposal Specifics

1. **Table 2 depicts which actions will be eligible for streamlining with the restriction that if the previous merit action was streamlined, the next one will be a normal review.**

   We agree with the streamlining change in the delegation of authority to make FPC review optional (required only in situations when 10% of the department vote is negative).
   - Regular merit to Associate Professor, Step II and III
   - Regular merit to Professor, Step II-V
   - Regular merit to Professor, Step VII-IX

   CAP recommends that if the previous merit was streamlined the next will be a normal review. Tracking may be difficult. Enhancements to the eligibility programs will need to be made. We do not recommend the contents of the dossier be streamlined; however we do support the streamlining of the preparation and forwarding of supporting documents to the Dean's Office. Might it be possible for all of the actions identified by CAP to be eligible for streamlining regardless of whether or not the previous action was streamlined?

2. **As customary, the Dean's Office will inform the Departments in early summer regarding who is eligible for streamlined actions in the upcoming year should they choose to do so. The Department Chair and the candidate will discuss and decide**

if a streamlined action should be pursued. It is noted that streamlining should only be sought for those cases perceived to be strong with no apparent weaknesses in any review category.

Okay.

3. **An abbreviated dossier will be prepared for streamlined cases, aimed at reducing the preparatory effort of the candidate and the review efforts of the Department and Dean. The dossier will be prepared exclusively on MIV. A suggested checklist is shown in Table 3.**

CAP's recommendation for a streamlined dossier includes the following items:

- Full list of publications and creative works with a line drawn below those considered in the previous review.
- Publications and creative works should have proper url references that would allow the reviewing bodies to access them online.
- List of courses taught in the review period and the numerical scores of student evaluations.
- Students/researchers mentored in the review period.
- Campus and professional service activities in the review period.
- Awards and special recognition in the review period.

And, excludes the following items.

- Optional candidate's statement
- List of grants
- Contributions to jointly authored works
- Extending knowledge
- Part of the teaching advising form will not need to be completed
- Hard copy student evaluations
- All supporting documents not available via a URL

We do not support the approach of excluding the items listed above. We recommend no change to the checklist regarding the contents of a dossier for three reasons:

(a) MIV is a database that ideally is updated on a regular basis to keep track of records and create updated CV's and biosketches (which means the appointee would have the added work of "deselecting" these items for inclusion in their MIV packet.)

(b) The information in the categories above must be submitted in subsequent actions and it may actually be more work for the appointee to de-select these items from their streamlined dossier.

(c) In reviewing future actions, we would end up with overlapping review periods (i.e. the review period for the publication list would go back only to the last stream-lined action but the review period for the list of grants would go back to the last normal action).

We believe the candidate's statement should truly be optional, not excluded from stream-lined reviews. Many departments require a candidate's statement even though the statement is option. For streamlined cases, the writing of a statement may not be necessary but the option should remain for the candidate.

We agree with CAP's recommendation that a URL should be provided in MIV for

publications that are available on-line.

We also agree that no supporting documentation will be forwarded for review for a stream-lined dossier. However, the supporting documentation should be available for the department reviewers and available upon request for the Dean and/or review committees. Supporting documentation includes: copies of published or in press manuscripts (this includes copies of acceptance letters) and student evaluations.

4. **The departmental letter should be a single-page memorandum, stating the requested action, the departmental vote and highlighting the new developments since the last review and the key elements supporting the case.**

   2-3 pages would be more reasonable.

5. **If a streamlined action receives equal to or more than 10% negative votes, a recommendation by the College/School FPC will be required. In addition, the Dean may seek advice from FPC regardless of the departmental vote.**

   Okay.

6. **If the Dean disagrees with the department's recommendation for a streamlined action, the case will be automatically forwarded to VPAC for recommendation by CAP.**

   The Dean has the final approval authority for redelegated actions so the action should not be forwarded to VP-AP and CAP. If the Dean disagrees with the department's recommendation from a streamlined action, the case should be forwarded to the FPC for review/recommendation as is currently done for redelegated actions. (FPC would be the better review body since they may be better able to scrutinize the body of work, rather than the CAP committee with a broader range of disciplines.) CAPAC would be consulted for any appeal actions, as is currently the practice.

7. **Streamlined cases should be reviewed directly by Deans with minimal involvement of Dean's staff in the handling of dossiers.**

   Dean's Office staff provide an essential part in the review process. Staff are responsible for ensuring the review and contents of the dossier are in compliance with policy and procedure, and staff are responsible for tracking the dossier/eligibility in Action Tracking to ensure the timeliness of review. A streamlined dossier would still require a Dean's Analyst to fulfill these responsibilities, (unless the Dean wants to assume these responsibilities). However, a streamlined dossier would save the analyst workload in terms of checking the contents of supporting documentation, routing/tracking to FPC, and sending to the Dean after FPC review.

Implementation: We believe it would be better to implement this proposal on a school/college level, rather than by department. This would simplify training and ensure consistent review standards across a school or college. If a school or college would like to volunteer to use this method, they should not be held back by the parameters of the pilot as outlined in the CAP suggestions.

Questions from AP:

(1) FPCs need to be consulted regarding
   a. Can FPC make a recommendation on a stream-lined dossier (e.g., no supporting documentation) in those situations when the Dean requests FPC review or 10% of the department vote is negative?
   b. Will the fact that the Dean disagrees with the department recommendation have an impact on FPC review?

(2) What about Professors who have split appointments with a Federation Title? Will Federation committees be consulted before implementing the streamlined dossier review? Or, will Professors with a Federation appointment be excluded from a streamlined dossier review?

(3) What about Professors who have a joint appointment with a non-streamlined eligible college? Will these Professors be excluded from a streamlined dossier review?

(4) Should the Deans be consulted regarding CAP suggestion #7?

June 28, 2010

To: Barbara Horwitz, VP Academic Personnel
From: CAP

The Committee on Academic Personnel (CAP) has reviewed the recent comments from your office regarding the streamlining proposal and offers the following:

1. We recognize the potential tracking issues that may be associated with streamlining every other action. We suggest making the "even" numbered steps be eligible for streamlining, e.g., Associate Professor II, Professor II, IV, VIII.

2. We note that streamlining should be optional and the faculty should have the right to opt out for any action.

3. Including items a-d would be acceptable as we recognize that they are already part of MIV and their removal would constitute hardship. We maintain that the candidate's statement should still be optional, and hard copy student evaluations and any other supporting documents should not be included. Papers and creative works should be provided as a URL as much as possible.

4. The department letter should be no longer than two pages. There may be a way to include voting summary on the cover page to save space.

5. Requiring no more than 10% negative votes is an important quality check and should be maintained. We also would like to reiterate that the streamlining process is for cases that are deemed straightforward and without any potential weaknesses, not all technically eligible ones. Perhaps this should be strongly indicated in your Annual Call.

6. We agree that if a dean disagrees with a streamlined action, the case should be forwarded to the College FPC for a review.

7. We recognize the need for a certain level of involvement by the Dean's Office staff to ensure dossier compliance and timeliness. We urge the Deans' Offices to work with the departments and look for ways to streamline their procedures.

8. CAP does not object if a College/Division as a whole decides to participate in the pilot program. However, once the participating departments are identified, no others can join during the pilot phase. CAP believes that a 3-year pilot study should provide enough data for

making a sound decision regarding the continuation and/or modification of the streamlining program.

9. If a faculty member has a split appointment with a federation title, his/her action should not be streamlined until AF agrees with and decides to participate in the streamlining process. If a faculty member has an appointment across departments where the lead department is not participating in streamlining, that action should not be streamlined.

CAP looks forward to expediting the implementation of the streamlining process for the upcoming academic year.

Attachment 4d

UC Davis: OFFICE OF THE CHANCELLOR
OFFICE OF THE PROVOST

August 24, 2010

Dean's
Associate Dean's
Assistant Dean's

SUBJECT: Streamlining Academic Senate and Academic Federation Actions– Phase II

After consultation with the Committee on Academic Personnel (CAP) and the deans, I am approving a pilot program that includes streamlining changes in our merit review procedures. The pilot will be in effect for a three year period (i.e., academic years 2010-11, 2011-12, and 2012-13) after which it will be reviewed for its effectiveness. (Several additional streamlining actions are still under consideration.)

Academic Senate/Continuing Lecturer Actions:

AS1. Although the review period for Professor, Above Scale is unchanged because it is determined by systemwide policy, the supporting documents [teaching evaluations, publications (actual or URL)] that accompany the dossier need extend only back to those occurring after advancement to Professor, Step VI.

AS2. Extramural Letters for barrier-step advancements for Lecturer SOE and Senior Lecturer SOE will no longer be required.

AS3. Extramural letters for five year review/reappointment of Endowed Chairs/Professorships will be optional. (Extramural letters for new appointments to Endowed Chairs/Professorships will continue to be required.)

AS4. Optional review by FPCs for faculty who meet the following specific conditions:

(a) Ninety (90) percent of their department colleagues eligible and available to review the file voted positively on the action (i.e., the combination of abstention and negative votes did not exceed 10 percent). Those on an approved leave and unable to review the dossier do not count in these calculations.

(b) Action is a normal merit from Associate Professor I to II or from Professor I to II, III to IV, or VII to VIII.

Note that eligibility is intended to apply to "every other" action and does not include faculty at the Assistant rank because of the need for them to receive input from their colleagues on the FPC.

AS5. Deans who wish to participate in this pilot should determine which, if any, of their departments want to be included. The Office of the Vice Provost of Academic Personnel must be notified by October 1, 2010 as to which departments will participate. After October 1, 2010, departments wishing to join the pilot will need to request permission from the Vice Provost of Academic Personnel. Individual faculty in a department that has decided to participate in the streamlining may opt out of the pilot if they wish to do so.

(a) The dossier of those faculty participating in the pilot can be streamlined as follows:

(1) Department letter will be limited to a maximum of 2 pages. (The letter should highlight the new developments since the last review and the key elements supporting the case.)

(2) Hard copy of supporting documentation need not be forwarded for review unless subsequently requested by post-department reviewers. Supporting documentation includes: copies of published, in press manuscripts, acceptance letters for in press items, and student evaluations.

(3) The departmental letter must certify that in press articles are accepted without further revision by December 31st of the academic year of the action.

(4) The list of papers and creative works should include a URL for the items being considered in the period of review, if a URL is available.

(5) Candidate's statement remains optional.

(b) Conditions:

(1) If the dean disagrees with the department's positive recommendation on a streamlined action, the action should be forwarded to the FPC for a recommendation.

(2) If a Senate member has a split appointment with an Academic Federation title (e.g., Professional Researcher and Specialist in CE), his/her action cannot be included in this pilot until we complete our discussions with the Academic Federation (still in progress).

(3) If a Senate member has a joint appointment where one department is not participating in streamlining, the action cannot be streamlined.

(4) The above streamlining processes will be subject to audit by CAP and by Academic Personnel.

Academic Federation Streamlining:

AF1. All normal appointments merits and promotions (except above scale actions) in the following series will be delegated to the dean:

Academic Administrator

Academic Coordinator

Specialist

Continuing Educators (UNEX)

All actions should be sent directly to the Academic Federation office. If the dean's intended decision differs from the Academic Federation personnel committee recommendation, delegation shall revert to the Vice Provost. Because the Academic Administrators have no steps on the salary scale, a normal action would be two increments on the scale. The original dossier for all of the above actions would be sent to the Academic Personnel office after the action is completed.

AF2. The dean will have the authority to approve all position screenings for the Academic Administrator and Academic Coordinator series after review by the Academic Federation committee. If the dean's intended decision differs from the Academic Federation personnel committee recommendation, delegation shall revert to the Vice Provost.

I would like to encourage all of the schools/colleges/departments that are not currently using My InfoVault (MIV) to begin to do so. MIV can reduce errors, saving time for both staff and faculty, as well as allowing reviewers on-line access to the dossier.

Sincerely,

Barbara A. Horwitz
Vice Provost—Academic Personnel

/rbk

SCH_SHORT_DESC	HME_DEPT_NAME	JOB_TITLE	P_Rank	P_STEP1	Final_Decision	Final_DecisionDetails		
LS: HACS	AMERICAN STUDIES	SENIOR LECTURER WITH SECURITY OF EMPLOYMENT - ACADEMIC YEAR	N/A	5	No	Merit denied; Reconsidered; Merit denied.	not eligible	
ENGINEERING	CIVIL & ENVIRONMENTAL ENGR	ASSOCIATE PROFESSOR - ACADEMIC YEAR - BUSINESS/ ECONOMICS/ENGINEERING	Associate	2	Yes	Merit approved to Associate Professor, Step II	not eligible	
ENGINEERING	CIVIL & ENVIRONMENTAL ENGR	PROFESSOR - ACADEMIC YEAR - BUSINESS/ECONOMICS/ENGINEERING	Full	4	Yes	Merit to Professor, Step IV, Approved.	not eligible	
ENGINEERING	CIVIL & ENVIRONMENTAL ENGR	PROFESSOR - ACADEMIC YEAR - BUSINESS/ECONOMICS/ENGINEERING	Full	4	Yes	Merit approved to Professor, Step IV	not eligible	
BIOLOGICAL SCIENCES	NEURO PHYSIO & BEHAVIOR	ASSOCIATE PROFESSOR - ACADEMICYEAR	Associate	2	No	Merit denied	not eilgible	
LS: HACS	UNIVERSITY WRITING PROGRAM	LECTURER - ACADEMIC YEAR 1/9TH PAYMENT - CONTINUING APPOINTMENT		0	Yes	Continuing lecturer merit approved		
LS: HACS	ART	LECTURER - ACADEMIC YEAR 1/9TH PAYMENT - CONTINUING APPOINTMENT		0	Yes	Continuing lecturer merit approved		
LS: MATH/PHY SCI	MATHEMATICS	LECTURER - ACADEMIC YEAR-CONTINUING APPOINTMENT		3	Yes	Merit approved as Continuing Lecturer.		
LS: MATH/PHY SCI	CHEMISTRY	LECTURER - ACADEMIC YEAR-CONTINUING APPOINTMENT		0	Yes	Merit approved as Continuing Lecturer.		
LS: HACS	UNIVERSITY WRITING PROGRAM	LECTURER - ACADEMIC YEAR-CONTINUING APPOINTMENT		0	Yes	Continuing lecturer merit approved		
LS: MATH/PHY SCI	MATHEMATICS	LECTURER - ACADEMIC YEAR-CONTINUING APPOINTMENT		3	Yes	Merit approved as Continuing Lecturer.		
LS: HACS	UNIVERSITY WRITING PROGRAM	LECTURER - ACADEMIC YEAR-CONTINUING APPOINTMENT		0	Yes	Continuing lecturer merit approved		
LS: HACS	UNIVERSITY WRITING PROGRAM	LECTURER - ACADEMIC YEAR-CONTINUING APPOINTMENT		0	Yes	Continuing lecturer merit approved		

Streaming Results in 2010/11

Attachment 4e

1/2

LS: MATH/PHY SCI	PHYSICS	PROFESSOR - ACADEMIC YEAR	Full	4	Yes	Merit approved to Professor, Step IV.		
LS: HACS	ENGLISH	PROFESSOR - ACADEMIC YEAR	Full	8	Yes	Merit approved as Professor, Step VIII		
LS: HACS	MUSIC	PROFESSOR - ACADEMIC YEAR	Full	8	Yes	Merit approved as Professor, Step VIII		
BIOLOGICAL SCIENCES	PLANT BIOLOGY	PROFESSOR - FISCAL YEAR	Full	8	Yes	Merit approved as Professor of Plant Biology and Plant Biologist in the AES, Step VIII		

BIOLOGICAL SCIENCES	PLANT BIOLOGY	ASSOCIATE ADJUNCT PROFESSOR - FISCAL YEAR	Associate	2	Yes	Merit approved as Associate Adjunct Professor, Step II	first merit after promotion	
LS: MATH/PHY SCI	GEOLOGY	ASSOCIATE PROFESSOR - ACADEMICYEAR	Associate	2	Yes	Merit to Associate Professor, Step 2, approved.	first merit after promotion	
LS: MATH/PHY SCI	MATHEMATICS	ASSOCIATE PROFESSOR - ACADEMICYEAR	Associate	2	Yes	Merit approved to Associate Professor, Step II.	first merit after promotion	
LS: SOC SCI	LINGUISTICS	ASSOCIATE PROFESSOR - ACADEMICYEAR	Associate	2	Yes	Merit approved as Associate Professor, Step II	first merit after promotion	
LS: HACS	ENGLISH	ASSOCIATE PROFESSOR - ACADEMICYEAR	Associate	2	Yes	Merit approved as Associate Professor, Step II	first merit after promotion	
LS: HACS	RELIGIOUS STUDIES	ASSOCIATE PROFESSOR - ACADEMICYEAR	Associate	2	Yes	Merit approved to Associate Professor, Step II	first merit after promotion	
LS: MATH/PHY SCI	PHYSICS	PROFESSOR - ACADEMIC YEAR	Full	2	Yes	Merit approved to Professor, Step II.	first merit after promotion	

ANNUAL REPORT

COMMITTEE ON ACADEMIC PERSONNEL – OVERSIGHT COMMITTEE
2009-10

The Committee of Academic Personnel – Oversight Committee (CAP) advises the Vice Provost for Academic Personnel on matters that affect the personnel process. These include promotions, appointments, terminations, multiyear accelerations within rank that involve skipping a step, high-level merit actions, third-year deferrals, five year reviews, and appraisals. CAP also recommends membership on ad hoc committees and these are then appointed by the Vice Provost. The committee appoints and directs the Faculty Personnel Committees (FPCs) that advise the Deans on redelegated personnel actions (Appendix D). Appendix E provides a list of CAP's principal tasks.

Faculty Advancement Criteria: CAP evaluates candidate files according to guidelines established in the Academic Personnel Manual (APM-210). CAP's mandate is to assure fair and equitable treatment of all faculty while ensuring that high standards of scholarship are maintained across the campus. Its goal is to apply fair, objective, and uniform standards of evaluation across the disciplines, recognizing the variability of measures of accomplishment and success from one discipline to another.

CAP bases its judgments on documents provided in the formal personnel evaluation process, including documents contained in each candidate's dossier, evaluations by departmental faculty and the chair, commentaries from the dean, and when appropriate, assessments from external evaluators. The committee may also get input from a three-person ad hoc committee appointed by the Vice Provost--Academic Personnel following CAP's recommendations.

CAP's evaluation is guided by the wording of the APM, according to which the "indispensable qualification" for advancement at all levels is "superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement." CAP typically recommends advancement of a faculty member after the normal period at rank and step on the basis of a record of balanced accomplishment in research and/or creative activity, teaching, and service. Alternatively, CAP might make a favorable recommendation when it judges the performance to be well above expectations in one category although it was below expectations in another, as appropriate to rank and step. Time spent on an activity is not considered to be a substitute for accomplishment. CAP does not use time in service (except for deferrals) or health or personal issues in judging merit advancements.

CAP's evaluation of research reported in peer-reviewed publications (and in other venues) and of creative work presented in many forms and venues is based principally on the originality, creativity, and impact of the work as

judged by peers. The primary criteria for the evaluation of teaching are effectiveness and impact, as well as the candidate's command of his or her subject, scholarly growth, and presentation of material in ways that help students to think critically, independently, and creatively. Advising and mentoring activities as well as student evaluations are given substantial weight in judging teaching performance. CAP is also influenced by the amount, variety, and difficulty of teaching. In evaluating service, CAP assesses the effort, impact and outcome.

Academic Personnel Actions: During the 2009-10 academic year (September through August), CAP met 40 times out of 52 weeks. The committee also provided advice on numerous other issues related to academic personnel. These include 11 'Change-of-Title' actions, 17 Endowed Chair actions, 4 Third-Year Deferrals, 9 Five-Year Reviews, 11 Emeritus Status actions, and 3 appointments or reappointments as Department Chair. CAP also spent two meetings reviewing files for Chancellor's Fellows recommendations and evaluated 15 Initial Continuing Appointments for Lecturers. Of the 410 academic personnel actions, the Vice Provost—Academic Personnel disagreed with CAP 12 times (about 2.9%).

The agenda for CAP actions is determined by a priority list that treats appointments and tenure cases as high priorities and other actions variously less so (e.g., accelerations in the Above Scale Ranks). Once an item is on the CAP agenda, the normal completion time was two weeks. Appendix A provides a summary of CAP's deliberations by category for the past academic year. Seven actions were referred to ad hoc committees.

Promotions: For promotions to Associate Professor and Professor, CAP recommended promotion in 87 of 124 cases; a further 18 cases were modifications from what had been proposed. Nineteen cases were recommended against.

Accelerated Actions: Appendix B lists the cases for accelerations that came to CAP (accelerations involving a promotion, a merit increase to Professor, Step VI, and to Above Scale or within Above Scale, as well as all accelerations that entailed skipping a step.

Faculty who received favorable recommendations for a multi-year acceleration generally had received some major recognition nationally or internationally, had superior scholarly achievements, and were excellent teachers and had meritorious service. At the upper levels of the professoriate the expectation of excellence in all areas grows with each step. In most cases in which CAP did not recommend the full proposed acceleration, CAP instead recommended a smaller acceleration (e.g., a one-year retroactive acceleration instead of a two-year acceleration). CAP understands that pressure for multi-year accelerations

is increasing, in part, due to pay cuts, furloughs and the absence of normal pay raises for several years. Salary and retention are beyond the current charge of CAP.

Advancement to Associate Professor, Step IV: Requests for advancement to Associate Professor, Step IV are seen by CAP because for faculty promoted to Associate Professor, Step I, such a merit would typically involve more than six years at rank. (However, if promotion or appointment was to a higher step, this is not the case). In addition, even if a faculty member has spent six years at rank, a merit advance rather than promotion may be appropriate if, for example, a submitted book manuscript only requires minor revision before it would be considered "in press." These advancements to an overlapping step are extraordinary in the Associate ranks.

Retroactive Merit Actions: Retroactive merit actions may be requested by Deans and/or Faculty Personnel Committees. When considering a retroactive action, the review period ends the year before the proposed merit date (e.g., for an action retroactive to July 1, 2009, the creative work/research publications are counted to December 31, 2008, and teaching/service until June 30, 2008). Thus, retroactive recommendations should specifically discuss the record for this review period, and why it supports the retroactive merit. CAP reviewed 19 retroactive requests and made favorable recommendations on 14.

Career Equity Reviews: To address potential inequities at both the point of hire and/or during a faculty member's advancement, *Career Equity Reviews* are conducted. Career equity reviews consider the entire career record of the individual to determine if the current placement on the academic ladder is consistent with faculty at equal and higher rank and step. In 2009-10 CAP conducted 4 career equity reviews that were initiated at a lower level of review. CAP also conducts a career review for every major advancement.

Five-Year Reviews: CAP conducted 9 five-year reviews, recommending "no advancement, performance satisfactory" in 5 cases and recommending "no advancement, performance unsatisfactory" in 4 cases.

Initial Continuing Appointments for Lecturers: CAP reviewed and made recommendations on 15 initial continuing non-Senate appointments in 2009-10. All received favorable recommendations. Teaching excellence is the overriding requirement for a continuing appointment.

Accelerated Merits for Lecturers: CAP considers accelerated merit requests for Lecturers while normal merit advancements are redelegated to the deans. In recommending accelerations (one- or two-step beyond the normal two-step advancement), CAP looks for evidence of teaching accomplishments that go over and beyond teaching excellence, which is the minimum standard for

normal advancement. Such evidence may come in the form of prestigious teaching awards or publication of books (and other creative works) which have substantial pedagogical impact. In 2009-10, CAP considered 4 such requests and made a positive recommendation in 1 case.

Ad Hoc Committees: Review by an ad hoc committee may be required in cases of major advancements (promotions to the Associate Professor and full Professor rank, and merit advancements to Professor, Step VI and Above Scale) and for appointments with tenure. CAP's membership reflects the variety of disciplines represented on campus and is guided by external reviewers' evaluations, but the committee looks to campus ad hoc committees for highly specialized expertise. CAP proposed ad hoc committees in 7 cases and thanks the faculty members who served on these committees for giving so generously of their time and for the high quality and objectivity of their evaluations and reports.

Faculty Personnel Committees: Faculty Personnel Committees (FPCs) advise the deans on personnel actions redelegated to the deans (except, in most cases, first actions after a promotion or appointment). In 2009-10, these actions included appointment of Assistant Professor, Steps I-III; most normal and accelerated merit actions that do not skip a step (up to and including Professor, Step IX, with the exception of merit increases to Professor, Step VI); most normal merit actions for Lecturers and Senior Lecturers with Security of Employment; and Unit 18 actions (including appointments and reappointments of Lecturers and Senior Lecturers without Security of Employment).

The FPCs reviewed 345 cases (Appendix C) out of 474 actions. Of these 474 actions, 129 were first actions after a faculty appointment or promotion, which are handled by the Deans without FPC input. In the remaining cases, the FPCs recommended advancement or acceleration in 301 cases and against the action in 44 cases; the Deans agreed in all but 6 cases (307 approvals, 38 denials). Post-factum audits of these recommendations and files by CAP indicated broad agreement with the FPC recommendations, with a handful of exceptions. FPCs are appointed by CAP upon recommendation of the various Executive Committees of the colleges and schools (Appendix D).

CAP makes appointments of Faculty Personnel Committees based upon recommendations from Faculty Executive Committees. This year, CAP reorganized the College of Letters and Science Faculty Personnel Committee (FPC) to address its workload issues. The new FPC will be effective September 1, 2010. CAP appreciates the dedicated effort and hard work of all FPC members.

Streamlining of Faculty Personnel Actions: In consultation with the Academic Senate, CAP proposed a number of changes to the academic personnel review process with the goal of easing the burden on faculty and staff in preparing and evaluating advancement dossiers. The proposal has been submitted to the Vice Provost–Academic Personnel and will be implemented as a three-year pilot beginning in academic year 2010-11.

Streamlining Endowed Chair Reappointments: To further streamline the personnel process, CAP proposed to no longer review the first reappointments for endowed chairs unless there is disagreement among the recommendations of the reviewing bodies (department, ad hoc committee, and Dean). CAP will continue to review initial appointments of endowed chairs and professors as well as second and subsequent reappointments.

Offscales for UC Davis Faculty: Upon request from the Chancellor, CAP considered the feasibility of expanding the range of options available to faculty for offscale salaries. An analysis and various options have been submitted to the Chancellor and the Provost. A joint Academic Senate/Administrative Task Force will study the analysis and craft a plan for possible implementation in the near future.

Senate Resolution on Faculty Searches: A resolution was considered by the Representative Assembly in Spring 2009 that pointed to a number of problems identified by CAP in faculty searches. The resolution was tabled and was taken up again by the Representative Assembly in Fall 2009. The resolution asked for the inclusion of search plans in appointment packages that are considered by CAP and was endorsed by the Representative Assembly. Following discussions with the Vice Provost, Provost and Deans, it was agreed upon that appointment reviews by CAP will now include full search plans.

University Committee On Academic Personnel (UCAP): Robert Feenstra served as a member of the University Committee on Academic Personnel, and Ahmet Palazoglu as its vice-chair, which held several meetings throughout the academic year. The Office of the President, UCAP members, or other UC Academic Senate committees and officers bring issues to the attention of UCAP. A primary function of this systemwide committee is to facilitate the exchange of information among campuses. Accordingly, CAP was regularly informed of UCAP discussions and through its representative provided input into such discussions, when appropriate. UCAP addressed a broad range of issues, among which were discussions assuring adequate funding for UCRP, reviewing the reports of the Commission on the Future of the University, differential fees for different campuses, peer reviews in publishing and academic promotions, comparison of CAP practices on sister campuses, and various amendments to the APM.

Other Policy Matters: In addition, CAP commented on several campus or Universitywide policy matters, including the following:

- UC Davis: A Vision of Excellence.
- Departmental Status – Comparative Literature
- Disestablishment of Exercise Science
- Proposed amendment to Bylaw 45
- My InfoVault (MIV)

CAP reviewed voting procedures for the following departments:

- Geology
- Medical Microbiology & Immunology
- Pathology, Microbiology & Immunology
- Plant Sciences
- Science & Technology Studies

Acknowledgments

CAP would like to express appreciation to the Academic Senate staff, in particular Solomon Bekele for his efficient and professional service. CAP would also like to thank Vice Provost Barbara Horwitz and her staff. They have been a pleasure to work with.

Respectfully submitted,

Ahmet Palazoglu, Chair

CAP's Membership 2008-09

Shirley Chiang
Joanne Diehl
Robert Feenstra
Hung Ho
Charles Langley
James MacLachlan
Ahmet Palazoglu, Chair
Kyaw Tha Pa U
Jonathan Widdicombe

APPENDIX A: CAP ACTIONS

	Recommended Positive	Modified	Recommended Negative
Appointments (75)			
Assistant Professor (8)	5	3	0
Associate Professor (5)	4	0	1
Professor (16)	11	5	0
Via Change in Title (11)	8	3	0
Initial Continuing Non-Senate (15)	15	0	0
Endowed Chair Appointment/Reappointment (17)	16	1	0
Department Chair Reappointment (3)	3	0	0
Promotions (124)			
Associate Professor (71)	51	7	13
Professor (53)	36	11	6
Merit Increases (117)			
Assistant Professor (1)	0	1	0
Associate Professor (27)	17	1	9
Professor, Step V to VI (35)	23	1	11
Professor, Step IX to Above Scale (14)	10	0	4
Professor, Above Scale (21)	9	1	11
Proposed Retroactive Actions (19)	14	0	5
Miscellaneous Actions (94)			
Senior Lecturer, SOE (4)	4	0	0
Career Equity Reviews (4)	0	0	4
Emeritus (11)	10	0	1
POP Screenings (2)	2	0	0
TOE Screenings (4)	4	0	0
Appraisals (56)	28+	23*	5-
Five-Year Reviews (9)	5	N/A	4
Third-Year Deferrals (4)	4	0	0
	279	**57**	**74**

+Positive ; *Guarded ; -Negative

APPENDIX B: SUMMARY OF ACCELERATED ACTIONS

Acceleration Proposed	Yes	No	Other
1-yr	31	18	3
2-yr	5	2	5
3-yr	5	0	6
3+-yr	1	2	2

APPENDIX C: REDELEGATED MERIT ACTIONS

College/Div/School	FPC Recommendation		Dean's Decision		1st Actions w/o FPC Input
	Yes	No	Yes	No	
CAES	70	4	72	2	4
CBS	19	2	19	2	0
EDU	6	0	6	0	3
ENG	43	10	44	9	0
GSM	4	0	4	0	4
HArCS	23	7	23	7	30
MPS	37	2	38	1	16
SS	36	3	37	2	17
LAW	3	0	3	0	5
SOM	30	11	31	10	39
VM	30	5	30	5	11
Total	**301**	**44**	**307**	**38**	**129**

APPENDIX D: REDELEGATED MERIT ACTIONS

FACULTY PERSONNEL COMMITTEES
2009 - 2010

COLLEGE OF AG. & ENVIRONMENTAL SCIENCES	TERM
Jim Chalfant (Ag & Resource Economics) - Chair	2007-2010
Chris Calvert (Animal Science)	2008-2011
Eliska Rejmankova (Env. Sci & Policy)	2008-2011
Terry Nathan (LAWR)	2007-2010
David Burger (Plant Sciences)	2009-2012
Martin Kenney (H&CD)	2008-2011

COLLEGE OF ENGINEERING	
Matthew Franklin (Computer Science) - Chair	2007-2010
Joanna Groza (Chem Eng & Materials Science)	2007-2010
David Slaughter (Biol. & Ag Eng)	2007-2010
Rob Chai (Civil & Env. Eng)	2008-2011
Michael Savageau (Biomedical Eng)	2008-2011
Abdul Barakat (Mech & Aero Eng)	2008-2011
Khaled Abdel-Ghaffar (Electrical & Computer Eng)	2009-2012

COLLEGE OF LETTERS & SCIENCE	
Michael Kapovich (Mathematics) - Chair	2007-2010
Mark Kurth (Chemistry)	2007-2010
Hilary Hoynes (Economics)	2008-2011
Blake Stimson (Art & Art History)	2008-2011
Ross Bauer (Music)	2009-2012
Li Zhang (Anthropology)	2009-2012

COLLEGE OF BIOLOGICAL SCIENCES	
Peter Wainwright (Evolution & Ecology) - Chair	2007-2010
Anne Britt (Plant Biology)	2007-2010
Dave Furlow - NP&B	2007-2010
Sean Burgess (MCB)	2009-2012
Kaz Shiozaki (Microbiology)	2009-2012

GRADUATE SCHOOL OF MANAGEMENT	TERM
Martine Quinzii - Economics - Chair	2009-2011
Hemant Bhargava (GSM)	2009-2012
Prasad Naik (GSM)	2007-2010

SCHOOL OF LAW	
Michael Maher - (GSM) - Chair	2006-2010
Lisa Ikemoto	2008-2011
Leslie Kurtz	2009-2012
Gail Goodman (Psychology)	2008-2011
Keith Aoki	2008-2011

SCHOOL OF MEDICINE	
Richard Tucker (Cell Biology & Human Anatomy) - Chair	2008-2011
Vijay Khatri (Surgery)	2007-2010
David Rocke (Public Health Sciences)	2009-2012
Regina Gandour-Edwards (Pathology & Lab Med)	2007-2010
Dennis Styne (Pediatrics)	2007-2010
Janine LaSalle (Medical Micro & Immunology)	2009-2012
John Payne (Physiology & Mem Biology)	2008-2011
Richard White (Internal Medicine)	2008-2011
Andrew Vaughan (Radiation Oncology)	2007-2010

SCHOOL OF VETERINARY MEDICINE	
Mark Kittleson - Medicine & Epidemiology - Chair	2007-2010
Lisa Tell - Medicine & Epidemiology	2007-2010
Robert Poppenga - CAHFS	2006-2010
Bruno Pypendop - Surgical & Radiological Sciences	2009-2012
Jeffrey Stott - Pathology, Microbiology & Immunology	2009-2012

SCHOOL OF EDUCATION

Robert Blake - (Spanish) - Chair	2007-2011
Jon Wagner (Education)	2003-2010
Thomas Timar (Education)	2007-2010

APPENDIX E:

PRINCIPAL TASKS OF THE COMMITTEE ON ACADEMIC PERSONNEL – OVERSIGHT COMMITTEE

1. Nominating faculty to serve on ad hoc committees which make recommendations for promotions, appointments, and upper level merit increases.

2. Reviewing the reports of ad hoc committees and independently evaluating the dossiers of the candidate under consideration.

3. Reviewing proposed accelerated merit increases, terminations, reconsiderations, third-year deferrals, five-year reviews, Chancellor Fellow and Endowed Chair appointments, and reappointments of department chairs.

4. Reviewing merit actions for department chairs, program chairs, associate deans, members of Faculty Personnel Committees (and their near relatives) and other individuals for whom such action has not been redelegated to deans.

5. Appointing faculty to serve on Faculty Personnel Committees.

6. Reviewing policy matters referred by the administration and by the chair or committee of the Academic Senate, as well as initiating new policies and changes in existing policies when appropriate.

7. Conducting an annual post-audit of the recommendations from the Faculty Personnel Committees.

8. Reviewing summaries of confidential files of individual faculty prepared at individual's request by the Vice Provost—Academic Personnel.

9. Approving departmental voting procedures.

10. Reviewing requests for Target of Excellence and Partner Opportunity Program positions.

11. Reviewing cases to ensure equity in the application of criteria for appointments, merits, and promotion actions.

12. Conducting career equity reviews and reviewing continuing appointments for Unit 18 Lecturers.

ANNUAL REPORT

COMMITTEE ON ACADEMIC PERSONNEL – OVERSIGHT COMMITTEE
2010-11

The Committee of Academic Personnel – Oversight Committee (CAP) advises the Vice Provost for Academic Personnel on matters that affect the personnel process. These include promotions, appointments, terminations, multiyear accelerations within rank that involve skipping a step, high-level merit actions, third-year deferrals, five year reviews, and appraisals. CAP also recommends membership on ad hoc committees and these are then appointed by the Vice Provost. The committee appoints and directs the Faculty Personnel Committees (FPCs) that advise the Deans on redelegated personnel actions (Appendix D). Appendix E provides a list of CAP's principal tasks.

Faculty Advancement Criteria: CAP evaluates candidate files according to guidelines established in the Academic Personnel Manual (APM-210). CAP's mandate is to assure fair and equitable treatment of all faculty while ensuring that high standards of scholarship are maintained across the campus. Its goal is to apply fair, objective, and uniform standards of evaluation across the disciplines, recognizing the variability of measures of accomplishment and success from one discipline to another.

CAP bases its judgments on documents provided in the formal personnel evaluation process, including documents contained in each candidate's dossier, evaluations by departmental faculty and the chair, commentaries from the dean, and when appropriate, assessments from external evaluators. The committee may also get input from a three-person ad hoc committee appointed by the Vice Provost--Academic Personnel following CAP's recommendations.

CAP's evaluation is guided by the wording of the APM, according to which the "indispensable qualification" for advancement at all levels is "superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement." CAP typically recommends advancement of a faculty member after the normal period at rank and step on the basis of a record of balanced accomplishment in research and/or creative activity, teaching, and service. Alternatively, CAP might make a favorable recommendation when it judges the performance to be well above expectations in one category although it was below expectations in another, as appropriate to rank and step. Time spent on an activity is not considered to be a substitute for accomplishment. Except for deferrals, CAP does not use time in service or health or personal issues in judging merit advancements.

CAP's evaluation of research reported in peer-reviewed publications (and in other venues) and of creative work presented in many forms and venues is based principally on the originality, creativity, and impact of the work as

judged by peers. The primary criteria for the evaluation of teaching are effectiveness and impact, as well as the candidate's command of his or her subject, scholarly growth, and presentation of material in ways that help students to think critically, independently, and creatively. Advising and mentoring activities as well as student evaluations are given substantial weight in judging teaching performance. CAP is also influenced by the amount, variety, and difficulty of teaching. In evaluating service, CAP assesses the effort, impact and outcome.

Academic Personnel Actions: During the 2010-11 academic year (September through August), CAP met 39 times out of 52 weeks and considered over 500 agenda items. The committee provided advice on numerous issues related to academic personnel. These include 9 'Change-of-Title' actions, 13 Endowed Chair actions, 9 Third-Year Deferrals, 12 Five-Year Reviews, 11 Emeritus Status actions, and 3 appointments or reappointments as Department Chair. CAP also reviewed files for Chancellor's Fellows recommendations and evaluated 8 Initial Continuing Appointments for Lecturers. Of the 438 academic personnel actions, the Vice Provost—Academic Personnel disagreed with CAP 14 times (about 3.2%). We note that in most of these cases, CAP's recommendation was split, indicating that these were close cases, and often the Vice Provost's final decision was based on information that arrived after CAP reviewed the case.

Overall, both CAP and the FPCs made negative recommendations in fewer than 12% of the cases. This reflects the high-quality research and teaching done by the vast majority of the faculty at UC Davis.

The agenda for CAP actions is determined by a priority list that treats appointments and tenure cases as high priorities and other actions variously less so (e.g., accelerations in the Above Scale ranks). Once an item is placed on the CAP agenda, the normal completion time was two weeks. Appendix A provides a summary of CAP's deliberations by category for the past academic year. Eight actions were referred to ad hoc committees.

Promotions: For promotions to Associate Professor (60) and Professor (57), CAP recommended promotion in 104 of 117 cases. Of these, 91 recommended the promotion proposed by the department and recommended by the Dean. Overall, 22 cases were modified recommendations from what had been proposed. Of these 22 modifications, 8 were recommended for merit increases to an overlapping step, 7 were recommended for lateral promotion, 2 were recommended for normal promotions instead of accelerated promotion, 3 were recommended for retroactive action, 1 was recommended for an accelerated promotion by CAP, and 1 was a split recommendation, where CAP made neither a positive or negative recommendation. Thus, CAP recommended no advancement in only 4 cases.

Accelerated Actions: Appendix B lists the cases for accelerations that came to CAP (accelerations involving a promotion, a merit increase to Professor, Step VI, and to Above Scale or within Above Scale, a merit increase for an FPC member, department chair or administrator, as well as all accelerations that entailed skipping a step at any level).

Faculty who received favorable recommendations for a multi-year acceleration generally had received some major recognition nationally or internationally, had superior scholarly achievements, and were excellent teachers and had meritorious service. At the upper levels of the professoriate the expectation of excellence in all areas grows with each step. In many cases where CAP did not recommend the full proposed acceleration, CAP instead recommended a smaller acceleration (e.g., a one-year retroactive acceleration instead of a two-year acceleration). CAP understands that pressure for multi-year accelerations is increasing, in part, due to pay cuts, furloughs and the absence of normal pay raises for several years. Salary and retention are beyond the current charge of CAP.

Advancement to Associate Professor, Step IV: Requests for advancement to Associate Professor, Step IV are seen by CAP because for faculty promoted to Associate Professor, Step I, such a merit would typically involve more than six years at rank. (However, if promotion or appointment was to a higher step, this is not the case). In addition, even if a faculty member has spent six years at rank, a merit advance rather than promotion may be appropriate if, for example, a submitted book manuscript only requires minor revision before it would be considered "in press." These advancements to an overlapping step are unusual in the Associate ranks.

Retroactive Merit Actions: Retroactive merit actions may be requested by Deans and/or Faculty Personnel Committees. When a retroactive action is considered, the review period ends the year before the proposed merit date (e.g., for an action retroactive to July 1, 2010, the creative work/research publications are counted to December 31, 2009, and teaching/service until June 30, 2009). Thus, retroactive recommendations should specifically discuss the record for this review period, and detail why it supports the retroactive merit. CAP reviewed 16 retroactive requests and made favorable recommendations on 13.

Career Equity Reviews: *Career Equity Reviews* occur coincident with a merit or promotion action and only faculty who (1) have held an eligible title, and (2) have not been reviewed by CAP during the previous four academic years, can be considered for a career equity review. The purpose of career equity reviews is to address potential inequities at the point of hire and/or during a faculty member's advancement. Career equity reviews consider the entire career

record of the individual to determine if the current placement on the academic ladder is consistent with faculty at equal and higher rank and step. In 2010-11 CAP conducted 7 career equity reviews that were initiated at a lower level of review and supported two of them. CAP also conducts a career review for every major advancement.

Five-Year Reviews: CAP conducted 12 five-year reviews, recommending "no advancement, performance satisfactory" in 10 cases and recommending "no advancement, performance unsatisfactory" in 2 cases.

Initial Continuing Appointments for Lecturers: CAP reviewed and made recommendations on 8 initial continuing non-Senate appointments in 2010-11. All received favorable recommendations. Teaching excellence is the overriding requirement for a continuing appointment.

Accelerated Merits for Continuing Lecturers: CAP considers accelerated merit requests for Continuing Lecturers, whereas normal merit advancements are redelegated to the deans. In recommending accelerations (one or two steps beyond the normal two-step advancement), CAP looks for evidence of teaching accomplishments that go beyond teaching excellence, which is the minimum standard for normal advancement. Such evidence may come in the form of prestigious teaching awards or publication of books (and other creative works) that have substantial pedagogical impact. In 2010-11, CAP considered 3 such requests and made a positive recommendation in each case.

Ad Hoc Committees: Review by an ad hoc committee may be required in cases of major advancements (promotions to the Associate Professor and full Professor rank, and merit advancements to Professor, Step VI and Above Scale) and for appointments with tenure. CAP's membership reflects the variety of disciplines represented on campus and is guided by external reviewers' evaluations, but the committee looks to campus ad hoc committees for highly specialized expertise. CAP proposed ad hoc committees in 8 cases and thanks the faculty members who served on these committees for giving so generously of their time and for the high quality and objectivity of their evaluations and reports.

Faculty Personnel Committees: Faculty Personnel Committees (FPCs) advise deans on personnel actions redelegated to them (except, in most cases, first actions after a promotion or appointment). In 2010-11, these actions included appointment of Assistant Professor, Steps I-III; most normal and accelerated merit actions that do not skip a step (up to and including Professor, Step IX, with the exception of merit increases to Professor, Step VI and Above Scale); most normal merit actions for Lecturers and Senior Lecturers with Security of Employment; and Unit 18 actions (including appointments and

reappointments of Lecturers and Senior Lecturers without Security of Employment). Information on FPC actions is reported in Appendix C

CAP appoints Faculty Personnel Committees based upon recommendations from Faculty Executive Committees. CAP appreciates the dedicated effort and hard work of all FPC members.

Clarification of Appeals versus Reconsiderations: There is information clarifying appeals versus reconsideration in the form of a flow chart, available at: http://academicsenate.ucdavis.edu/documents/Senate-Chair-letter-and-flowchart-RE-CERJ-Advice-Merit-Appeal.pdf. As described in the chart, appeals are applicable when the faculty member who wishes to appeal provides evidence of a personnel committee's failure to apply established standards of merit or failure to follow established procedure. Reconsiderations are applicable when new information is supplied that is not the result of a personnel committee's failure to apply established standards of merit or procedure.

Consideration of Academic Collegiality in the Merit and Promotion Process: The Academic Senate Committee on Privilege and Tenure (P&T) has examined the question of whether an individual's collegiality, or lack thereof, may be considered in merit and promotion actions. If collegiality becomes an issue in a personnel action, P&T asserted that the record forwarded should be particularly clear and factually well-supported. To that end, P&T recommended the following:

- "If non-collegiality is raised as an issue at the department level, the chair's letter to the dean must be specific about the nature of the allegations and should document examples of non-collegiality so that the individual under review can understand the allegations and respond accordingly. Specificity and substantiation in the chair's letter will help [reviewers] judge the merits of the allegation.

- If the departmental letter raises the issue of non-collegiality, the dean should fully explore and comment upon the allegations in [his/her] letter." "Academic collegiality (or academic "citizenship" as it is sometimes called) is not a separate or additional area of performance for which the individual is to be evaluated but rather, falls within the context of the individual's record of teaching, research, professional competence and activity, and University and public service.

Criteria of Scholarship: In 2002, CAP solicited criteria of scholarship documents from campus departments. The intent of these documents was to provide disciplinary context CAP could utilize during review of cases from the

department. Thus the criteria can enhance the context already provided in the departmental letter. CAP received documents from some departments, but CAP does not approve such documents. They are viewed as a departmental document, and thus not within the jurisdiction of CAP. Departments are welcome to provide new or revised criteria of scholarship documents as they deem appropriate.

To ensure criteria of scholarship are considered at all levels during review, we suggest the following:

- Criteria of Scholarship are not a substitute for the APM and do not substitute for the peer review process. The criteria will be used to provide context to the review.
- The Criteria should be attached to the dossier, or at least referred to in the Department Chair letter. Doing so will call attention to their appropriate use during review by the Faculty Personnel Committee, Dean's Office and/or CAP.

  Departments that use a criteria of scholarship document should periodically review and (if appropriate) update them.

University Committee On Academic Personnel (UCAP): Kyaw Tha Paw U served as CAP's representative to the University Committee on Academic Personnel, which held several meetings throughout the academic year. The Office of the President, UCAP members, or other UC Academic Senate committees and officers bring issues to the attention of UCAP. A primary function of this systemwide committee is to facilitate the exchange of information among campuses. Accordingly, CAP was regularly informed of UCAP discussions and through its representative provided input into such discussions, when appropriate.

Acknowledgments

CAP would like to express appreciation to the Academic Senate staff, in particular Solomon Bekele for his excellent professional service. CAP would also like to thank Vice Provost Barbara Horwitz and her staff. They have been a pleasure to work with.

Respectfully submitted,

Chip Martel, Chair

CAP's Membership 2010-11

James MacLachlan (chair from 9/1/10 through 12/31/10 and member through 8/31/11)
Chip Martel (chair from 1/1/11 through 8/31/11)
Shirley Chiang
John Hall
Ronald Hess (Member from 9/1/10 through 12/31/10)
Hung Ho
Kari Lokke
Kyaw Tha Paw U
Martin Usrey
Andrew Vaughan

APPENDIX A: CAP ACTIONS

	Recommended Positive	Modified Actions@	Recommended Negative
Appointments (71)			
Assistant Professor (8)	8	0	0
Associate Professor (9)	9	0	0
Professor (19)	17	2	0
Via Change in Title (9)	7	2	0
Initial Continuing Non-Senate (8)	8	0	0
Endowed Chair Appointment/Reappointment (13)	12	0	1*
Department Chair Reappointment (3)	3	0	0
Joint Appointment	2	0	0
Promotions (117)			
Associate Professor (60)	42	14	4
Professor (57)	49	8	0
Merit Increases (163)			
Associate Professor (28)	17	4	7
Professor, Step V to VI (47)	40	0	7
Professor, Step IX to Above Scale (23)	15	0	8
Professor, Above Scale (18)	17	0	1
Proposed Retroactive Actions (16)	13	0	3
~Other Merits (31)	18	5	8
Miscellaneous Actions (87)			
Senior Lecturer, SOE (1)	0	0	1
Career Equity Reviews (7)	2	0	5
Emeritus (11)	11	0	0
TOE Screenings (2)	2	0	0
Appraisals (45)	27+	15^	3-
Five-Year Reviews (12)	10	N/A	2
Third-Year Deferrals (9)	9	0	0
Grand Total = 438	**338**	**50**	**50**

*split (4:4, w/one absent); ~merit increase for FPC members, Deans, Assoc. Deans, and Dept. Chairs; +positive; ^Guarded; -Negative; @modified actions are those CAP recommendations that differed from what was proposed, i.e., instead of a promotion a merit increase was recommended.

compare to other years

APPENDIX B: SUMMARY OF ACCELERATED ACTIONS (not including retroactive merits)

Acceleration Proposed	Yes	No	Other
1-yr	40	10	0
2-yr	4	1	6
3-yr	1	0	7

APPENDIX C: REDELEGATED MERIT ACTIONS

College/Div/ School	FPC Recommendation Yes	No	Split	Dean's Decision Yes	No	Actions w/o FPC Input Yes	No	Accelerations
CAES	53	7		52	8	13	0	19
CBS	13	2		12	3	8	0	4
EDU	4	0		4	0	2	0	0
ENG	49	6		52	3			20
GSM	7	0		6	1	3	1	0
HArCS	17	3		17	3	19	0	3
MPS	16	1		16	1	8	0	11
SS	20	5	2	22	5	17	0	9
LAW	4	0		4	0	1	0	3
SOM	87	14	2	93	10	48	2	18
VM	27	2		29	0	13	0	6
Total	**297**	**40**	**4**	**307**	**34**	**132**	**3**	**93**

APPENDIX D: REDELEGATED MERIT ACTIONS

FACULTY PERSONNEL COMMITTEES
2010-2011

COLLEGE OF AG. & ENVIRONMENTAL SCIENCES	TERM
Chris Calvert (Animal Science) - Chair	2008-2011
Eliska Rejmankova (Env. Sci & Policy)	2008-2011
David Burger (Plant Sciences)	2009-2012
Martin Kenney (H&CD)	2008-2011
Patricia Oteiza (Nutrition)	2010-2013
Rachael Goodhue (A&RE)	2010-2013

COLLEGE OF ENGINEERING	
Michael Savageau (Biomedical Eng) - Chair	2008-2011
Ann Orel (Applied Sci)	2010-2013
Ken Giles (Biol. & Ag Eng)	2010-2013
Rob Chai (Civil & Env. Eng)	2008-2011
Pieter Stroeve (Chem Eng & Materials Sci)	2010-2013
Zhaojun Bai (Computer Sci)	2010-2013
Khaled Abdel-Ghaffar (Electrical & Computer Eng)	2009-2012

COLLEGE OF LETTERS & SCIENCE	
Humanities, Arts & Cultural Studies - HArCS	
Blake Stimson (Art & Art History) - Chair	2010-2011
Ross Bauer (Music)	2010-2012
Scott Shershow (English)	2010-2013
Lynne Isbell (Anthropology)	2010-2012
Sandra Carlson (Geology)	2010-2013
Social Sciences - SS	
Jaoquim Silvestre (Economics) - Chair	2010-2011
Lynne Isbell (Anthropology)	2010-2012
Zeev Maoz (Political Science)	2010-2013
Scott Shershow (English)	2010-2013
Xiangdong Zhu (Physics)	2010-2012

Mathematical & Physical Sciences - MPS

Motohico Mulase (Mathematics) - Chair	2010-2011
Xiangdong Zhu (Physics)	2010-2012
Sandra Carlson (Geology)	2010-2013
Ross Bauer (Music)	2010-2012
Zeev Maoz (Political Science)	2010-2013

COLLEGE OF BIOLOGICAL SCIENCES

Peter Wainwright (Evolution & Ecology) - Chair	2007-2011
Sean Burgess (MCB)	2009-2012
Katie Dehesh (Plant Biology)	2010-2013
Barbara Chapman (NPB)	2010-2013
Mitchell Singer (Microbiology)	2010-2013

GRADUATE SCHOOL OF MANAGEMENT

	TERM
Martine Quinzii - Economics - Chair	2009-2011
Chih-Ling Tsai (GSM)	2010-2013
Prasad Naik (GSM)	2007-2011

SCHOOL OF LAW

Gail Goodman (Psychology) - Chair	2008-2011
Leslie Kurtz	2009-2012
Keith Aoki	2008-2011
Tom Joo	2010-2013
Ryken Grattet (Sociology)	2010-2013

SCHOOL OF MEDICINE

Richard Tucker (Cell Biol. & Human Anatomy) - Chair	2008-2011
David Rocke (Public Health Sciences)	2009-2012
Janine LaSalle (Medical Micro & Immunology)	2009-2012
John Payne (Physiology & Mem Biology)	2008-2011
Richard White (Internal Medicine)	2008-2011
Neal Fleming (Anesthesiology & Pain Medicine)	2010-2013
Deborah Diercks (Emergency Medicine)	2010-2013
Susanna Park (Ophthalmology)	2010-2013
Philip Wolinsky (Orthopedic Surgery)	2010-2013

SCHOOL OF VETERINARY MEDICINE

Lisa Tell - Medicine & Epidemiology - Chair	2007-2011
Bruno Pypendop - Surgical & Radiological Sciences	2009-2012
Jeffrey Stott - Pathology, Microbiology & Immunology	2009-2012
Mark Anderson - CAHFS/PMI	2010-2013
Birgit Puschner - Molecular Biosciences	2010-2013

SCHOOL OF EDUCATION

Robert Blake - (Spanish) - Chair	2007-2011
Cristina Gonzalez (Education)	2010-2012
Peter Mundy temporary replacement in spring 2010 for C. Gonzalez	
Thomas Timar (Education)	2007-2010

APPENDIX E:

PRINCIPAL TASKS OF THE COMMITTEE ON ACADEMIC PERSONNEL – OVERSIGHT COMMITTEE

1. Nominating faculty to serve on ad hoc committees which make recommendations for promotions, appointments, and upper level merit increases.

2. Reviewing the reports of ad hoc committees and independently evaluating the dossiers of the candidate under consideration.

3. Reviewing proposed accelerated merit increases, terminations, reconsiderations, third-year deferrals, five-year reviews, Chancellor Fellow and Endowed Chair appointments, and reappointments of department chairs.

4. Reviewing merit actions for department chairs, program chairs, associate deans, members of Faculty Personnel Committees (and their near relatives) and other individuals for whom such action has not been redelegated to deans.

5. Appointing faculty to serve on Faculty Personnel Committees.

6. Reviewing policy matters referred by the administration and by the chair or committee of the Academic Senate, as well as initiating new policies and changes in existing policies when appropriate.

7. Conducting an annual post-audit of the recommendations from the Faculty Personnel Committees.

8. Reviewing summaries of confidential files of individual faculty prepared at individual's request by the Vice Provost—Academic Personnel.

9. Approving departmental voting procedures.

10. Reviewing requests for Target of Excellence and Partner Opportunity Program positions.

11. Reviewing cases to ensure equity in the application of criteria for appointments, merits, and promotion actions.

12. Conducting career equity reviews and reviewing continuing appointments for Unit 18 Lecturers.

Annual Report: Academic Year 2009-10
Davis Division: Academic Senate

Committee on Academic Personnel, Appellate Subcommittee (CAPAC)

Total Meetings: 8	Meeting frequency: upon receipt of appeal(s)	Average hours of committee work each week: 2-3 hours per committee member per appeal

Total appeals reviewed: 37	Total of reviewed appeals deferred from the previous year: 12	Total appeals deferred to the coming academic year: 14 (not included in this report)

Listing of bylaw changes proposed: Davis Division Bylaw 45 – 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 bylaw change closes 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.

Listing of committee policies established or revised: None

Issues considered by the committee: None

Committee's narrative:

The 2009-2010 Committee on Academic Personnel, Appellate Subcommittee (CAPAC) reviewed 37 cases during this academic year (Table 1) in response to requests from the Office of the Vice Provost – Academic Personnel (Table 2) and individual Dean's offices (Table 3). CAPAC met 8 times, averaging 2 hours per meeting, to discuss these appeals.

CAPAC recommended granting 15 of 37 appeals reviewed. Table 4 shows the Vice-Provost's or Dean's decisions on these appeals, in relation to CAPAC's recommendations.

Table 1: Origin of Appeals	
College/School	**# Appeals**
College of Agricultural & Environmental Sciences	6
College of Engineering	4
College of Letters and Science	8
School of Law	1
School of Medicine	12
School of Veterinary Medicine	4
College of Biological Sciences	2
Graduate School of Management	0
Grand Total	**37**

Table 2: CAPAC Recommendations to the Vice Provost – Academic Personnel				
		GRANT APPEAL		**DENY APPEAL**
Action	**# Cases**	**Grounds of Procedure**	**Grounds of Merit**	**Grounds of Merit**
Decelerated Merit Advancement (1, 2, 3 Yr)	0	0	0	0
Accelerated Merit (1, 2, 3 Yr)	0	0	0	0
Accelerated Promotion (1, 2, 3 Yr)	2	0	1	1
Merit	8	0	2	6
Regular Merit, Above Scale	2	0	1	1
Promotion	6	0	2	4
CER Appeals	1	0	0	1
Appointment by Change in Series	0	0	0	0
5 Year Review	1	0	0	1
TOTALS	**20**	**0**	**6**	**14**

Table 3: CAPAC Recommendations to the Individual Deans (Redelegated Appeals)				
		GRANT APPEAL		**DENY APPEAL**
Action	**# Cases**	**Grounds of Procedure**	**Grounds of Merit**	**Grounds of Merit**
Decelerated Merit Advancement (1, 2, 3 Yr)	0	0	0	0
Accelerated Merit (1, 2, 3 Yr)	5	0	2	3
Accelerated Promotion (1, 2, 3 Yr)	0	0	0	0
Merit	12	0	7	5
Regular Merit, Above Scale	0	0	0	0
Promotion	0	0	0	0
TOTALS	**17**	**0**	**9**	**8**

Table 4: CAPAC Recommendation vs. Final Decision							
		CAPAC Recommendation		**FINAL DECISION**			
ACTION	# CASES	GRANT	DENY	GRANT	DENY	PENDING	OTHER
Decelerated Merit Advancement (1, 2, 3 Yr)	0	0	0	0	0	0	0
Accelerated Merit (1, 2, 3 Yr)	5	2	3	1	4	0	0
Accelerated Promotion (1, 2, 3 Yr)	2	1	1	1	0	0	1
Merit	20	9	11	6	14	0	0
Promotion	6	2	4	1	4	0	1
Regular Merit, Above Scale	2	1	1	1	1	0	0
CER Appeals	1	0	1	0	1	0	0
Appointment by Change in Series	0	0	0	0	0	0	0
5 Year Review	1	0	1	0	1	0	0
TOTAL	**37**	**15**	**22**	**10**	**25**	**0**	**2**

Respectfully submitted,

Walter Stone, Chair
Joseph Antognini, Judy Callis, Bryce Falk, Biswanath Mukherjee,
Edwin M. Arevalo (Assistant Director, Academic Senate Office)

Annual Report: Academic Year 2010-11
Davis Division: Academic Senate

Committee on Academic Personnel, Appellate Subcommittee (CAPAC)

Total Meetings: 9	Meeting frequency: upon receipt of appeal(s)	Average hours of committee work each week: 2-3 hours per committee member per appeal

Total appeals reviewed: 41	Total of reviewed appeals deferred from the previous year: 1	Total appeals deferred to the coming academic year: 10 (not included in this report)

Listing of bylaw changes proposed: None.
Listing of committee policies established or revised: None.
Issues considered by the committee: In the performance of its charge, the 2010-11 CAPAC addressed the issue of the number of appeals of CAPOC decisions that it was recommending. In addressing this issue, CAPAC sought to clarify the classification of appeal materials to distinguish "new information" and to define procedural errors. These matters led to a review and clarification of the appeal process that involved consultations with the Vice Provost – Academic Personnel, CAPOC and CERJ and resulted an appeal and reconsideration process flow chart (see attached) which reinforced Davis Division Bylaw 45.

Committee's narrative:

The 2010-11 Committee on Academic Personnel, Appellate Subcommittee (CAPAC) received 43 actions on appeal during the academic year (Table 1) in response to requests from the Office of the Vice Provost – Academic Personnel (Table 2) and individual Dean's offices (Table 3).

CAPAC recommended granting 19 of 41 appeals reviewed. Table 4 shows the Vice-Provost's or Dean's decisions on these appeals, in relation to CAPAC's recommendations.

Table 1: Origin of Appeals	
College/School	**# Appeals**
College of Agricultural & Environmental Sciences	13
College of Engineering	3
College of Letters and Science	16
School of Law	0
School of Medicine	7
School of Veterinary Medicine	1
College of Biological Sciences	2
Graduate School of Management	0
School of Education	1
Grand Total	**43**

Table 2: CAPAC Recommendations to the Vice Provost – Academic Personnel				
		GRANT APPEAL		**DENY APPEAL**
Action	**# Cases**	**Grounds of Procedure**	**Grounds of Merit**	**Grounds of Merit**
Decelerated Merit Advancement (1, 2, 3, 4 Yr)	3	0	3	0
Accelerated Merit (1, 2, 3, 4 Yr)	4	0	1	3
Accelerated Promotion (1, 2, 3, 4 Yr)	1	0	1	0
Merit	12	0	7	5
Regular Merit, Above Scale	3	0	1	2
Accelerated Merit, Above Scale	4	0	1	3
Promotion	3	0	1	2
CER Appeals	2	0	1	1
Appointment by Change in Series	0	0	0	0
5 Year Review	1	0	0	1
TOTALS	**33**	**0**	**16**	**17**

Table 3: CAPAC Recommendations to the Individual Deans (Redelegated Appeals)				
		GRANT APPEAL		**DENY APPEAL**
Action	**# Cases**	**Grounds of Procedure**	**Grounds of Merit**	**Grounds of Merit**
Decelerated Merit Advancement (1, 2, 3 Yr)	0	0	0	0
Accelerated Merit (1, 2, 3 Yr)	5	0	2	3
Accelerated Promotion (1, 2, 3 Yr)	0	0	0	0
Merit	2	0	0	2
Regular Merit, Above Scale	0	0	0	0
Promotion	0	0	0	0
Continuing Non-Senate Faculty	1	0	1	0
TOTALS	**8**	**0**	**3**	**5**

Table 4: CAPAC Recommendation vs. Final Decision							
	Non-Redel & Redel	CAPAC Recommendation		FINAL DECISION			
ACTION	# CASES	GRANT	DENY	GRANT	DENY	PENDING	OTHER
Decelerated Merit Advancement (1, 2, 3, 4 Yr)	3	3	0	3	0	0	0
Accelerated Merit (1, 2, 3, 4 Yr)	9	3	6	3	5	0	1
Accelerated Promotion (1, 2, 3, 4 Yr)	1	1	0	1	0	0	0
Merit	14	7	7	8	6	0	0
Promotion	3	1	2	1	2	0	0
Regular Merit, Above Scale	3	1	2	1	2	0	0
Accelerated Merit, Above Scale	4	1	3	3	1	0	0
CER Appeals	2	1	1	0	1	1	0
Appointment by Change in Series	0	0	0	0	0	0	0
5 Year Review	1	0	1	0	1	0	0
Continuing Non-Senate Faculty	1	1	0	1	0	0	0
TOTAL	**41**	**19**	**22**	**21**	**18**	**1**	**1**

Two actions were returned to the previous review committee for reconsideration, and neither of these actions came back to CAPAC on appeal. One was a non-redelegated promotion that was denied after reconsideration. One was a redelegated decelerated merit that was approved on reconsideration. CAPAC therefore reviewed 41 of the 43 actions that it received for review.

Respectfully submitted,

Bryce Falk, Chair
Joseph Antognini, Jeannie Darby, Lynn Roller, Dean Simonton,
Bryan Rodman (Analyst, Academic Senate Office)

University of California, Davis
Report from the Off-scale Salary Task Force

February 24, 2012

Executive Summary

1. The Taskforce recognizes that faculty salaries at UC Davis are lower than those at other UC campuses and other comparable universities. This fact can lead to a drain of our faculty as they are competed away, leading to the loss of their research and teaching expertise. While also recognizing the financial needs of students, staff, and for infrastructure, we urge the Senate and administration to place a high priority on raising faculty salaries at UC Davis to a level commensurate with other UC campuses.

2. In their report to the UC Office of the President, the Senate-Administration Taskforce on Faculty Salaries (February 2012) provides concrete proposals for re-calibrating the salary scales used by the UC system and each campus. We recommend that Step 1/Year 2 of that proposal be implemented at UC Davis as soon as possible, which would bring the scale at UC Davis to the median salary paid at each rank and step at other UC campuses. This policy would increase the General Campus scale at UC Davis to about midway between the current General Campus and Business/Economics/Engineering scales, and in addition, would increase the Business/Economics/Engineering and Health Sciences scales by a slightly greater amount.

3. The use of individual off-scale for recruitment and retention must continue. But the current UC Davis policy of reducing off-scale on a formulaic basis for individuals who defer a merit action is excessively punitive, and we recommend alternatives to it.

4. The use of individual off-scale, while essential, cannot always address the market-based pressures felt by a department. In some cases it may be desirable to establish a higher scale for an entire department. We present two options for implementing such market-based off-scale by discipline.

5. We recommend that the personnel process at UC Davis move to the half-step system currently used at UC Berkeley. Under that system, personnel actions are reviewed at fixed time intervals (i.e. two years for Assistant and Associate I-III, and three years for Associate IV-V and Professor I-IX). At each review, candidates may advance by more than a normal merit, e.g. by 1.5 steps, 2.0 steps, or more, or by less than a normal merit, e.g. by 0.5 of a step, which would not be a deferral.

6. Because the half-step system does not allow for a timely reward to faculty who make exceptional progress, merit-based off-scale should be used more frequently at UC Davis. In such cases, we recommend that as at UC San Diego a "bonus" of one-half step be awarded until the time of the next merit action.

February 24, 2012

TO: Ralph J. Hexter, Provost and Executive Vice Chancellor
Linda F. Bisson, Academic Senate Chair

FR: **Off-Scale Salary Task Force**
Associate Dean Edward Callahan, School of Medicine
Professor Stephanie Dungan, College of Agricultural and Environmental Sciences
Professor Robert Feenstra, Division of Social Sciences (chair)
Professor Edward Imwinkelried, School of Law
Dean Enrique Lavernia, College of Engineering
Professor Douglas Nelson, College of Biological Sciences
Professor Ahmet Palazoglu, College of Engineering
Professor Donald Palmer, Graduate School of Management
Professor Warren Pickett, Mathematical and Physical Sciences
Professor Helen Raybould, School of Veterinary Medicine
Professor John Scott, Division of Social Sciences
Professor Blake Stimson, Humanities, Arts & Cultural Studies

RE: Report from the Off-scale Salary Task Force

In a letter of July 28, 2011, Provost Hexter and Robert L. Powell, then Academic Senate Chair, invited the above persons to form an Off-Scale Salary Task Force. The essential goal was to "expand the range of options for faculty off-scale salary" at UC Davis, as recommended in a report from the Davis Division Committee on Academic Personnel – Oversight, May 26, 2010. The specific charge to this Task Force was broader, encompassing the following goals:

- Review and if necessary update salary data as well as interpret any new salary programs being proposed by the systemwide administration for UC Davis.
- Articulate principles and goals for a competitive salary program.
- Develop and describe alternative mechanisms for implementing a salary program.
- Evaluate the quantitative and qualitative impacts of a salary program.
- Consider alternatives for particular departments or disciplines.
- Analyze and compare how other UC campuses have dealt with maintaining competitive salaries (e.g., use of off-scale salaries generally as well as formulaic adjustments to step levels and the use of recognized fractional steps in particular).
- Review fiscal impacts including proposed implementation strategies that include leveraging of non-state funds.
- Identify organizational, workload and policy issues that impact the setting of salaries, e.g., Committee on Academic Personnel (CAP) – Oversight workload, college and departmental workload, Academic Personnel Manual Language, policy and practice concerning accelerations, off-scale salaries, half steps, etc. (It will be important to consider workload issues both in the context of starting a new program and its operation at steady-state.)

It was requested that a report from the Task Force be submitted no later than January 30, 2012. While this report is being submitted about one month after that date due to various delays, it is hoped that our recommendations serve to address most of the items in the charge.

1. Introduction

The Task Force met on a bi-weekly basis during the fall quarter 2011 and into the winter quarter 2012. It has heard from its representatives from the various colleges at UC Davis and also benefitted from the report from the Senate-Administration Taskforce on Faculty Salaries (February 2012) to the UC Office of the President (UCOP).

Our charge was complicated by the diversity of disciplines on the campus and represented on the committee. For example, the School of Medicine currently has the most refined salary system, consisting of an initial component known as X (the salary associated with the faculty member's rank and step), a second component known as X' that multiplies the rank and step salary by a specific percentage for all persons in narrowly defined academic personnel units, and a further component known as Y that is specific to individuals. Y is negotiable on a yearly basis between the department Chair and the faculty member and reflects money the faculty member can reliably predict that s/he will bring into the department during the upcoming fiscal year. The X plus X' components constitute the person's salary for calculation of retirement contributions and later retirement payouts. The Y component does not enter retirement calculation nor is the retirement contribution increased because of its presence. By comparison with the rest of the campus, we can think of X as the initial on-scale amount, while X' allows selection of a scale itself to differentiate across academic personnel units, and Y represents the individual's off-scale amount.

We understand the School of Veterinary Medicine is in the process of revising its salary system, using the School of Medicine as a model. Also, we understand that the Graduate School of Management has recently entered into an agreement with the administration concerning a system of off-scale salaries that differ across disciplines. Those off-scale salaries are based on 25 ranked business schools, excluding the elite private schools, with particular attention to the University of Michigan. We will not make any recommendations about that recent agreement or the systems used in the Schools of Medicine and Veterinary Medicine, focusing on the rest of the campus. But all these units will be impacted by changes to the base scale (the X or on-scale components) that we recommend in this report, as well as by recommendations made to the functioning of the Committee on Academic Personnel (CAP).

2. The Need for a Competitive Salary Program

The overarching goal of any competitive salary program is to recruit, reward and retain outstanding faculty. To achieve these outcomes, several more specific goals can be identified. One goal is to allow for differences in faculty salaries across disciplines when that is justified by market forces, and a second is to allow for difference in faculty salaries within a discipline when that is justified by individual merit. These two goals are distinct. Taking into account market forces follows from the need to retain faculty in departments that are essential to the research and teaching mission of the university. Such market-based salary differences do not follow from the inherent "worth" of disciplines, if such a concept could even be defined. Regardless of salary, all departments and faculty are valued for their research and teaching contributions; but in some disciplines, outside opportunities in the private sector (or the ease of mobility across schools) lead to salary differentials that need to be taken into account.

The second specific goal is to reward individual merit, regardless of discipline. Excellence in teaching and research is of special value in the university, and for this reason worthy of compensation. The challenge is to design a system that is flexible and fair enough to lead to broad agreement on its functioning. That leads to a third, subsidiary goal: to have an off-scale salary system that is both timely and responsive to demonstrated excellence. Making recommendations to that end is included in the charges to the Task Force.

There is ample evidence that faculty salaries at UC Davis are low in comparison with peer institutions, and in comparison with its sister UC campuses in particular. That evidence is presented in various past reports: Cameron and Feenstra (2008) demonstrated this using UC data from 2007 that applied to General Campus faculty with academic-year appointments.[1] We believe that the lower salaries at UC Davis persist to this day and across many units. The Task Force examined updated data for several disciplines:

(i) a comparison of salaries paid at UC Davis in the Department of Political Science with those paid at various public universities, prepared by department chair John Scott (April 28, 2011), argues that our Associate and Full Professor are paid between $20,000-$35,000 lower than at peer institutions, and even more than that when controlling for the impact of individual's journal publications;
(ii) a comparison of salaries paid at UC Davis in the Department History with those at other UC campuses, prepared by department chair David Biale (November 2011), finds that the Davis salaries are among the lowest in the UC system;
(iii) a comparison of recent salaries in Engineering with both the UC campuses and the Comparison-8 schools, shows that UC Davis is significantly below either group; and,
(iv) the report from the Senate-Administration Taskforce on Faculty Salaries (February 2012) includes data on the average UC salaries as compared to a set of four public universities, four private universities, and the combined Comparison 8 group of schools. For the most recent year available (2010-11), the average UC salaries (excluding Health Sciences and Law) are 12.8% below the Comparison 8, and that gap has been increasing over time.

3. Off-scale Systems at other UC Campuses

In response to the fact that the UC salary scales have been lagging the market, various campuses have developed methods to compensate individuals by using off-scale salary. We understand that off-scale at UCLA is handled directly by the Deans but have no further information, except that we know UCLA has some of the highest salaries in the UC system.[2] Our summary focuses on the other campuses for which we have information, listed in rough order of the off-scale amounts that are used.

---

[1] A. Colin Cameron and Robert C. Feenstra, "Salaries at the University of California, Davis in Comparison with other UC Campuses," Department of Economics, UC Davis, Revised, October 20, 2008. That study mostly excluded faculty in Business/Economic/Engineering because of the differing scale. Another study by Suzanne O'Keefe and Ta-Chen Wang ("Publishing Pays: Economists' Salaries Reflect Productivity," Department of Economics, California State University, Sacramento, August 2, 2011) focus on Economics salaries in the UC campuses using 2007-2009 data, and controlling for the impact of publications. They find that the Economics salaries at UC Davis are the lowest or second-lowest in the system.

[2] Cameron and Feenstra (2008) provide the 2007 data on off-scales used at UCLA and more recent data is included in the Senate-Administration Taskforce on Faculty Salaries (February 2012).

A. UC Berkeley

Like all UC campuses, UC Berkeley uses off-scale salaries for recruitment and retention.[3]

In addition, UC Berkeley has a sophisticated system for making market-based adjustments to salary by discipline. Specifically, a review of the salary for each individual is made at their appraisal and at their promotion to tenure. In the case of positive actions at those times, the individual's salary is compared to the maximum of: (i) the average salary in the same department and rank at UC Berkeley (i.e. the average of other assistant professors at the appraisal and other associate professors at the tenure review); and (ii) the average salary at the same rank and field for a comparison set of public and private schools (using data from the Association of American Universities Data Exchange, or AAUDE). Then the individual's salary is adjusted upwards to the *maximum* of these two averages.

Apparently, there has been discussion at Berkeley about extending this comparison to make market-based adjustment by discipline to higher ranks of the professoriate. But no such action has been taken to date due to limited funds (and the fact that a substantial portion of faculty at higher ranks already have significant off-scale salaries as a result of recruitment or retention).[4]

B. UC San Diego

UC San Diego uses three types of off-scale salary. First, there is off-scale salary used for recruitment and retention. We understand that this off-scale component is reviewed on a six year basis at which time the department can that the off-scale be continued or, if it is no longer justified, that the off-scale amount be tapered.[5]

Second, there is a "bonus" or merit-based off-scale. We understand that the bonus is given in one-half step increments paid over a single review period. The salary is returned to scale at the time of the next review.

Third, there is a market-based off-scale by discipline that is rarely used. The department can present a case to CAP for a minimum off-scale needed to bring it up to the market norm. Once this written case is accepted by CAP, it is attached as an addendum to all personnel actions coming forward from the department, so that an adjustment is made to cases making normal progress at the time of normal review. CAP expects that the department's case for off-scale will be re-justified every three years. This policy has been used by the Department of Economics and infrequently by other departments.

---

[3] Off-scale salary at UC Berkeley is referred to as a "de-coupled" salary component.

[4] There is also another form of departmental-based off-scale used at UC Berkeley referred to as a "targeted de-coupling initiative" (TDI). Used by the Department of Economics currently but available to other departments, this policy establishes funds that can be allocated to offscale salary on an annual basis by the department chair. The funds can come from various sources, including trading back an FTE to the administration or endowments.

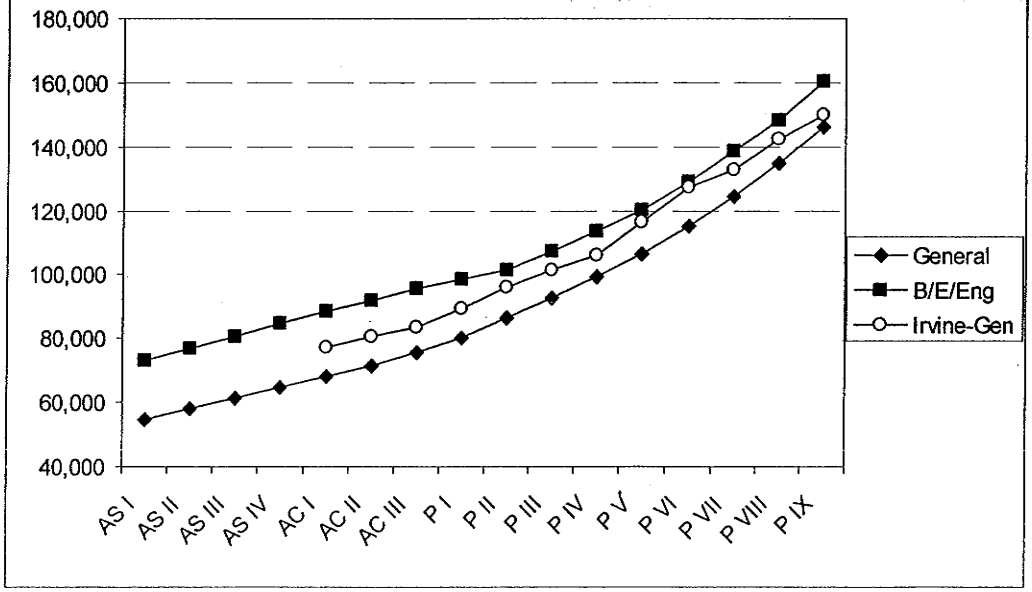
[5] Tapering means that the salary is returned to scale at the following review. But a market off-scale is tapered by only one-half if the appointee receives a merit, and in the case of large off-scale salaries, the department may propose that the salary be tapered by less than one-half.

C. UC Irvine

In addition to the use of off-scale for recruitment and retention, UC Irvine has at various times used a "shadow scale" to adjust salaries upwards. Such a scale was used for two years prior to the system-wide market adjustment of salaries on October 1, 2007, but was dropped after that; then it was re-introduced more recently. This "shadow scale" applies to Associate and full Professors outside of the Health Sciences and Business. The scale is computed by taking the average salary of all faculty at UCI at each rank and step (which includes many new faculty with higher salaries). Then the salary of faculty making normal progress are adjusted upward to this average at their next merit, or higher if warranted by their existing offscale.

In Figure 1, we show the UC system-wide scales for the "Faculty–Ladder Rank–Professor Series Academic Year" and "Faculty–Ladder Rank Business/Economic/Engineering, Academic Year" series, for 2011-2012, and in comparison, the UC Irvine scale for academic year appointments, 2012-13.[6] The UC Irvine scale lies roughly midway between these two other system-wide scales. In other words, the average salaries paid at UC Irvine for Associate and full Professors are roughly midway between the General Campus and Business/Economic/Engineering scales, and these average salaries establish the base scale for merit and promotion actions to Associate and above. We understand that faculty with off-scale have that amount added to the base when they are moved to the new scale.

Figure 1: UC General Campus and Business/Economics/Engineering scales, 2011-12, and UC Irvine General Campus scale, 2012-13



[6] We understand that a separate UC Irvine "shadow scale" was also computed for Business/Economics/Engineering in past years, but have no recent information on that scale.

D. UC Santa Barbara

UC Santa Barbara uses both recruitment and retention off-scale and merit-based off-scale. We understand that the latter can be increased or decreased at each merit review, based on performance.

E. UC Riverside

UC Riverside uses off-scale for recruitment and retention, but like UC Davis, UC Riverside apparently is the only other campus where an individual's off-scale is reduced on a formulaic basis when a merit step is not attained. Such an outcome initially results in the loss of one-half of the off-scale, up to a maximum of $20,000. A second consecutive deferral or denial of a merit step results in the loss of the remaining off-scale.

F. UC Santa Cruz

UC Santa Cruz uses both recruitment and retention off-scale and merit-based off-scale. The merit-base off-scale can be recommended at the time of a successful merit action, for example.

4. Report from the Senate-Administration Taskforce on Faculty Salaries (February 2012) to the UC Office of the President

The report from the Senate-Administration Taskforce on Faculty Salaries (February 2012) contains a recommendation for adjusting the system-wide salary scales in two steps, referred to as Step 1 and Step 2. In addition, these steps can be repeated over multiple years, and with the current 2011-12 academic year referred to as Year 1, the implementation is discussed for Year 2 (the first implementation) and Year 3 (the second implementation).

Step 1 consists of computing a new scale *for the entire system,* setting aside for the moment the Health Sciences and Business/Economic/Engineering. To achieve this, the *mean salary* at each step and rank is computed for each campus, which gives 9 numbers for each step and rank: one for each campus aside from UC San Francisco. Then the *median* (or middle) number of these 9 is chosen as the "scale" to adopt for each rank and step the entire system. This exercise can be repeated in the same way for the Business/Economic/Engineering faculty, and for the Health Sciences. In this way, we obtain new system-wide scales for the General Campus, for Business/Economic/Engineering, and for the Health Sciences.

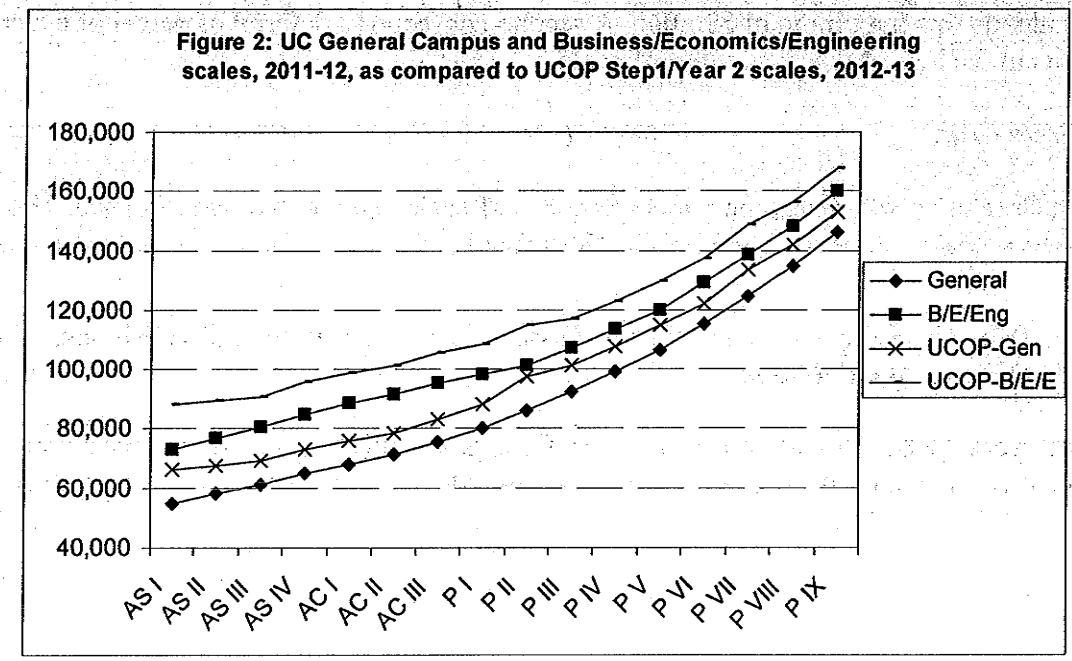
Step 2 then consists of computing a new scale *for each campus,* using a procedure similar to that used at UC Irvine. That is, after the salary increases from Step 1, the average salary is computed at each rank and step for each campus. That average is then used as a new scale for that campus.

In a second implementation, both Step 1 and Step 2 can be repeated again, in what the Senate-Administration Taskforce refers to as Year 3. At each step in this process salaries tend to rise, so that the repeated application of Steps 1 and 2 in another year continues to increase the scales for

the system and for each campus.[7]

In Figure 2 we show again the UC system-wide scales for the "Faculty–Ladder Rank–Professor Series Academic Year" and "Faculty–Ladder Ranks Business/Economic/Engineering, Academic Year" series, for 2011-2012, which are identical to Figure 1. We now compare them with the Step 1/Year 2 scales from the report to UCOP, which apply to 2012-13.[8] The new Step 1/Year 2 General Campus scale recommended to UCOP lies roughly midway between the existing General Campus and Business/Economic/Engineering scales, or an average of $8,500 higher than the existing scale. The new Step 1/Year 2 scale for Business/Economic/Engineering lies slightly more above the existing scale, or an average of $10,000 higher.

Figure 2: UC General Campus and Business/Economics/Engineering scales, 2011-12, as compared to UCOP Step1/Year 2 scales, 2012-13



The report to UCOP also recommends an increase in the Health Sciences scale (i.e. the X component of salary) and a policy for Above Scale faculty.[9] In addition, the report had to decide how to handle *existing* off-scale as these new scales are implemented. Because it was dealing with the two-step procedure, the Taskforce chose to fully subsume existing off-scale in Step 1, but to *not* subsume any remaining off-scale in Step 2. That is, faculty whose total salary exceeds the Step 1/Year 2 scales shown in Figure 2 would not receive any increase in Step 1, but the excess of their total salary over the Step 1/Year 2 scales would be retained as off-scale over and above the Step 2/Year 2 scale.[10]

---

[7] That is why the policies are envisioned for a limited implementation period like 4 years.

[8] The scales shows as the "UCOP Step 1/Year 2" in Figure 2 are taken from Appendix E of the Senate-Administration Taskforce on Faculty Salaries (February 2012). Appendix E also contains these Step 1/Year 2 scales on a fiscal year rather than academic year basis.

[9] See Appendix C of the Senate-Administration Taskforce on Faculty Salaries (February 2012). As explained in Appendix G, the salaries of Above Scale faculty are raised by the same percentage as those for Professor Step IX.

[10] See Senate-Administration Taskforce on Faculty Salaries (February 2012, note 7), which explains this "simplified" procedure and also states that: "Some Taskforce members voiced a concern that faculty members with current off-scales may not like the "return-to-scale" in Step 1."

4. Recommendations

In light of our review of practices at other UC campuses, and the recommendation from the Senate-Administration Taskforce on Faculty Salaries to UCOP, we make the following recommendations for salaries, off-scale salaries, and personnel practices at UC Davis:

a. Salary Scales

Step 1/Year 2 of Senate-Administration Taskforce on Faculty Salaries should be implemented at UC Davis as soon as possible. This step would increase the General campus scale at UC Davis to about midway between the current General campus and Business/Economics/Engineering scales, or an average increase of $8,500, and would increase the Business/Economics/Engineering scale by an average of $10,000. The Health Sciences scale (X component) would also be increased.

This recommendation does not rule out the future implementation of Step 2/Year 2, or Step1/Year 3, etc. But we aware that the costs of each of these steps will present a financial challenge to the campus (see section 5), so we recommend a "one step at a time" approach. The cost to the campus would also depend on the following options, that could be considered in conjunction with the Step 1/Year 2 action:

Options:

i) Implement the new scales starting with Associate Professor

One option would be to implement the new scales for faculty at the rank of Associate Professor and above, as in the practice at UC Irvine, so that current Assistant Professors would receive the new scale only on their promotion to Associate Professor. The argument in favor of this option is that recent hires at the Assistant Professor level already have their salaries calibrated by market pressure. (This option leaves open the question of which scale should be used for new recruits at the Assistant Professor level, and how to handle their off-scale when they are promoted to Associate Professor.)

ii) The treatment of existing off-scale

For faculty who *already have* significant off-scale, the increase in the base scales should also raise their total salary, but perhaps not by the full amount of the increase in the base. We discussed different options for how an existing off-scale could be handled, and concluded that one option would be a "partial retention" policy. Under this policy, any faculty with existing off-scale would face a tax at a specified rate on either their amount of off-scale, or on their increase in the base scale, whichever is *less*.[11]

[11] Our recommendation here for handling existing off-scale applies to the General Campus, outside the Health Sciences and GSM, since those units have the most timely methods for computing off-scales based on market conditions. The increase in the *base scales* should still apply to those units, which would then shift some portion of salary from X' to X for the Health Sciences (and therefore into the calculation of retirement benefits), and from off-scale to on-scale for GSM.

To see how this option would work, say that the increase in the base scale at the next merit/promotion action for an individual is $Z, and that their existing off-scale is $Y. Then an individual whose existing off-scale Y is *less than* Z would have their off-scale reduced by an amount like 0.5×Y, or by one-half of their off-scale, with the other one-half of off-scale retained. Since the average increase in the scale is $8,500 for the General Campus and $10,000 for Business/Economics/Engineering, then this case can be expected to apply to many individuals.

For higher off-scales, a slightly different calculation is required. If a person's off-scale Y is *greater than* Z, then that faculty would have their off-scale reduced by 0.5×Z, or by one-half the amount of the scale adjustment. So individuals with high off-scale would be taxed at most one-half of the scale adjustment, while individuals with low off-scale would be taxed one-half of their off-scale component.

Other tax rates or options for how to handle existing off-scale can be considered, but we strongly urge that the campus avoid *fully* subsuming off-scale into the new base scale, as that approach would penalize most heavily the individuals who received with the high off-scale in the first place.

b. Recruitment and Retention-based Off-Scale

The increase in the campus scale only partially addresses the first of our goals above: to adjust for market-based forces needed to retain faculty. The establishment of the new scales would not eliminate the off-scale increments needed for recruitment and retention, and it is essential that these off-scale increments continue.

But the current UC Davis policy of reducing offscale on a formulaic basis for individuals who defer a merit action is excessively punitive, and it should be considerably revised. Under the current system, a fraction of the off-scale is removed on each instance that an individual defers a merit action. But since a person having trouble completing a longer-term project, or stalled in research for any other reason, such deferrals can come up year after year. Therefore, the "test" for reducing off-scale can arise on an annual basis, which is far too quick to provide proper incentives for scholarly research and publication.

One option to address this punitive outcome is to apply the "test" for adequate performance, and accompanying retention of off-scale, only at longer time intervals such as promotion and 5-year reviews. A second option, which can be combined with the first, is to have a weaker "test" for what it means to defer, which we discuss below in point d.

c. Discipline-Based Off-Scale

The use of an individual off-scale, while essential, cannot always address the market-based pressures felt by a department. In some cases it may be desirable to establish a higher scale for an entire department. The Taskforce has heard presentations from other departments on the UC Davis campus – Political Science in particular –suggesting that it is difficult to rely on an individual off-scale to adequately address the market pressures in their discipline.

Accordingly, we recommend the use of discipline-based off-scale in cases that are justified. There are two ways that such a proposal could be implemented: the first of these follows the model at UC Berkeley and the second has been used infrequently at UC San Diego.

Options:

i) Making an adjustment for every department:

Using data from the AAUDE, other UC campuses, and each UC Davis department itself, a minimum off-scale by department (or field) would be established for every department on the campus. The minimum off-scale would be established by a new Senate committee including input from CAP or the Committee on Planning and Budget (CPB), subject to approval by the Provost and the Chancellor. That minimum off-scale would apply to all cases coming forward from that department for individuals making at least normal progress. Faculty in that department already having greater off-scale than the minimum would not be affected.

ii) Making an adjustment at the department initiative:

Another approach would be for the requests and justification for a market-based adjustment to come from the department itself, subject to the approval of its Dean. A recommendation to approve or disapprove each such request would be obtained from a new Senate committee, possibly with input from CAP or CPB, and then would go to the Provost and the Chancellor. The minimum off-scale would apply to all cases coming forward from the department for individuals making at least normal progress. Faculty in that department already having greater off-scale than the minimum would not be affected.

d. The Half-Step System

Our first three recommendations are motivated by market forces. We turn now to the goal of rewarding individual excellence and the subsidiary goal of having a personnel system that can do so quickly and effectively. We recommend that UC Davis adopt the "half-step" system that is used at UC Berkeley, under which advancements are made in increments I, II, III, etc. but also in half steps I.5, II.5, III.5, etc. with the accompanying half-step salary. Under this system, personnel actions are brought to CAP (or its sub-committees which are the faculty or school personnel committees) only on *fixed time periods,* i.e. every two years at Assistant Associate Professor I-III, every three years at Associate Professor IV-V and Professor I-IX. At each review, candidates may advance by more than a normal merit, e.g. by 1.5 steps, 2.0 steps, or more, or by less than a normal merit, e.g. by 0.5 of a step, which would not be a deferral. In the case where a faculty receives a half-step advancement, such an advancement should not be regarded as a deferral, and therefore not subject to any reduction in an individual's off-scale.

Many other questions need to be answered about the implementation of this plan. We recommend that the details of implementation be studied by the current Academic Senate Committee on Streamlining the Academic Personnel Process, chaired by Jeannie Darby (UC Davis, Engineering).

e. Merit-Based Off-scale

The above recommendation for the half-step system will reduce the work-load on CAP and allow for a more timely review of the packets submitted. That system does not, however, achieve the goal of a quick reward for exceptional performance, such as receiving a prize or other honor. To this end, we recommend an enhanced use of merit-based offscale at UC Davis. Under current circumstances, merit-based offscale is granted only rarely, at the request of the Dean, and without the knowledge of CAP. We recommend that the Dean continue to be the major instigator of such merit-based off-scale and that it continue to bypass CAP approval, but that it be used more frequently than in the past.[12] For example, a faculty achieving a noteworthy success could be granted a merit-based off-scale for the time period until that success can be rewarded by their next merit action. At the time of their next action, all (or a portion) of the merit-based off-scale could be. This recommendation follows the current policy at UC San Diego.

5. Cost of the Recommendations

The only one of our recommendations whose cost can be evaluated is the first: the movement to the Step 1/Year 2 scale recommended by the Senate-Administration Taskforce on Faculty Salaries (February 2012). Appendix A of that report details the costs of the various steps and years. The cost of immediately moving all faculty at UC Davis (outside the Health Sciences) to the Step 1/Year 2 scale is $6.7 million per year. That cost represents more than one-quarter of the cost to the entire UC system, reflecting that fact that our campus is large and that the current salaries are low in comparison with some other campuses. The figure of $6.7 million does not include the extra cost associated with allowing faculty with enough off-scale to already put them above the new scale, to then retain a portion of that off-scale over and above the new scale. Our recommendation that campus avoid fully subsuming off-scale into the new base scale will add an extra amount to the cost of implementing the Step 1/Year 2 scale. On the other hand, if the new scale is implemented at the time of each individual's merit review, and is contingent on a successful review, then that would subtract some amount from the annual cost of implementing the scale.

6. Conclusions

During the time of our deliberations, the Taskforce witnessed an extraordinary outpouring of feelings from students, faculty and the Occupy movement on the issue of tuition increases. We cannot help but be keenly aware of the competing demands on the University budget and the scarcity of funds available to it. Still, we believe that nothing is more important that ensuring the quality of our faculty and rewarding them appropriately. While the recommendations made here come at a price, we believe that it would be even more expensive to risk losing faculty as UC Davis salaries fall below peer institutions and below the average of the UC system. We urge the Senate and administration to place a high priority on raising faculty salaries at UC Davis through the recommendations made here.

---

[12] Since APM UCD-620-12 requires that CAP or an equivalent body review off-scale salaries, that language should be changed.

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO SANTA BARBARA • SANTA CRUZ

OFFICE OF THE VICE PROVOST –
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

February 3, 2012

To: Executive Vice President and Provost Lawrence Pitts

From: Senate-Administration Taskforce on Faculty Salaries[1]
Robert Anderson, Chair, Academic Senate
Susan Carlson, Vice Provost for Academic Personnel, UCOP, convener
Susan Gillman, Divisional Chair, UCSC
Michael Gottfredson, EVC and Provost, UCI
William Hodgkiss, Associate Vice Chancellor, UCSD
Katja Lindenberg, Chair, UCAP
Sally Marshall, Vice Provost for Academic Affairs, UCSF
Rachel Moran, Dean, School of Law, UCLA
William Parker, Chair, UCFW
Robert Powell, Vice Chair, Academic Senate
Scott Waugh, Executive Vice Chancellor and Provost, UCLA

Subject: Recommendation on long-term faculty salaries

On March 14, 2011 you appointed the Senate-Administration Taskforce on Faculty Salaries to recommend "priorities and processes that can guide future decision making when funds are allocated for faculty salaries." We reported to you on June 9 with a set of recommendations for faculty salary increments for FY2012 (report attached), and these became the basis of actions President Yudof took in August 2011. That memo discharged the first of our three Taskforce responsibilities.

In this memo, the Taskforce reports on its second and third charges:

- "Recommendations for long-term salary policy planning. How can the University position itself now to remain competitive in salary into the future? How can processes related to the award of salary increases be strengthened?"

[1] Three members of the Taskforce cycled off on September 1, 2011, when Academic Senate Leadership changed: Dan Simmons, 2010-2011 Chair of the Academic Senate, Evan Heit, 2010-2011 Divisional Chair, UCM, and Ahmed Palazoglu, 2010-2011 Chair of University Committee on Academic Personnel (UCAP). They were replaced with three new members: William Powell, Vice Chair of the Academic Senate, Susan Gilman, Divisional Chair, UCSC, and Katja Lindenberg, Chair of UCAP. Dave Miller, Associate Vice Chancellor at UCSD, served on the Taskforce until his retirement and was replaced by William Hodgkiss, Associate Vice Chancellor at UCSD. Melvin Oliver, Dean of Social Sciences, UCSB, was appointed to the Taskforce but unable to serve.

University of California
Senate-Administration Taskforce on Faculty Salaries
Executive Summary
February 2012

The Senate-Administration Taskforce on Faculty Salaries recommends that the funding of faculty salaries be a continuing priority of the University. In an effort to assure market salaries that match those of our peer universities, we recommend a "reformulation" of the faculty salary process. FY12 faculty salaries were increased by 3% for meritorious faculty as a first-step towards more competitive salaries, and the Taskforce recommends that in the next two fiscal years (FY13 and FY14) the University establish a set of actions to support faculty salaries. While one Taskforce member abstained from endorsing the final recommendations, all remaining Taskforce members are in complete agreement on the first two recommendations:

1. **The Taskforce is committed to the value of regular merit and CAP reviews and recommends that when faculty advance to a new rank and/or step, they move, at a minimum, to the average salary of their campus colleagues at the new rank and step. The Taskforce agrees that funding for merit actions should continue in all budget scenarios.**

2. **The Taskforce recommends that the Provost appoint a subsequent Taskforce to assess the particular salary issues facing many UC professional schools (Law, Business and Management in particular) where special salary scales are not meeting current salary needs, and recommends that he task that group with assessing the most effective salary practices for those faculty.**

3. **The Taskforce proposes a return to regular scale adjustments and recommends that individual faculty salaries should be, at a minimum, at the median of University faculty at the same given rank and step. Our hallmark salary scale process presumes annual adjustments to salary, but the lack of state funds has suspended adjustments for several years. Such adjustments would allow the University to reduce the percentage of salaries that are off-scale. The Taskforce consensus about this recommendation is contingent on availability of state funds for salary. If such funds for salary are not distributed to campuses, some Taskforce members would still recommend that the campuses make these salary adjustments a priority; other Taskforce members would not support these adjustments without specific state funding dedicated to salaries (see Section 5).**

- "Recommendations on possible policy review. What parts of current policy and practice are fundamental to faculty salary practice? What changes to salary policy or practice could improve faculty recruitment and retention? The Taskforce should consider the supplemental salary plan currently being drafted and make suggestions for changes and improvements made to that plan."

The committee has met seven times since the June 9 memo was completed: 1) six times by phone: on June 17, 2011 to review the CPEC methodology for calculating the faculty salaries of our Comparison 8 universities and to review the proposed draft policy, APM – 668, on October 25 to review costing of a long-term salary plan, on December 5, January 9, January 20, and January 24 to develop final recommendations and 2) once in person on August 30 to develop our recommendations on long-term faculty salary planning.

1.0 Taskforce review of CPEC faculty salary methodology

During its June 17 meeting, the Taskforce reviewed the CPEC faculty salary methodology, considering whether a new set of data should be developed for comparative purposes. Taskforce members agreed that the CPEC methodology--a long-standing method approved originally by UCOP, the State Department of Finance, and the Legislative Analyst's Office to report UC faculty salaries--allows UC to compare and report salary data using a methodology which over time has developed credibility with its audiences. The CPEC methodology provides one measure for all campuses and all disciplines that presents an easily understood systemwide comparison.

2.0 Taskforce review of APM – 668

In June 2011, Taskforce members discussed briefly the merits of proposed APM – 668, Negotiated Salary Program. Members agreed that the negotiated salary program offers an additional recruitment and retention tool which, potentially, can save state salary dollars. One member reported that APM – 668 could have been used this past year for several high-profile retention cases for faculty with outside offers. The Taskforce did not make specific suggestions about the policy and did not review the revised version circulated in Fall 2011.

3.0 Principles, values, and contributing factors in the Taskforce discussions

The Taskforce spent the majority of its deliberations since June in reviewing possible recommendations for long-term salary policy; the remainder of this memo will outline the issues involved in this discussion before concluding with recommendations for your consideration.

In the course of its work, the Taskforce reviewed wide-ranging information on faculty salaries. Academic Personnel (AP) developed a history of policy development and review that showed the same issues have faced UC for decades. AP staff also compiled information on various past solutions to salary competitiveness, including the four-year plan to improve salaries that was implemented in 2007-08 and meant to conclude in 2010-11. The suspension of that plan after one year was a constant caution to the Taskforce in considering any multiple-year plans.

At key points in deliberations over long-term recommendations, the Taskforce affirmed these common values and goals:

- The University must remain competitive in recruitment and retention of faculty, seeking to provide competitive total remuneration (salaries and benefits).

- Current faculty salary scales are inadequate and do not meet market demands for a majority of faculty. Campuses are often meeting current market needs through retention offers; those faculty not seeking retention offers are often at a disadvantage.

- Regular peer review and the attendant salary scales are effectively designed to encourage faculty productivity for an entire career.

- Current faculty salaries suggest that we have "campus pluralism," a set of system-wide values played out with a variety of campus practices. The salary scales have effectively become a salary floor, a set of common expectations.

- Health Sciences faculty covered under the Health Sciences Compensation Plan (HSCP) are affected differently than other faculty by the salary scales. The Taskforce recognizes that an increase in the salary scales raises the amount of covered compensation for HSCP faculty and that this increase could lead to adjustments in future Y and Z components.

4.0 Key data influencing the Taskforce's long-term salary recommendations

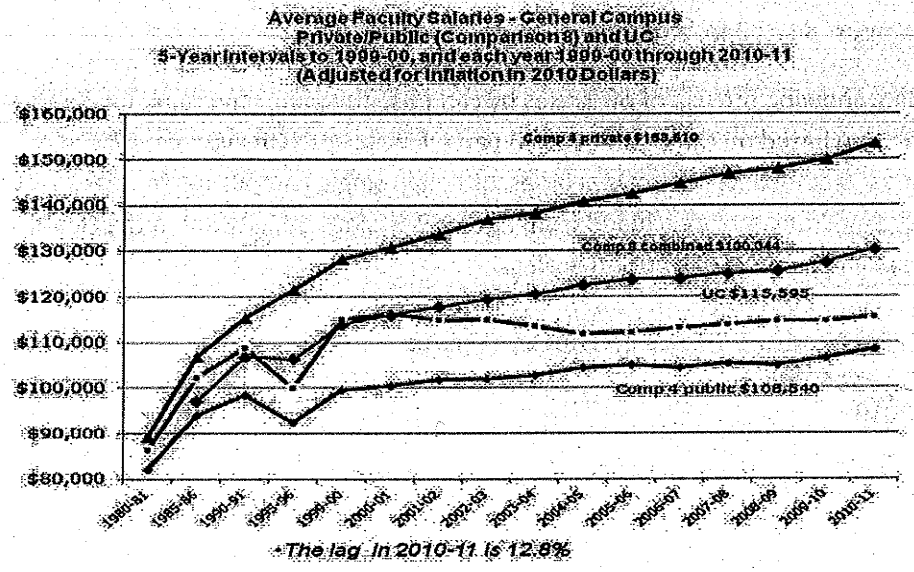
The Taskforce also reviewed data on faculty salaries, data which helped shape the recommendations to follow in section 5. We include here some key elements of the data that were most particularly relevant (other information is available upon request). Notable in the data are the persistent lag in salary relative to our Comp 8 universities and the differences in General Campus off-scales by campus, discipline, and rank.

4.1 Lag in faculty salary against Comp 8

For the most recent year available, the CPEC faculty salary study shows a 12.8% lag in average general campus faculty salaries (excluding Law and Health Sciences)[2] between the Comparison 8 and UC's overall average salaries, a gap which has increased over time. Faculty salaries at each rank lag the average salaries at the Comparison 8 institutions, and have done so for many years (see Figure 1).

[2] Law and Health Sciences are excluded since there is not comparable data on these disciplines at all Comp 8 Universities.

Figure 1: Average Professorial Series Faculty Salaries (Assistant, Associate, Full)*
(Adjusted for Inflation in 2010 Dollars)



* Note: To provide direct comparisons, equivalent ranks are excluded from this table.
Source: Faculty Competitiveness Report, January 2011

4.1.1 Cumulative five-year cost of closing the gap with the Comp 8

It has been a long-term University goal to match the average salaries of our Comp 8 "Peer" Universities (represented by the red line in Figure 1). As noted above, UC faculty salaries currently are 12.8% behind the Comp 8 average. Depending on the salary increases at our peer universities over a five year period, estimates for the total five-year cost of meeting the Comp 8 average, using the CPEC methodology, are as follows:

Projected rate of Comp 8 annual salary increments	Increased UC payroll cost in the fifth year to close the resulting gap with Comp 8 (baseline FY2010)	Average annual increase to ladder-rank faculty payroll
3% for each of 5 years	$283M	5.51% annually for each of 5 years
4% for each of 5 years	$372M	6.54% annually for each of 5 years

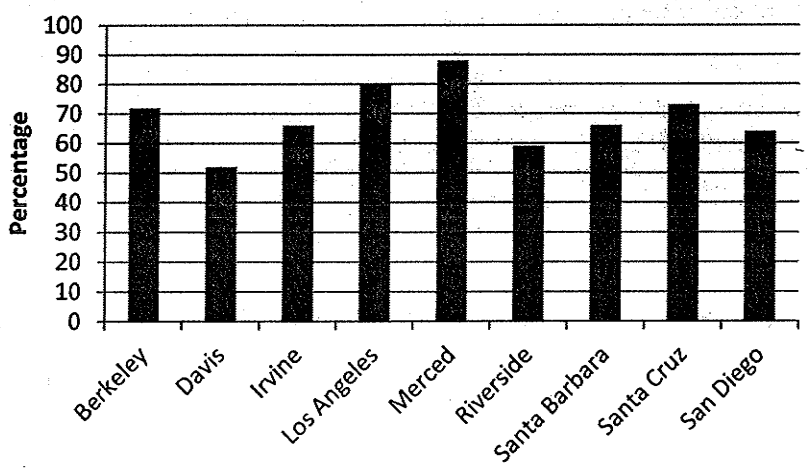
The five years INCLUDE the current year (FY 2012), in which UC raised salaries for meritorious faculty by 3% in addition to merit actions (until spring 2012, we will not know the average salary increment for

FY2011, the dollars committed, nor the progress we have made vis-a-vis the Comp 8). In sum, these data indicate that—to match Comp 8 salaries—the annual payroll for General Campus ladder-rank faculty would be $283M more at the end of the five year period, if our peers raised salaries by an average of 3%; $372M more if the peers raised salaries by 4% for each of five years.

4.2 Use of off-scales by campus, discipline, and rank

The Taskforce reviewed data showing the use of off-scales by campus, discipline, and rank, for General Campus, academic year faculty, based on the October 2010 payroll snapshot. On average, 67% of systemwide, General Campus faculty have off-scale salaries, although single campus percentages vary from 52 to 88 (Figure 2, UC San Francisco is excluded from figures 2-6 since faculty are in the Health Sciences Compensation Plan where there are not off-scales).

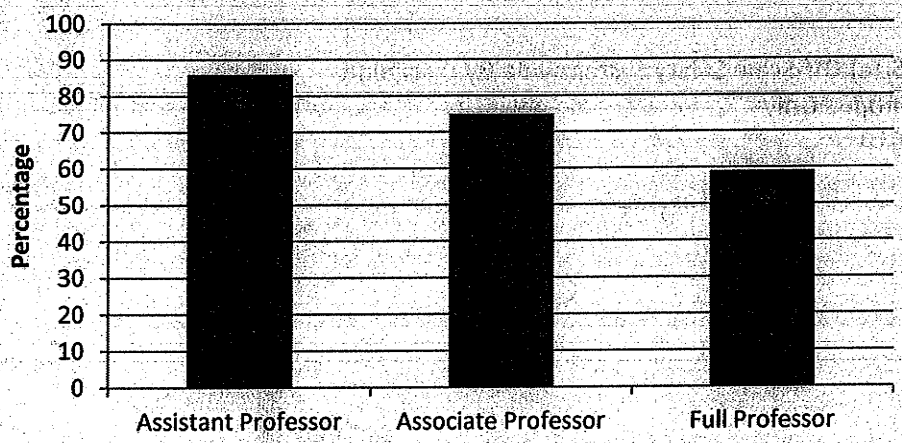
Figure 2: Percentages of Faculty with Off-Scale Salaries By Campus
General Campus Only
October 2010



Source: UCOP Academic Personnel

Off-scale salaries also vary widely by rank. As shown in Figure 3, a review of off-scale salaries by rank shows that assistant professors, those with the least time at UC, have the highest percentage of off-scale salaries; this reflects our practice of hiring new faculty at a "market" rate. Taskforce review of new appointments (General Campus only) in the five year period between 2005-06 and 2009-2010, revealed that 91% of assistant professors are hired off-scale, 94% of associate professors, and 80% of full professors. On average, 89% of new hires were off-scale. Such data show us that newly hired faculty are off-scale in higher percentages than current faculty (89% v 67%), underlining the "loyalty penalty" paid by faculty who remain at UC for their careers, with salaries based on a lagging set of salary scales.

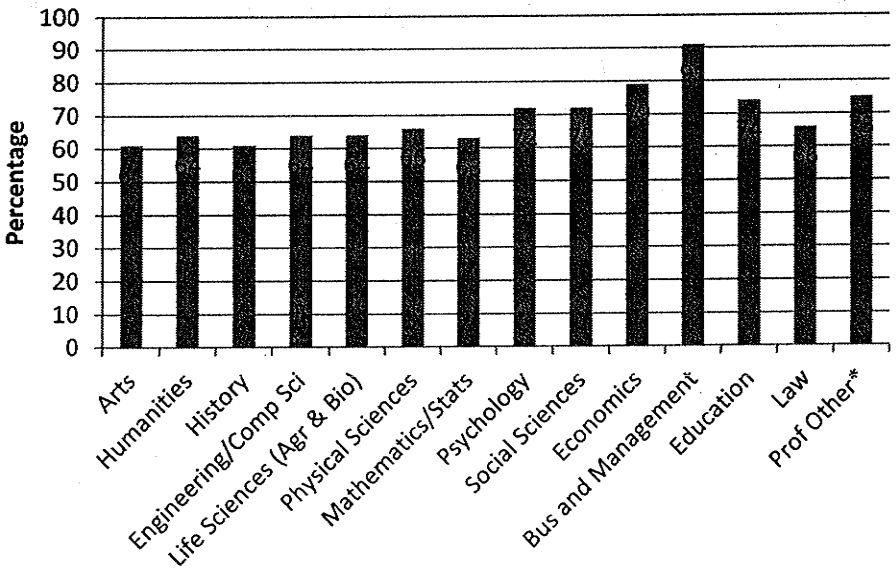
Figure 3: Percentages of Faculty Systemwide with Off-Scale Salaries By Rank
General Campus Only
October 2010



Source: UCOP Academic Personnel

Finally, in Figures 4 and 5, systemwide differences by discipline are presented. Figure 4 shows the data for selected disciplines, demonstrating the distribution of off-scales by discipline.

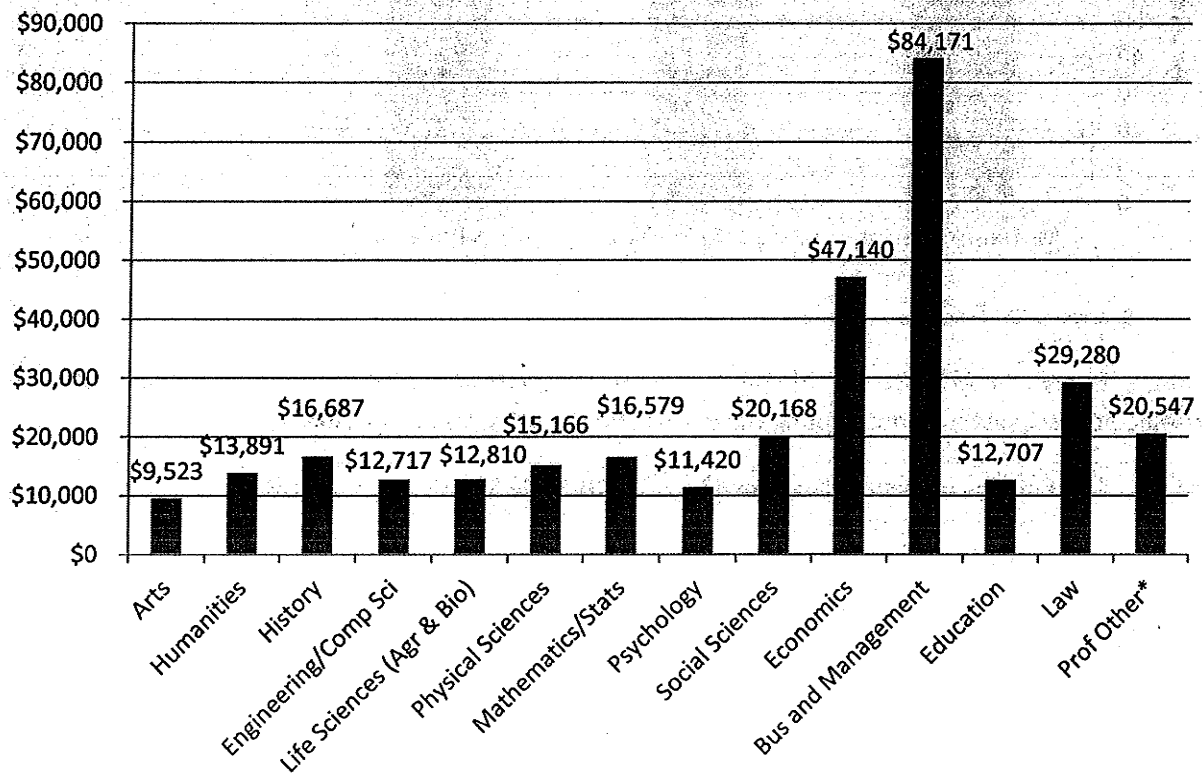
Figure 4: Percentages of Faculty Systemwide with Off-Scale Salaries By Discipline
General Campus Only
October 2010



*Includes: Architecture, Communications, Information Sciences, and Social Welfare
Source: UCOP Academic Personnel

These figures show that there are generally small differences in the use of off-scale salaries across disciplines with, for example, faculty in the Humanities (64% off-scale) as likely to have an off-scale salary as those in the Life Sciences (64% off-scale). The notable exception is in Business and Management where the percentage of off-scale salaries is greater than in all other fields at 91%. Figure 5 provides additional data on these disciplinary differences, charting the mean (average size) of off-scale salary by disciplines.

Figure 5: Mean (Average Size) Off-Scale Salary Systemwide By Discipline
General Campus Only
October 2010



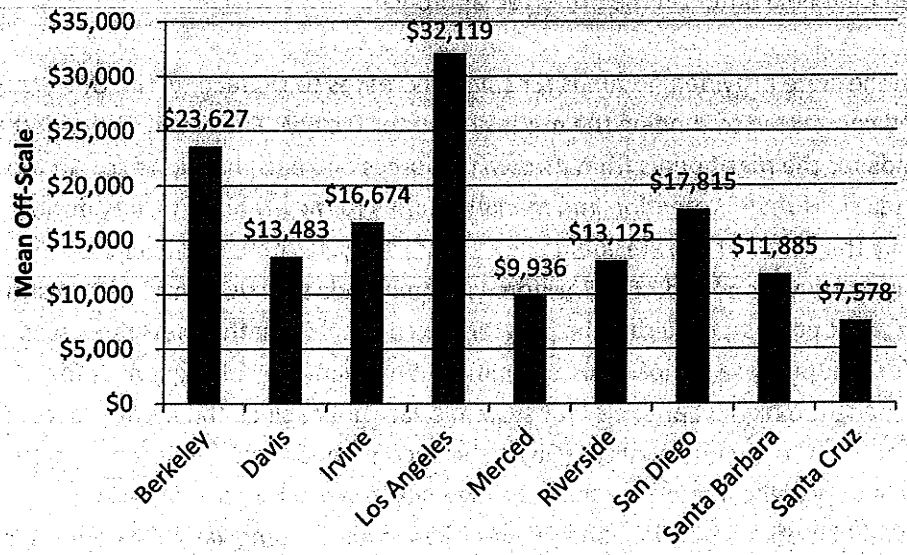
*Includes: Architecture, Communications, Information Sciences, and Social Welfare
Source: UCOP Academic Personnel

As of October 2010, the systemwide mean off-scale increment of a faculty member with an off-scale salary was $19,350. Most of the off-scale salary increment means are in the $13,000 to $21,000 range. The outlier is Business and Management where the mean off-scale salary increment is $84,171, which is 83% of the actual scale in Business and Management. While there are substantial dollars dedicated to off-scale increments, the Taskforce also reviewed data indicating that 44% of off-scale salary amounts are between 0 and 10% of the actual scale. In other words, returning to scale may be achievable for a large number of the faculty, with continued adjustments to the scales.

Figure 6 provides data on one of the many differences by campus, in this case the mean off-scale salary increment. In October 2010 data, the mean off-scale salary increment at Los Angeles is on the high end

with a mean off-scale salary increment of $32,119. The next highest is Berkeley with a mean of $23,627. Santa Cruz is at the low end with a mean of $7,578 and the next lowest is Merced with a mean of $9,936.

Figure 6: Mean Off-Scale Increment By Campus
General Campus Only
October 2010



Source: UCOP Academic Personnel

The data in these six figures are reflective of the complex distribution of salaries at the University. In the absence of regular, systematic adjustment of the salary scales (until Fall 2011, they had not been adjusted since 2007), campuses have increasingly resorted to off-scale salaries to move individuals closer to market, as a result of either recruitment or retention. This ad hoc process has resulted in wide variations in salaries across the system. If our goal is to reward all productive faculty through a more workable scale across the University, then it would be desirable to reduce the variation by bringing salary scales closer to the median.

Analysis of these data led the Taskforce to develop a set of recommendations that acknowledges current differences by campus as well as a common foundation in the salary scales. The Taskforce recommendations (below) combine a salary process that accommodates campus and rank/step differences at the same time preserving a university-wide approach to competitive faculty salaries.

5.0 Recommendations for a long-term faculty salary plan

The Taskforce agreed that the University has major issues with competitive faculty salaries and also—given such factors as those outlined in Section 4 above—that a single solution will not allow the University to remain competitive. We need to be more creative.

Other current conversations in the University have provided an important, dynamic context for Taskforce discussions and have influenced our recommendations. While the Taskforce agreed that enhancing faculty salaries is a fundamental University goal, its members were not of a single mind about how to proceed if state support is not available. Should the state provide funds necessary to rebuild salary competitiveness, including the normal merit component and a restoration program, then the ideas outlined below would be endorsed by Taskforce members. Should needed additional funds not be provided by the state, or if the salary restoration program does not receive priority in the expenditure plan for the University, then members differ on the preferred approach.[3]

For recent periods in which the state provided no funds for salary increases to UC faculty, the University has, nevertheless, remained committed to funding the merit system for faculty. Each campus was left to generate the necessary funds for the merit pools from its own resources and each has done so. So too have the individual campuses self-funded retention and market salaries for newly hired faculty during this period. Analysis done by the Office of the President shows that campuses provided over 3% in salary raises annually during a two-year period. The Taskforce recommends that UC continue its historic commitment to the faculty merit process, requiring the program to continue, whether new resources are provided by the state for that purpose or not. This commitment has variable consequences for campuses, but should be among the highest priorities for system salary policy since the merit process is at the heart of the UC commitment to faculty quality. (Given this recommendation, funding the merit process should be among the very highest priorities for the University, even in the face of serious financial problems.) Self-funded merits, retention, and market hires result in some variability among the campuses in faculty salaries. It is the view of some members of the Taskforce that the level of variability while not optimal is, however, not overly harmful to the ability of the individual campuses to maintain their quality. The commitment of the University, in this view, should be to the merit system, not to a rigid scale adhered to by everyone. "Step 2" outlined below contains specific Taskforce recommendations on the merit salary process.

Taskforce members differ on the priority they would place on the scale restoration program in the absence of new state resources. Some members of the committee would not obligate the campuses to a systemwide restoration program without new funds and would place this need lower on the list of priorities for the campuses (against, for example, hiring additional faculty or staff or against reducing staff further.) Other members would prioritize the restoration program against other needs and require the implementation of a systemwide program using existing campus resources, including increased tuition dollars. The failure of the state to fund faculty salaries over time has limited the University's ability to adjust the systemwide salary scales, producing a situation in which off-scale salaries have proliferated, and resulting in dramatic differences among individuals as well as campuses. "Step 1" outlined below contains Taskforce recommendations about restoration of the salary scales in a new way that fits current circumstances.

---

[3] There was a difference of opinion among Taskforce members on this issue of funding. Some members felt that "core instructional funds, including state allocations and student tuition [net of return to aid]" and not simply "state funding" should be identified as the source of support for faculty salary actions. Others insisted that tuition dollars should be allocated only through campus-based decision-making processes. In Section 5, we have used the more restrictive phrase, "state funds" with the understanding that there is not agreement about the source(s) of funding for faculty salary.

In addition to the situation with reduced state funding, University adoption of Funding Streams and discussions about Rebenching have meant long-standing assumptions about faculty salary may not be operative in the same way in future years. Again and again, the Taskforce found that discussions of particular salary issues were affected by such University-wide issues: could we expect an infusion of funds to rebuild the scales systemwide or would campuses have to reallocate funds for increases? How do current differences in campus recruitment and retention factor into our design of future salaries? How will increasing contributions for UCRP affect the availability of dollars for salaries? Should we focus on market competitiveness by discipline since dollars are limited? Most importantly, we recognized that decisions about funding faculty salaries are now as likely to occur at the campus level as at the systemwide level. The Taskforce proceeded under the assumption that the President is ready to support increased faculty salaries, a priority he has consistently stated over the last year.

Bearing all this in mind, the Taskforce proposes a plan to affirm core policy and shared practice (the salary scales and attendant regular peer review) and to align with the current situation in which much fiscal responsibility is being moved to the campuses.

Below, we outline a two-part "scale reformulation" which builds on current effective policies and practices while proposing a set of variations that would be determined at the campus level. We have proposed two interlocking salary adjustments, one of which assumes some funding coming centrally to provide more uniformity to salaries systemwide and one of which assumes individual campuses will have to generate the salary increase dollars and will need to award the salary within their norms at the time of annual merit review. Both adjustments work within the current salary policy and review processes. We would propose that any of these changes be implemented on July 1 of the affected year.

The recommendations and projections would need additional refinement if you agree to the concepts they encapsulate.

Professional School salaries. The Taskforce finds that some aspects of current faculty salary will not be adequately addressed by our recommendations and thus we recommend that the Provost appoint a follow up Taskforce to pursue optimal ways of ensuring competitive salaries in professional disciplines (non-Health Sciences). In reviewing the data on faculty salaries disaggregated by discipline, the Taskforce recognized that our proposed plan may have limited effect in some of the professional schools, where there are already discipline-based salary scales. We found this problematic. As we reviewed the situation for law faculty, for instance, we acknowledged major differences in scales (the law scales have nine steps compared to twenty in the General Campus scales) and in the use of fees in support of faculty salaries. We also found that faculty in business and in economics have little predictable relationship between the published scales and their salaries. This Taskforce did not have the appropriate expertise to pursue this issue of professional faculty salaries further.

This follow-up Taskforce is essential. In this report, we have dealt with the current professional school faculty in a couple of ways. For law faculty salaries, we have made the decision to exclude them from the costing models. While competitive law faculty salaries are a continuing priority, the recommendations of this Taskforce do not speak directly to the situation of law schools. For faculty on

the Business/Economics/Engineering scales as well as for other professional faculty on the General Campus scales, we have included them in the costing materials (detailed assumptions are in the notes of Appendix A and B). Since subsets of professional school faculty are substantially off-scale (business, for example), their inclusion did not add significant costs in our Year 2 and 3 estimates (these business salaries were NOT used in computing the campus averages, expressly because they are so far from current scales already).

5.1 Two-part scale reformulation

We propose that the University support its goal of competitive faculty salaries through a combination of two adjustments to salary, as described below. The adjustments are described separately, since the cost is necessarily calculated in two steps. Examples to explain this effect on individual faculty members follow in 5.1.3. The following tables are attached as appendices to offer details of how this plan would work in Years 2 and 3 (FY 13 and FY14), for General Campus and health sciences faculty. The Taskforce was wary of making calculations beyond the next two years, since there are too many unknowns to allow confidence that far into the future.

Appendix A:	"Costing Models—Based on the Median Average: Year 2"
Appendix B:	"Costing Models—Based on the Median Average: Year 3"
Appendix C:	"Health Sciences Compensation Plan APU Scales, using Median Average as Scale 0" (Year 2)
Appendix D:	"Health Sciences Compensation Plan APU Scales, using Median Average as Scale 0" (Year 3)
Appendix E:	"Campus Mean Scales—After Adjusting Oct. 2010 by +3%" (Year 2)
Appendix F:	"Campus Mean Scales—For 3rd Year Costing"
Appendix G:	"Note about Costing for Above Scale Faculty"

The significant detail in these attachments contain the assumptions and calculations behind the discussion below.

5.1.1 Step 1: Salary scale adjustments based on the median systemwide average at each rank and step

We propose that determination of faculty salaries in Years 2 and 3 begin with a recalculation of the systemwide salary scales.[4] This recommendation is based on our consensus that faculty salaries should be, at a minimum, at the "median campus average" at each rank and step.

In this first mechanism, scale adjustments would be made annually or at other (longer) intervals as determined by the President. The systemwide scale is set at the "median campus average" (of the nine

[4] In the mechanisms proposed below, we are focused on what we refer to as Year 2 (FY13) and Year 3 (FY14). Year 1 (FY12) is the current year, in which 3% was awarded on all salary dollars (on, above, and off scale) to all faculty with positive reviews in the preceding four years. If these proposals for Year 2 and 3 are adopted, the salary mechanisms could be used in Years 4 and 5 as well. We assume that a review of years 1-3 should occur preceding any decisions about Years 4 and 5.

General Campus locations) for each rank and step to allow for modest but consistent adjustments to the scales. For each campus, the average salary rate for General Campus ladder-rank faculty at each rank and step will be calculated and the middle (median) value of the nine campus averages will be used as the systemwide rate for each rank and step. Setting the new scale at the median campus average means that the systemwide scale can take into account hiring and retention actions across the system, and thus more accurately represent competitive salaries. In other words, this mechanism assumes that actual salaries should be factored into setting the baseline University scale and that scales should NOT be adjusted by a simple increment, as has been the case in the past.[5] If the adjustment is made each year, the cost is likely to be relatively modest each year, after the first couple of years. Adjustments made at longer intervals (every two or three years) would be more expensive. Appendices A-D contain detailed information on the cost for Years 2 and 3 of such an adjustment. In Year 2, the General Campus cost would be $23.3M; this cost covers all General Campus faculty (academic and fiscal year), on all scales except law.[6] The cost in Year 3 would be $25M.

Step 1

Cost in Year 2: $23,347,277 (General Campus)

Cost in Year 3: $25,004,501 (General Campus)

Health Sciences. The Taskforce recommends that scale 0 for the Health Science faculty be based on this "median" baseline University scale. See Appendices C and D for new HSCP/APU scales in Years 2 and 3. When this baseline scale goes up, the HSCP salary scales also go up as is currently the case under APM policy, meaning that more of the faculty salary (X, X') is covered compensation under UCRP. This scale adjustment may or may not result in an overall salary increase for individual faculty members, since the HSCP salary is a negotiated combination of X, X', Y, and Z. The Taskforce considered but rejected the idea of separate "median" baseline scales for each campus participating in HSCP, but decided that this would add needless complexity when the APU range of scales (0-9) already provides ample flexibility.

5.1.2 Step 2: "Scale Reformulation" correlated to campus averages for each rank and step at the time of merit advancement

Step 2 is an affirmation of the merit and CAP review of faculty performance. We propose that when a faculty member is advanced to a new rank and/or step, s/he is moved—at a minimum—to the average of her/his *campus* faculty salaries at the new rank and step. This is a mechanism that has been in place at UC Irvine for several years, has provided equitable salaries to productive faculty, and has proved effective in faculty retention.

---

[5] While the general campus means were calculated excluding the Business/Economics/Engineering scales and faculty, the salary adjustment costing does include the BEE faculty. Law school scales and faculty are not included in the means or the costing since this adjustment would have almost no effect on the competitiveness of their salaries. See recommendation for a separate taskforce on Professional School salaries in section 5.0.

[6] Law faculty were left out of these calculations because of significant differences in the number of scales and funding sources. To understand the total cost of implementing this plan, campuses with law faculty would need to take into account additional costs for those faculty salaries.

General Campus faculty would move, at a minimum, to the average campus salary at their new rank and step; for example, a faculty member moving from Professor IV to Professor V would have a new salary at the average of all other faculty members at Professor V on his/her campus. This mechanism ensures that at the moment peer review certifies strong performance, the University would move the faculty member to a new salary at least equal to his/her campus peers at the new rank/step. This mechanism also provides campus flexibility in setting salaries that meet local market conditions and resources. Off-scale amounts would continue to be managed as needed according to campus policy and practice.[7]

Faculty at barrier steps with a satisfactory review—but not an advancement—would be awarded a salary adjustment as well. We recommend that such faculty be advanced at least to the new campus scale at their continuing rank and step.

Appendices A and B detail the individual campus costs of this calculation, listed under "Step 2." We have calculated the costs assuming that only the 1/3 of faculty will have been awarded a merit advancement to be effective in Year 2 and again in Year 3 and that only this portion of the faculty would be brought to this new average.[8] Costs are estimated as follows: for example, at UCSB in Year 3, Step 2 would cost $2,560,212 to bring 1/3 of the faculty to the campus mean at the new rank and step (see Appendix B). Systemwide costs for the second adjustment (Step 2) are as follows for Years 2 and 3:

Step 2 costs: Years 2 and 3

Year 2:	$23,236,209 (cost for the roughly 1/3 faculty advanced in a given year) (General Campus) See Appendix A
Year 3:	$26,179,823 (cost for the roughly 1/3 faculty advanced in a given year) (General Campus) See Appendix B

Appendices E and F offer additional detail about the development of campus-based means and related costs of advancing faculty at merit review. Information is included for General Campus scales and for Business/Economics/Engineering scales, for academic year and fiscal year faculty.

[7] In developing the costs for this model, mechanisms for off-scales were simplified. In Step 1, the Taskforce assumed that the off-scale amounts would be subsumed in the scale adjustments; in other words, some or all of a faculty member's off-scale amount would transfer from off-scale dollars to on-scale dollars. In Step 2, we assumed that any off-scale dollars remaining after Step 1 would remain at the same dollar amount. In actual practice, the procedure for Step 2 would vary by campus, as is currently the case. Some Taskforce members voiced a concern that faculty members with current off-scales may not like the "return-to-scale" in Step 1.

[8] Bringing ALL faculty to the "Step 2" new campus average (including the roughly 2/3 who remain in their current step) in Year 2 would also be an option and would ensure that those recently advanced (in the two prior years) would profit from this salary adjustment along with those advancing in Year 2. The Taskforce decided against recommending this, since it would add significant costs in Year 2.

Above Scale Faculty. Above Scale faculty (UC currently has 821 Above Scale faculty) offer a special case in this proposed salary plan, since they do not have official steps, are reviewed on a longer time frame, and are awarded salary increments in different ways among the campuses. Still, it is necessary to factor the cost of salary increments to Above Scale faculty in our calculations. To calculate the costs for Above Scale faculty in Years 2 and 3, we used the same average percentage increase for them that would accrue to faculty at Professor Step 9 in this plan: 4.8% in Years 2 and 3. Appendix G details the assumptions used in calculating salary costs for Above Scale faculty in Appendices A and B. Note that these costs are already included in the total costs listed above. We understand that campuses would continue with current practice for Above Scale faculty, even in the new plan. It was, however, important to estimate the costs.

Health Sciences. The Taskforce recommends that HSCP scales be set at the University scale, not the campus specific scales described in this section, since this second mechanism is not needed for calculating HSCP faculty salaries. See Appendices C and D.

UCRP. Taskforce members noted that during Years 2 and 3 there will also be additional University costs for contributions to UCRP. The cost goes up from 7% to 10% in FY13 and to 12% in FY14. This is an additional cost that must be funded on all salary dollars, whether or not these recommendations are accepted. For example, the new UCRP cost of Steps 1 and 2 in year 2 would be 3% of $46.6M or$1,398,000. The President is discussing with the Governor and legislature the allocation of state funding for some of the University's UCRP costs.

5.1.3. Examples of how the scale reformulations would affect individual faculty members

Six scenarios from the General Campus faculty and two from Health Sciences Compensation Plan (HSCP) faculty show how individual faculty would be affected by the proposed salary plan in FY13 (Year 2); these scenarios use the new scales in Appendix E. The new salary is determined by whether or not the faculty member has had an advancement in the prior year (see "Approved for Merit?" column where a "Y" means the faculty member has a new step and/or rank and where "N" means the faculty member remains in the current rank and step). If the faculty member is not advanced (A, C, D, and G), the new salary is determined by the adjustments of Step 1. Parts or all of the off-scale amount could be subsumed in Step 1. *In no case would a faculty member's salary go down.* If the faculty member is advanced, the new salary is determined by the calculations of Step 2 as well as Step 1 (B, E, F, and H). To simplify the details, the examples in Step 2 assume that the off-scale amount does not change with Step 2 advancement but is maintained at the same dollar amount as after Step 1 (the off-scale could just as easily increase [or be absorbed]; those decisions about off-scales would continue to be managed according to campus policy and practice). Individual campuses are identified in the examples (UCD, UCI) since the adjustments of Step 2 are determined by individual campus averages. For the HSCP, UCSF is listed, although the individual campus does not matter in this calculation, since there would be one systemwide scale.

GENERAL CAMPUS FACULTY: YEAR 2										
Scenario	Campus	Current Rank & Step	Current Base Salary	On or Off-Scale	Current Total Salary	Approv-ed for Merit?	Step 1 Increment	Step 2 Increment	New Off-Scale	New Salary Year 2
A	UCD	Associate Professor II	$71,400	On-Scale	$71,400	N	$7,300	n/a	n/a	$78,700
B	UCD	Associate Professor II	$71,400	On-Scale	$71,400	Y	$7,300	$5,500	n/a	$84,200
C	UCI	Professor IV	$99,300	On-Scale	$99,300	N	$8,300	n/a	n/a	$107,600
D	UCI	Professor IV	$99,300	$3,000 Off-Scale	$102,300	N	$5,300	n/a	$0	$107,600
E	UCI	Professor IV	$99,300	$3,000 Off-Scale	$102,300	Y	$5,300	$12,000	$0	$119,600
F	UCI	Professor IV	$99,300	$10,000 Off-Scale	$109,300	Y	$0	$10,300[9]	$1,700	$121,300

HEALTH SCIENCES COMPENSATION PLAN FACULTY: YEAR 2										
Scenario	Campus	Rank, Step & APU	X,X'	On or Off-Scale	Current Total Salary	Approv-ed for Merit?	Step 1 Increment (X,X')	Step 2 Increment (X,X')	New Off-Scale	New Salary Year 2 (X,X')
G	UCSF	Assistant Professor II, Scale 5	$101,100	On-scale	$101,100	N	$16,500	n/a	n/a	$117,600
H	UCSF[10]	Assistant Professor II, Scale 5	$101,100	On-Scale	$101,100	Y	$16,500	$2,900	n/a	$120,500

5.1.4 Cost of Proposed Faculty Salary Plan for Years 1-3 (FY 12, 13, 14)

If the University were to adopt the two-step "Scale Reformulation" Plan proposed by this Taskforce, we estimate the costs for Years 1 (FY12), 2 (FY13) and 3 (FY14) as follows (see Appendices A and B for further detail). [11]

[9] In the example of faculty member F, the original off-scale of $10K is adjusted in Step 1. As the salary scale base of $99,300 is first raised to the average median of $107,600, $8300 of the off-scale is transferred to on-scale dollars. This leaves an off-scale of $1700 which remains constant in Step 2 as the faculty member is moved to the campus average at the new rank and step ($119,600). The off-scale of $1700 is added to this amount for a final salary of $121,300.

[10] Since the Health Sciences scales are the same at all campuses in this set of recommendations (as is currently the case), the campus does not matter.

[11] The estimate for Year 1 (FY12) is roughly 3% of current payroll ($1B). Actual salary increments for FY12 are not yet available but are likely to be higher than this 3%.

Year	Combined cost, Steps 1 and 2	Percent of new salary dollars over "status quo" needed for Taskforce recommendations, Steps 1 and 2
Year 1 (FY12) (3% for faculty with positive reviews in last four years)	$30M	n/a
Year 2 (FY13)	$46,583,486 5.1% increase	3.2%
Year 3 (FY14)	$51,184,324 5.3% increase	3.3%
TOTAL (FY12-FY14)	**$127,767,810**[12]	

The possible costs of Years 4 and 5 are not included here; as noted above, the variables in the proposed plan and the major changes in University administration of budget suggest that making such estimates would be inaccurate at best.

The Taskforce felt it was important to understand the costs of this set of recommendations in comparison to costs the campuses already incur for salary actions. We defined the "status quo" as funds needed to move 1/3 of the faculty one step in the merit process during a given year. In Year 2, we estimated this cost to be 1.9% of payroll; in Year 3, we estimated a cost of 2.0%. Appendices A and B contain these estimates in the column labeled "Comparator, Simulated 'Status Quo' Merit Process (1/3 of faculty)". In the Table above, we have calculated the additional cost of our recommendations (Step 1 and 2) over and above this 1.9% or 2.0%. The proposed plan is 3.2% additional cost in Year 2 and 3.3% additional cost in Year 3. As noted earlier in this report, the Office of the President previously calculated the actual costs of merit advancement and retention for a subset of faculty, between FY08 and FY10; the cost was 3.1% per year.

The Taskforce believes these are reasonable costs to support faculty salaries. We also believe that these costs would likely leave the campuses with some flexibility to deal with other salary costs in recruitment and retention. Having a plan like the one we propose would be a key factor in improving faculty morale and improving recruitment and retention on a broad scale. This plan also adds new dimensions to our current salary processes by factoring market salaries directly into development of the scales and by acknowledging the need for campus variation in salary.

[12] Additional UCRP costs are not included in these figures.

6.0 Next Steps

These recommendations reflect the consensus of the Taskforce as it has worked to reflect the priorities and goals of both faculty and administration (one Taskforce member contributed to the development of this memo, but abstained from endorsing its final recommendations). The Taskforce would be pleased to meet with you to review these recommendations and next steps for determining faculty salary in the next two years.

cc: Current and past members, Senate-Administration Taskforce on Faculty Salaries
Executive Director Tanaka
Manager Lockwood
Coordinator Sykes

Attachments: June 9, 2011 memo to Executive Vice President and Provost Pitts from Taskforce
Appendices A through G

Year 2
(Subsequent to Approx. 3% increase in October 2011)

Bringing Faculty to Median Average (Systemwide), Then to Campus Mean After Merit Process
General Campus Ladder Rank Academic and Fiscal Year Faculty (Regular and B/E/E Scales)
Based on October 2010 Payroll Data, Adjusted with 3% increase for Oct. 2011

Year 2 (3% increase added to Oct 2010 salary data) Total Salaries (3% increase over Oct. 2010)			Comparator Simulated "Status Quo" Merit Process (1/3 of faculty)		Step 1 Median Average	Step 2: Campus Merit Process (Sim. Merit Process using new model)	Step 1 + Step 2		Difference between Model and Status Quo	Diff. in % of of Total Salaries
CAMPUS	FT Salary Rates	Total Faculty N	Cost	% of Total Salaries	Cost	(Cost of merits for 1/3 of faculty)	Total Cost	% of of Total Salaries		
SYSTEM	$916,638,725	7,541	$17,658,754	1.9%	$23,347,277	$23,236,209	$46,583,486	5.1%	$28,924,732	3.2%
Prof.	$654,863,828	4,599	$13,599,654	2.1%	$15,269,589	$17,261,820	$32,531,409	5.0%	$18,931,755	2.9%
Assoc.	$148,022,920	1,601	$2,493,100	1.7%	$4,733,997	$3,713,760	$8,447,757	5.7%	$5,954,657	4.0%
Assistant	$113,751,977	1,341	$1,566,000	1.4%	$3,343,691	$2,260,630	$5,604,321	4.9%	$4,038,321	3.6%
BK	$171,212,216	1,288	$3,196,787	1.9%	$2,576,535	$4,780,670	$7,357,205	4.3%	$4,160,417	2.4%
Prof.	$123,230,332	808	$2,463,654	2.0%	$1,947,098	$3,274,366	$5,221,464	4.2%	$2,757,810	2.2%
Assoc.	$28,160,393	268	$478,833	1.7%	$356,762	$979,342	$1,336,104	4.7%	$857,271	3.0%
Assistant	$19,821,491	212	$254,300	1.3%	$272,675	$526,962	$799,637	4.0%	$545,337	2.8%
DV	$138,601,614	1,197	$2,915,786	2.1%	$6,663,963	$3,257,603	$9,921,566	7.2%	$7,005,780	5.1%
Prof.	$102,298,997	765	$2,325,386	2.3%	$4,678,614	$2,603,856	$7,282,470	7.1%	$4,957,084	4.8%
Assoc.	$19,785,110	228	$348,867	1.8%	$1,095,632	$418,623	$1,514,255	7.7%	$1,165,388	5.9%
Assistant	$16,517,507	204	$241,533	1.5%	$889,717	$235,125	$1,124,842	6.8%	$883,308	5.3%
IR	$94,208,268	837	$1,831,510	1.9%	$3,071,517	$2,382,308	$5,453,825	5.8%	$3,622,315	3.8%
Prof.	$62,266,420	463	$1,301,810	2.1%	$1,693,552	$1,687,085	$3,380,637	5.4%	$2,078,827	3.3%
Assoc.	$17,675,381	203	$329,067	1.9%	$764,818	$446,013	$1,210,831	6.9%	$881,764	5.0%
Assistant	$14,266,467	171	$200,633	1.4%	$613,147	$249,210	$862,357	6.0%	$661,724	4.6%
LA	$177,127,376	1,267	$3,053,222	1.7%	$957,362	$4,933,106	$5,890,468	3.3%	$2,837,245	1.6%
Prof.	$134,939,458	854	$2,513,989	1.9%	$710,789	$3,910,580	$4,621,369	3.4%	$2,107,380	1.6%
Assoc.	$24,118,388	227	$325,067	1.3%	$173,390	$614,559	$787,949	3.3%	$462,882	1.9%
Assistant	$18,069,530	186	$214,167	1.2%	$73,183	$407,966	$481,149	2.7%	$266,983	1.5%
MC	$11,097,937	122	$190,840	1.7%	$307,268	$198,081	$505,349	4.6%	$314,509	2.8%
Prof.	$3,691,447	29	$79,806	2.2%	$48,805	$77,325	$126,130	3.4%	$46,323	1.3%
Assoc.	$1,995,865	23	$31,900	1.6%	$62,732	$40,107	$102,839	5.2%	$70,939	3.6%
Assistant	$5,410,625	70	$79,133	1.5%	$195,731	$80,649	$276,380	5.1%	$197,246	3.6%
RV	$71,077,274	653	$1,443,632	2.0%	$2,848,803	$1,738,158	$4,586,961	6.5%	$3,143,329	4.4%
Prof.	$46,561,077	348	$1,027,799	2.2%	$1,730,733	$1,201,754	$2,932,487	6.3%	$1,904,688	4.1%
Assoc.	$12,759,939	153	$237,667	1.9%	$628,709	$310,695	$939,404	7.4%	$701,737	5.5%
Assistant	$11,756,258	152	$178,167	1.5%	$489,361	$225,709	$715,070	6.1%	$536,903	4.6%
SB	$90,996,834	772	$1,858,430	2.0%	$2,365,159	$2,186,712	$4,551,871	5.0%	$2,693,440	3.0%
Prof.	$69,239,458	509	$1,495,497	2.2%	$1,669,325	$1,719,839	$3,389,164	4.9%	$1,893,667	2.7%
Assoc.	$15,055,458	179	$267,567	1.8%	$538,803	$316,457	$855,260	5.7%	$587,693	3.9%
Assistant	$6,701,918	84	$95,367	1.4%	$157,031	$150,416	$307,447	4.6%	$212,080	3.2%
SC	$54,198,787	512	$1,122,132	2.1%	$1,941,125	$1,199,503	$3,140,628	5.8%	$2,018,497	3.7%
Prof.	$36,372,476	290	$824,332	2.3%	$1,238,635	$365,688	$1,604,323	4.4%	$779,992	2.1%
Assoc.	$9,745,174	116	$177,533	1.8%	$442,264	$119,128	$561,392	5.8%	$383,858	3.9%
Assistant	$8,081,137	106	$120,267	1.5%	$260,226	$128,217	$388,443	4.8%	$268,176	3.3%
SD	$108,118,419	893	$2,046,414	1.9%	$2,615,545	$2,560,070	$5,175,615	4.8%	$3,129,200	2.9%
Prof.	$76,264,163	533	$1,567,381	2.1%	$1,552,038	$1,898,598	$3,450,636	4.5%	$1,883,255	2.5%
Assoc.	$18,727,212	204	$296,600	1.6%	$670,887	$410,824	$1,081,711	5.8%	$785,111	4.2%
Assistant	$13,127,044	156	$182,433	1.4%	$392,620	$250,648	$643,268	4.9%	$460,834	3.5%

SEE NEXT PAGE FOR NOTES

Notes: Calculation of Means

The calculations in this costing model is based on October 2010 faculty salaries, plus 3% to approximate the faculty salary increases effective October 2011.
Therefore, "Year 1" was represented by the increases of October 2011 (3%), and this costing is for "Year 2" (effective October 2012)
Included in the calculation of means: Ladder Rank Faculty plus Agronomists and Astronomers
General Campus only
Regular Scale Only (excludes Business/Econ/Engineering and Law School Scales)
AY and FY Faculty (FY rates normalized to AY equivalent by dividing by a factor of 1.16)
Excludes Above Scale
Salary rate used is a calculated full time annual rate, based on regular pay and FTE in October 2010 (stipends, research pay, etc. were not included in the rate calculation).
For each rank and step, up to 5 outlier salary rates were removed if they were at least $10,000 higher than the next lower rate.
Campus Means used for costing Step 2 were calculated subsequent to bringing all faculty to Median of the Means value (Step 1)

Notes: Salary Adjustment Costing

Includes Ladder Ranks and Acting plus Astronomers and Agronomists
Includes Regular Scale and Business/Econ/Engineering Faculty
Excludes faculty paid on Law School Scales
Simulated Merit Process for both Status Quo and Model 2b:
- Faculty advanced one Step within rank
- Promotional advancement: advance to Step 3 of the new Rank (i.e., from Asst. 6 to Assoc. 3)
- The resulting cost was divided by 3 to simulate approximately 1/3 of faculty advancing in a given year.

Process for Status Quo merit increase for Above Scale:
- Faculty at Professor Step 9 were advanced to Above Scale and salaries increased by $11,400 (difference between Prof. 8 and 9 on current salary scale)
- Faculty already at Above Scale were increased by 4.8% (same as for Method 2b - see below)

Method 2b process for Off-Scale salary rates that were already above the Median of the Means:
- No Increase in Step 1
- In Step 2, if the salary rate prior to advancement was below the Campus Mean for the new step, the rate was increased to the Campus Mean (off-scale absorbed).
- In Step 2, if the salary rate prior to advancement was above the Campus Mean for the new step, the rate was increased by the difference in value between previous and new step on the Systemwide Median of the Means scale (off-scale partially retained).
- In Step 2, faculty at Professor Step 9 were advanced to Above Scale and salaries increased by $10,900 (difference between Prof. 8 and 9 on Median of the Means Scale)
- In Step 2, salaries for faculty already at Above Scale were increased by 4.8% (average of increase for faculty at Step 9 - determined in previous costing exercise)

Bringing Faculty to Median Average (Systemwide), Then to Campus Mean After Merit Process
General Campus Ladder Rank Academic and Fiscal Year Faculty (Regular and B/E/E Scales)
Based on October 2010 Payroll Data, Adjusted with 3% increase for Oct. 2011, adjusted for year 2

		Comparator				Step 1	Step 2: Campus Merit Process					
		After Yr 2 Status Quo Merit Process	Simulated Yr 3 "Status Quo" Merit Process (1/3 of faculty)		After Yr 2	Median Average	(Simulated using model)	Step 1 + Step 2		Difference between Model and Status Quo	Diff. in % of Total Salaries
CAMPUS	Total Faculty N	FT Salary Rates	Cost	% of Total Salaries	FT Salary Rates	Cost	(Cost of merits for 1/3 of faculty)	Total Cost	% of Total Salaries		
SYSTEM	**7,541**	**$934,308,003**	**$18,549,606**	**2.0%**	**$963,176,983**	**$25,004,501**	**$26,179,823**	**$51,184,324**	**5.3%**	**$32,634,718**	**3.3%**
Prof.	4,650	$673,683,667	$14,073,706	2.1%	$693,165,232	$18,450,048	$19,533,757	$37,983,805	5.5%	$23,910,099	3.4%
Assoc.	1,577	$147,699,864	$2,865,700	1.9%	$153,222,061	$3,804,770	$4,418,380	$8,223,150	5.4%	$5,357,450	3.4%
Assistant	1,314	$112,924,472	$1,610,200	1.4%	$116,789,690	$2,749,683	$2,227,686	$4,977,369	4.3%	$3,367,169	2.8%
BK	**1,288**	**$174,278,738**	**$3,459,875**	**2.0%**	**$178,349,738**	**$3,206,046**	**$5,088,330**	**$8,294,376**	**4.7%**	**$4,834,501**	**2.7%**
Prof.	841	$129,044,454	$2,680,875	2.1%	$132,160,365	$2,619,066	$3,522,425	$6,141,491	4.6%	$3,460,616	2.6%
Assoc.	254	$26,897,608	$504,300	1.9%	$27,449,196	$350,134	$1,107,789	$1,457,923	5.3%	$953,623	3.4%
Assistant	193	$18,336,676	$274,700	1.5%	$18,740,177	$236,846	$458,116	$694,962	3.7%	$420,262	2.2%
DV	**1,197**	**$141,575,600**	**$3,097,254**	**2.2%**	**$148,625,310**	**$6,093,657**	**$5,494,882**	**$11,588,539**	**7.8%**	**$8,491,285**	**5.6%**
Prof.	768	$104,937,683	$2,419,854	2.3%	$109,973,303	$4,679,887	$4,416,493	$9,096,380	8.3%	$6,676,526	6.0%
Assoc.	228	$20,108,110	$421,300	2.1%	$21,266,610	$777,543	$675,204	$1,452,747	6.8%	$1,031,447	4.7%
Assistant	201	$16,529,807	$256,100	1.5%	$17,385,397	$636,227	$403,185	$1,039,412	6.0%	$783,312	4.4%
IR	**837**	**$95,986,408**	**$1,872,051**	**2.0%**	**$99,609,418**	**$2,855,853**	**$2,156,569**	**$5,012,422**	**5.0%**	**$3,140,371**	**3.1%**
Prof.	473	$64,468,463	$1,317,651	2.0%	$66,630,543	$1,866,872	$1,502,643	$3,369,515	5.1%	$2,051,864	3.0%
Assoc.	194	$17,158,804	$347,200	2.0%	$17,964,719	$533,457	$441,964	$975,421	5.4%	$628,221	3.4%
Assistant	170	$14,359,141	$207,200	1.4%	$15,014,156	$455,524	$211,962	$667,486	4.4%	$460,286	3.0%
LA	**1,267**	**$180,227,180**	**$3,246,167**	**1.8%**	**$183,116,796**	**$1,530,248**	**$5,216,551**	**$6,746,799**	**3.7%**	**$3,500,632**	**1.9%**
Prof.	854	$137,485,562	$2,637,267	1.9%	$139,613,636	$1,280,314	$4,061,700	$5,342,014	3.8%	$2,704,747	1.9%
Assoc.	227	$24,446,888	$404,700	1.7%	$24,912,793	$145,861	$751,919	$897,780	3.6%	$493,080	1.9%
Assistant	186	$18,294,730	$204,200	1.1%	$18,590,367	$104,073	$402,932	$507,005	2.7%	$302,805	1.6%
MC	**122**	**$11,300,937**	**$174,688**	**1.5%**	**$11,626,387**	**$423,533**	**$156,355**	**$579,888**	**5.0%**	**$405,200**	**3.4%**
Prof.	29	$3,774,847	$71,488	1.9%	$3,821,863	$149,388	$73,319	$222,707	5.8%	$151,219	3.9%
Assoc.	24	$2,109,148	$24,700	1.2%	$2,178,717	$67,827	$26,075	$93,902	4.3%	$69,202	3.1%
Assistant	69	$5,416,942	$78,500	1.4%	$5,625,807	$206,318	$56,961	$263,279	4.7%	$184,779	3.2%
RV	**653**	**$72,574,184**	**$1,412,672**	**1.9%**	**$75,702,885**	**$2,740,350**	**$2,030,702**	**$4,771,052**	**6.3%**	**$3,358,381**	**4.4%**
Prof.	350	$47,851,944	$948,972	2.0%	$49,765,105	$1,881,993	$1,449,751	$3,331,744	6.7%	$2,382,773	4.7%
Assoc.	154	$13,020,563	$301,600	2.3%	$13,721,610	$467,639	$382,979	$850,618	6.2%	$549,018	3.9%
Assistant	149	$11,701,677	$162,100	1.4%	$12,216,170	$390,718	$197,972	$588,690	4.8%	$426,590	3.4%
SB	**772**	**$92,882,511**	**$1,943,016**	**2.1%**	**$95,546,029**	**$2,942,871**	**$2,225,212**	**$5,168,083**	**5.4%**	**$3,225,067**	**3.3%**
Prof.	509	$70,745,235	$1,528,016	2.2%	$72,604,362	$2,336,227	$1,656,416	$3,992,643	5.5%	$2,464,627	3.3%
Assoc.	179	$15,328,558	$315,000	2.1%	$15,925,719	$471,697	$408,349	$880,046	5.5%	$565,046	3.5%
Assistant	84	$6,808,718	$100,000	1.5%	$7,015,948	$134,947	$160,447	$295,394	4.2%	$195,394	2.7%
SC	**512**	**$55,363,710**	**$1,099,048**	**2.0%**	**$57,383,600**	**$2,478,470**	**$1,118,935**	**$3,597,405**	**6.3%**	**$2,498,357**	**4.3%**
Prof.	291	$37,358,796	$748,848	2.0%	$38,663,616	$1,718,042	$775,249	$2,493,291	6.4%	$1,744,443	4.4%
Assoc.	115	$9,824,577	$225,600	2.3%	$10,256,096	$459,848	$225,813	$685,661	6.7%	$460,061	4.4%
Assistant	106	$8,180,337	$124,600	1.5%	$8,463,888	$300,580	$117,873	$418,453	4.9%	$293,853	3.4%
SD	**893**	**$110,118,735**	**$2,244,836**	**2.0%**	**$113,216,820**	**$2,733,473**	**$2,692,287**	**$5,425,760**	**4.8%**	**$3,180,924**	**2.8%**
Prof.	535	$78,016,683	$1,720,736	2.2%	$79,932,439	$1,918,259	$2,075,761	$3,994,020	5.0%	$2,273,284	2.8%
Assoc.	202	$18,805,608	$321,300	1.7%	$19,546,601	$530,764	$398,288	$929,052	4.8%	$607,752	3.0%
Assistant	156	$13,296,444	$202,800	1.5%	$13,737,780	$284,450	$218,238	$502,688	3.7%	$299,888	2.1%

SEE NEXT PAGE FOR NOTES

Notes: Calculation of Means

The calculations in this costing model is based on October 2010 faculty salaries, plus 3% to approximate the faculty salary increases effective October 2011.
Therefore, "Year 1" was represented by the increases of October 2011 (3%), and this costing is for "Year 2" (effective October 2012)
Included in the calculation of means: Ladder Rank Faculty plus Agronomists and Astronomers
General Campus only
Regular Scale Only (excludes Business/Econ/Engineering and Law School Scales)
AY and FY Faculty (FY rates normalized to AY equivalent by dividing by a factor of 1.16)
Excludes Above Scale
Salary rate used is a calculated full time annual rate, based on regular pay and FTE in October 2010 (stipends, research pay, etc. were not included in the rate calculation).
For each rank and step, up to 5 outlier salary rates were removed if they were at least $10,000 higher than the next lower rate.
Campus Means used for costing Step 2 were calculated subsequent to bringing all faculty to Median of the Means value (Step 1)

Notes: Salary Adjustment Costing

Includes Ladder Ranks and Acting plus Astronomers and Agronomists
Includes Regular Scale and Business/Econ/Engineering Faculty
Excludes faculty paid on Law School Scales
Simulated Merit Process for both Status Quo and Model 2b:
- Faculty advanced one Step within rank
- Promotional advancement: advance to Step 3 of the new Rank (i.e., from Asst. 6 to Assoc. 3)
- The resulting cost was divided by 3 to simulate approximately 1/3 of faculty advancing in a given year.

Process for Status Quo merit increase for Above Scale:
- Faculty at Professor Step 9 were advanced to Above Scale and salaries increased by $11,400 (difference between Prof. 8 and 9 on current salary scale)
- Faculty already at Above Scale were increased by 4.8% (same as for Method 2b - see below)

Method 2b process for Off-Scale salary rates that were already above the Median of the Means:
- No increase in Step 1
- In Step 2, if the salary rate prior to advancement was below the Campus Mean for the new step, the rate was increased to the Campus Mean (off-scale absorbed).
- In Step 2, if the salary rate prior to advancement was above the Campus Mean for the new step, the rate was increased by the difference in value between previous and new step on the Systemwide Median of the Means scale (off-scale partially retained).
- In Step 2, faculty at Professor Step 9 were advanced to Above Scale and salaries increased by $10,900 (difference between Prof. 8 and 9 on Median of the Means Scale)
- In Step 2, salaries for faculty already at Above Scale were increased by 4.8% (average of increase for faculty at Step 9 - determined in previous costing exercise)

APPENDIX C
UC Faculty Salaries Task Force
Costing Models - Based on the Median Average: Year 2

Health Sciences Compensation Plan APU Scales
Using the Median Average as Scale 0

System - 5th Lowest Mean				(Based on Oct 2010 +3%) Scale 0	APU Scale Number								
					1	2	3	4	5	6	7	8	9
Type	AYFY	Rank	STEP	Median Average	1.10	1.20	1.30	1.40	1.50	1.65	1.80	2.00	2.25
Regular	FY	Asst.	1	$76,900	$84,600	$92,300	$100,000	$107,700	$115,400	$126,900	$138,400	$153,800	$173,000
Regular	FY	Asst.	2	$78,400	$86,200	$94,100	$101,900	$109,800	$117,600	$129,400	$141,100	$156,800	$176,400
Regular	FY	Asst.	3	$80,300	$88,300	$96,400	$104,400	$112,400	$120,500	$132,500	$144,500	$160,600	$180,700
Regular	FY	Asst.	4	$84,900	$93,400	$101,900	$110,400	$118,900	$127,400	$140,100	$152,800	$169,800	$191,000
Regular	FY	Asst.	5	$87,700	$96,500	$105,200	$114,000	$122,800	$131,600	$144,700	$157,900	$175,400	$197,300
Regular	FY	Asst.	6	$90,400	$99,400	$108,500	$117,500	$126,600	$135,600	$149,200	$162,700	$180,800	$203,400
Regular	FY	Assoc.	1	$88,000	$96,800	$105,600	$114,400	$123,200	$132,000	$145,200	$158,400	$176,000	$198,000
Regular	FY	Assoc.	2	$91,300	$100,400	$109,600	$118,700	$127,800	$137,000	$150,600	$164,300	$182,600	$205,400
Regular	FY	Assoc.	3	$96,600	$106,300	$115,900	$125,600	$135,200	$144,900	$159,400	$173,900	$193,200	$217,400
Regular	FY	Assoc.	4	$99,400	$109,300	$119,300	$129,200	$139,200	$149,100	$164,000	$178,900	$198,800	$223,700
Regular	FY	Assoc.	5	$107,400	$118,100	$128,900	$139,600	$150,400	$161,100	$177,200	$193,300	$214,800	$241,700
Regular	FY	Prof.	1	$102,300	$112,500	$122,800	$133,000	$143,200	$153,500	$168,800	$184,100	$204,600	$230,200
Regular	FY	Prof.	2	$113,300	$124,600	$136,000	$147,300	$158,600	$170,000	$186,900	$203,900	$226,600	$254,900
Regular	FY	Prof.	3	$117,400	$129,100	$140,900	$152,600	$164,400	$176,100	$193,700	$211,300	$234,800	$264,200
Regular	FY	Prof.	4	$124,800	$137,300	$149,800	$162,200	$174,700	$187,200	$205,900	$224,600	$249,600	$280,800
Regular	FY	Prof.	5	$133,400	$146,700	$160,100	$173,400	$186,800	$200,100	$220,100	$240,100	$266,800	$300,200
Regular	FY	Prof.	6	$141,800	$156,000	$170,200	$184,300	$198,500	$212,700	$234,000	$255,200	$283,600	$319,100
Regular	FY	Prof.	7	$155,000	$170,500	$186,000	$201,500	$217,000	$232,500	$255,800	$279,000	$310,000	$348,800
Regular	FY	Prof.	8	$164,800	$181,300	$197,800	$214,200	$230,700	$247,200	$271,900	$296,600	$329,600	$370,800
Regular	FY	Prof.	9	$177,500	$195,300	$213,000	$230,800	$248,500	$266,300	$292,900	$319,500	$355,000	$399,400

APPENDIX D
UC Faculty Salaries Task Force
Costing Models - Based on the Median Average: Year 3

Health Sciences Compensation Plan APU Scales
Using the Median Average as Scale 0

System - 5th Lowest Mean				Scale 0	APU Scale Number								
					1	2	3	4	5	6	7	8	9
Type	AYFY	Rank	STEP	Median Average	1.10	1.20	1.30	1.40	1.50	1.65	1.80	2.00	2.25
Regular	FY	Asst.	1	$80,300	$88,300	$96,400	$104,400	$112,400	$120,500	$132,500	$144,500	$160,600	$180,700
Regular	FY	Asst.	2	$82,400	$90,600	$98,900	$107,100	$115,400	$123,600	$136,000	$148,300	$164,800	$185,400
Regular	FY	Asst.	3	$85,700	$94,300	$102,800	$111,400	$120,000	$128,600	$141,400	$154,300	$171,400	$192,800
Regular	FY	Asst.	4	$89,700	$98,700	$107,600	$116,600	$125,600	$134,600	$148,000	$161,500	$179,400	$201,800
Regular	FY	Asst.	5	$92,300	$101,500	$110,800	$120,000	$129,200	$138,500	$152,300	$166,100	$184,600	$207,700
Regular	FY	Asst.	6	$94,700	$104,200	$113,600	$123,100	$132,600	$142,100	$156,300	$170,500	$189,400	$213,100
Regular	FY	Assoc.	1	$93,500	$102,900	$112,200	$121,600	$130,900	$140,300	$154,300	$168,300	$187,000	$210,400
Regular	FY	Assoc.	2	$94,900	$104,400	$113,900	$123,400	$132,900	$142,400	$156,600	$170,800	$189,800	$213,500
Regular	FY	Assoc.	3	$102,000	$112,200	$122,400	$132,600	$142,800	$153,000	$168,300	$183,600	$204,000	$229,500
Regular	FY	Assoc.	4	$106,000	$116,600	$127,200	$137,800	$148,400	$159,000	$174,900	$190,800	$212,000	$238,500
Regular	FY	Assoc.	5	$111,600	$122,800	$133,900	$145,100	$156,200	$167,400	$184,100	$200,900	$223,200	$251,100
Regular	FY	Prof.	1	$113,200	$124,500	$135,800	$147,200	$158,500	$169,800	$186,800	$203,800	$226,400	$254,700
Regular	FY	Prof.	2	$118,300	$130,100	$142,000	$153,800	$165,600	$177,500	$195,200	$212,900	$236,600	$266,200
Regular	FY	Prof.	3	$126,700	$139,400	$152,000	$164,700	$177,400	$190,100	$209,100	$228,100	$253,400	$285,100
Regular	FY	Prof.	4	$136,500	$150,200	$163,800	$177,500	$191,100	$204,800	$225,200	$245,700	$273,000	$307,100
Regular	FY	Prof.	5	$142,600	$156,900	$171,100	$185,400	$199,600	$213,900	$235,300	$256,700	$285,200	$320,900
Regular	FY	Prof.	6	$150,200	$165,200	$180,200	$195,300	$210,300	$225,300	$247,800	$270,400	$300,400	$338,000
Regular	FY	Prof.	7	$167,700	$184,500	$201,200	$218,000	$234,800	$251,600	$276,700	$301,900	$335,400	$377,300
Regular	FY	Prof.	8	$174,500	$192,000	$209,400	$226,900	$244,300	$261,800	$287,900	$314,100	$349,000	$392,600
Regular	FY	Prof.	9	$187,600	$206,400	$225,100	$243,900	$262,600	$281,400	$309,500	$337,700	$375,200	$422,100

APPENDIX E
UC Faculty Salaries Task Force
Costing Models - Based on the Median Average: Year 2

Campus Mean Scales
After Adjusting Oct. 2010 by + 3%

Scale Type	AYFY	Rank	STEP	(Based on Oct 2010 +3%) Median Average	Campus Means after Bringing Faculty to the Median Average BK	DV	IR	LA	MC	RV	SB	SC	SD
Regular	AY	Asst.	1	$66,300	$72,100	$69,200	$66,300	$72,100	$66,300	$66,300	$72,100	$66,300	$69,200
Regular	AY	Asst.	2	$67,600	$75,100	$70,800	$68,400	$74,500	$69,300	$68,600	$73,200	$68,800	$71,400
Regular	AY	Asst.	3	$69,200	$78,100	$72,700	$69,800	$80,200	$70,400	$71,400	$74,300	$70,600	$75,100
Regular	AY	Asst.	4	$73,200	$81,700	$74,600	$74,800	$82,400	$74,800	$74,800	$78,500	$75,400	$76,700
Regular	AY	Asst.	5	$75,600	$83,400	$76,400	$78,100	$87,000	$77,500	$78,700	$79,800	$76,500	$78,700
Regular	AY	Asst.	6	$77,900	$85,100	$77,900	$81,200	$88,700	$78,200	$80,600	$81,100	$80,300	$83,700
Regular	AY	Assoc.	1	$75,900	$83,500	$78,100	$78,200	$90,400	$77,600	$78,800	$79,900	$76,600	$80,200
Regular	AY	Assoc.	2	$78,700	$93,600	$81,300	$81,300	$93,300	$83,100	$81,200	$81,200	$80,400	$83,800
Regular	AY	Assoc.	3	$83,300	$94,400	$84,200	$85,600	$96,300	$85,900	$85,300	$87,500	$83,700	$87,300
Regular	AY	Assoc.	4	$85,700	$96,300	$87,600	$89,800	$99,300	$88,600	$89,100	$88,500	$87,500	$88,200
Regular	AY	Assoc.	5	$92,600	$98,200	$95,300	$94,000	$101,100	$90,500	$94,000	$91,600	$92,600	$92,600
Regular	AY	Prof.	1	$88,200	$103,200	$90,100	$89,900	$106,600	$92,400	$93,300	$94,700	$90,800	$93,100
Regular	AY	Prof.	2	$97,700	$108,200	$99,000	$101,400	$114,000	$97,700	$99,200	$103,600	$98,600	$103,300
Regular	AY	Prof.	3	$101,200	$112,600	$104,600	$104,300	$126,000	$105,900	$103,600	$105,600	$102,400	$107,100
Regular	AY	Prof.	4	$107,600	$119,500	$110,000	$116,600	$127,700	$108,000	$109,200	$108,800	$111,400	$111,200
Regular	AY	Prof.	5	$115,000	$124,100	$116,600	$119,600	$131,400	$115,100	$120,800	$119,400	$115,500	$120,400
Regular	AY	Prof.	6	$122,200	$133,700	$124,800	$128,700	$142,300	$122,200	$125,000	$124,100	$124,800	$127,900
Regular	AY	Prof.	7	$133,600	$141,300	$136,700	$139,200	$151,400	$133,600	$138,000	$137,700	$136,400	$143,300
Regular	AY	Prof.	8	$142,100	$148,500	$145,100	$149,600	$157,800	$151,000	$143,100	$145,200	$143,000	$144,600
Regular	AY	Prof.	9	$153,000	$157,500	$156,000	$158,400	$169,800	$155,200	$157,100	$161,200	$154,900	$156,600
Diff btwn Step 8 & 9				$10,900	$9,000	$10,900	$8,800	$12,000	$4,200	$14,000	$16,000	$11,900	$12,000

Scale Type	AYFY	Rank	STEP	(Based on Oct 2010 +3%) Median Average	BK	DV	IR	LA	MC	RV	SB	SC	SD
Regular	FY	Asst.	1	$76,900	$83,600	$80,300	$76,900	$83,600	$76,900	$76,900	$83,600	$76,900	$80,300
Regular	FY	Asst.	2	$78,400	$87,100	$82,100	$79,300	$86,400	$80,400	$79,600	$84,900	$79,800	$82,800
Regular	FY	Asst.	3	$80,300	$90,600	$84,300	$81,000	$93,000	$81,700	$82,800	$86,200	$81,900	$87,100
Regular	FY	Asst.	4	$84,900	$94,800	$86,500	$86,800	$95,600	$86,800	$86,800	$91,100	$87,500	$89,000
Regular	FY	Asst.	5	$87,700	$96,700	$88,600	$90,600	$100,900	$89,900	$91,300	$92,600	$88,700	$91,300
Regular	FY	Asst.	6	$90,400	$98,700	$90,400	$94,200	$102,900	$90,700	$93,500	$94,100	$93,100	$97,100
Regular	FY	Assoc.	1	$88,000	$96,900	$90,600	$90,700	$104,900	$90,000	$91,400	$92,700	$88,900	$93,000
Regular	FY	Assoc.	2	$91,300	$108,600	$94,300	$94,300	$108,200	$96,400	$94,200	$94,200	$93,300	$97,200
Regular	FY	Assoc.	3	$96,600	$109,500	$97,700	$99,300	$111,700	$99,600	$98,900	$101,500	$97,100	$101,300
Regular	FY	Assoc.	4	$99,400	$111,700	$101,600	$104,200	$115,200	$102,800	$103,400	$102,700	$101,500	$102,300
Regular	FY	Assoc.	5	$107,400	$113,900	$110,500	$109,000	$117,300	$105,000	$109,000	$106,300	$107,400	$107,400
Regular	FY	Prof.	1	$102,300	$119,700	$104,500	$104,300	$123,700	$107,200	$108,200	$109,900	$105,300	$108,000
Regular	FY	Prof.	2	$113,300	$125,500	$114,800	$117,600	$132,200	$113,300	$115,100	$120,200	$114,400	$119,800
Regular	FY	Prof.	3	$117,400	$130,600	$121,300	$121,000	$146,200	$122,800	$120,200	$122,500	$118,800	$124,200
Regular	FY	Prof.	4	$124,800	$138,600	$127,600	$135,300	$148,100	$125,300	$126,700	$126,200	$129,200	$129,000
Regular	FY	Prof.	5	$133,400	$144,000	$135,300	$138,700	$152,400	$133,500	$140,100	$138,500	$134,000	$139,700
Regular	FY	Prof.	6	$141,800	$155,100	$144,800	$149,300	$165,100	$141,800	$145,000	$144,000	$144,800	$148,400
Regular	FY	Prof.	7	$155,000	$163,900	$158,600	$161,500	$175,600	$155,000	$160,100	$159,700	$158,200	$166,200
Regular	FY	Prof.	8	$164,800	$172,300	$168,300	$173,500	$183,000	$175,200	$166,000	$168,400	$165,900	$167,700
Regular	FY	Prof.	9	$177,500	$182,700	$181,000	$183,700	$197,000	$180,000	$182,200	$187,000	$179,700	$181,700
Diff btwn Step 8 & 9				$12,700	$10,400	$12,700	$10,200	$14,000	$4,800	$16,200	$18,600	$13,800	$14,000

APPENDIX E
UC Faculty Salaries Task Force
Costing Models - Based on the Median Average: Year 2

Campus Mean Scales
After Adjusting Oct. 2010 by + 3%

(Based on Oct 2010 +3%)

Scale Type	AYFY	Rank	STEP	Median Average
Bus/Econ/Eng	AY	Asst.	1	$88,400
Bus/Econ/Eng	AY	Asst.	2	$89,400
Bus/Econ/Eng	AY	Asst.	3	$90,900
Bus/Econ/Eng	AY	Asst.	4	$95,900
Bus/Econ/Eng	AY	Asst.	5	$98,400
Bus/Econ/Eng	AY	Asst.	6	$100,200
Bus/Econ/Eng	AY	Assoc.	1	$98,800
Bus/Econ/Eng	AY	Assoc.	2	$101,200
Bus/Econ/Eng	AY	Assoc.	3	$105,500
Bus/Econ/Eng	AY	Assoc.	4	$107,200
Bus/Econ/Eng	AY	Assoc.	5	$108,800
Bus/Econ/Eng	AY	Prof.	1	$108,400
Bus/Econ/Eng	AY	Prof.	2	$114,700
Bus/Econ/Eng	AY	Prof.	3	$117,100
Bus/Econ/Eng	AY	Prof.	4	$122,900
Bus/Econ/Eng	AY	Prof.	5	$129,800
Bus/Econ/Eng	AY	Prof.	6	$137,100
Bus/Econ/Eng	AY	Prof.	7	$148,500
Bus/Econ/Eng	AY	Prof.	8	$156,200
Bus/Econ/Eng	AY	Prof.	9	$167,700
Diff btwn Step 8 & 9				$11,500

Campus Means after Bringing Faculty to 5th Lowest Mean

BK	DV	IR	LA	MC	RV	SB	SC	SD
$96,100	$92,200	$88,400	$96,100	$88,400	$88,400	$96,100	$88,400	$92,200
$99,300	$93,600	$90,500	$98,500	$91,700	$90,700	$96,800	$91,000	$94,400
$102,600	$95,500	$91,700	$105,400	$92,500	$93,800	$97,700	$92,800	$98,700
$107,000	$97,700	$98,000	$107,900	$98,000	$98,000	$102,800	$98,800	$100,500
$108,500	$99,400	$101,600	$113,200	$100,900	$102,400	$103,900	$99,600	$102,400
$109,400	$100,200	$104,400	$114,100	$100,600	$103,700	$104,300	$103,300	$107,600
$108,600	$101,600	$101,700	$117,600	$101,000	$102,500	$104,000	$99,700	$104,300
$109,500	$104,500	$104,500	$120,000	$106,800	$104,400	$104,400	$103,400	$107,700
$114,000	$106,600	$108,400	$122,000	$108,800	$108,000	$110,800	$106,000	$110,600
$118,400	$107,700	$110,400	$125,000	$110,400	$109,500	$112,700	$107,500	$111,900
$122,600	$111,900	$114,800	$128,000	$112,000	$110,400	$114,600	$108,800	$113,200
$126,800	$110,700	$110,500	$131,000	$113,500	$114,600	$116,400	$111,600	$114,400
$127,100	$116,200	$119,100	$133,900	$114,700	$116,500	$121,600	$115,800	$121,300
$130,300	$121,000	$120,700	$145,800	$122,500	$119,800	$122,200	$118,500	$123,900
$136,500	$125,600	$133,200	$145,800	$123,300	$124,700	$124,300	$127,200	$127,000
$140,100	$131,600	$135,000	$148,300	$129,900	$136,400	$134,800	$130,400	$135,900
$150,000	$140,000	$144,400	$159,600	$137,100	$140,200	$139,200	$140,000	$143,500
$157,100	$152,000	$154,700	$168,300	$148,500	$153,400	$153,100	$151,600	$159,300
$163,200	$159,500	$164,400	$173,500	$166,000	$157,300	$159,600	$157,200	$158,900
$172,600	$170,900	$173,600	$186,100	$170,100	$172,100	$176,600	$169,700	$171,600
$9,400	$11,400	$9,200	$12,600	$4,100	$14,800	$17,000	$12,500	$12,700

(Based on Oct 2010 +3%)

Scale Type	AYFY	Rank	STEP	Median Average
Bus/Econ/Eng	FY	Asst.	1	$102,500
Bus/Econ/Eng	FY	Asst.	2	$103,700
Bus/Econ/Eng	FY	Asst.	3	$105,500
Bus/Econ/Eng	FY	Asst.	4	$111,200
Bus/Econ/Eng	FY	Asst.	5	$114,100
Bus/Econ/Eng	FY	Asst.	6	$116,300
Bus/Econ/Eng	FY	Assoc.	1	$114,500
Bus/Econ/Eng	FY	Assoc.	2	$117,400
Bus/Econ/Eng	FY	Assoc.	3	$122,300
Bus/Econ/Eng	FY	Assoc.	4	$124,200
Bus/Econ/Eng	FY	Assoc.	5	$126,100
Bus/Econ/Eng	FY	Prof.	1	$125,700
Bus/Econ/Eng	FY	Prof.	2	$133,000
Bus/Econ/Eng	FY	Prof.	3	$135,800
Bus/Econ/Eng	FY	Prof.	4	$142,500
Bus/Econ/Eng	FY	Prof.	5	$150,600
Bus/Econ/Eng	FY	Prof.	6	$159,000
Bus/Econ/Eng	FY	Prof.	7	$172,300
Bus/Econ/Eng	FY	Prof.	8	$181,200
Bus/Econ/Eng	FY	Prof.	9	$194,500
Diff btwn Step 8 & 9				$13,300

BK	DV	IR	LA	MC	RV	SB	SC	SD
$111,400	$107,000	$102,500	$111,400	$102,500	$102,500	$111,400	$102,500	$107,000
$115,200	$108,600	$104,900	$114,300	$106,300	$105,300	$112,300	$105,600	$109,500
$119,100	$110,800	$106,500	$122,200	$107,400	$108,800	$113,300	$107,600	$114,500
$124,200	$113,300	$113,700	$125,200	$113,700	$113,700	$119,300	$114,600	$116,600
$125,900	$115,300	$117,900	$131,300	$117,000	$118,800	$120,500	$115,400	$118,800
$126,900	$116,300	$121,200	$132,300	$116,700	$120,300	$121,000	$119,700	$124,900
$126,100	$117,900	$118,000	$136,500	$117,100	$118,900	$120,600	$115,700	$121,000
$127,000	$121,200	$121,200	$139,100	$123,900	$121,100	$121,100	$120,000	$125,000
$132,200	$123,700	$125,800	$141,500	$126,100	$125,200	$128,500	$123,000	$128,300
$137,300	$124,900	$128,100	$145,000	$128,100	$127,100	$130,700	$124,800	$129,800
$142,200	$129,800	$133,200	$148,500	$129,900	$128,000	$132,900	$126,100	$131,300
$147,100	$128,400	$128,200	$152,000	$131,700	$133,000	$135,000	$129,400	$132,700
$147,400	$134,800	$138,100	$155,200	$133,000	$135,200	$141,100	$134,300	$140,700
$151,100	$140,300	$140,000	$169,100	$142,100	$139,100	$141,700	$137,400	$143,700
$158,300	$145,700	$154,500	$169,100	$143,100	$144,700	$144,100	$147,600	$147,300
$162,500	$152,700	$156,600	$172,000	$150,700	$158,100	$156,300	$151,300	$157,700
$174,000	$162,400	$167,500	$185,200	$159,000	$162,600	$161,500	$162,400	$166,500
$182,200	$176,300	$179,500	$195,200	$172,300	$178,000	$177,500	$175,900	$184,700
$189,400	$185,000	$190,700	$201,200	$192,600	$182,500	$185,100	$182,400	$184,300
$200,200	$198,300	$201,300	$215,900	$197,200	$199,700	$204,900	$196,900	$199,100
$10,800	$13,300	$10,600	$14,700	$4,600	$17,200	$19,800	$14,500	$14,800

APPENDIX F
UC Faculty Salaries Task Force
Costing Models - Based on the Median Average: Year 3

Campus Mean Scales
After Adjusting Oct. 2010 by + 3%

Final 1/25/2012

Scale Type	AYFY	Rank	STEP	Median Average	Campus Means after Bringing Faculty to the Median Average								
					BK	DV	IR	LA	MC	RV	SB	SC	SD
Regular	AY	Asst.	1	$69,200	$72,100	$72,100	$70,700	$72,100	$69,200	$70,700	$72,100	$70,700	$70,700
Regular	AY	Asst.	2	$71,000	$76,400	$72,600	$72,400	$76,500	$71,000	$72,800	$75,000	$71,000	$73,300
Regular	AY	Asst.	3	$73,900	$80,700	$76,600	$74,100	$80,400	$73,900	$74,900	$77,800	$74,000	$75,900
Regular	AY	Asst.	4	$77,300	$81,700	$80,500	$77,900	$84,200	$77,300	$78,000	$82,400	$78,100	$78,300
Regular	AY	Asst.	5	$79,600	$84,100	$82,800	$80,900	$88,100	$80,500	$81,100	$82,750	$80,500	$80,700
Regular	AY	Asst.	6	$81,600	$86,500	$84,700	$83,100	$89,800	$81,600	$86,500	$83,100	$82,800	$84,800
Regular	AY	Assoc.	1	$80,600	$84,200	$82,900	$81,000	$90,300	$80,600	$83,700	$82,850	$80,600	$82,700
Regular	AY	Assoc.	2	$81,800	$92,200	$84,800	$83,200	$95,100	$83,000	$86,600	$83,200	$82,900	$86,600
Regular	AY	Assoc.	3	$87,900	$95,200	$92,000	$89,400	$99,450	$89,700	$90,100	$90,000	$88,500	$90,500
Regular	AY	Assoc.	4	$91,400	$98,200	$94,100	$93,800	$103,800	$96,300	$95,000	$94,600	$91,400	$93,900
Regular	AY	Assoc.	5	$96,200	$99,300	$104,500	$97,100	$106,200	$97,000	$96,900	$104,300	$99,400	$97,700
Regular	AY	Prof.	1	$97,600	$109,300	$106,100	$93,900	$108,500	$97,600	$104,200	$99,500	$98,300	$100,000
Regular	AY	Prof.	2	$102,000	$119,300	$108,500	$103,800	$117,300	$104,100	$106,100	$104,400	$103,500	$107,100
Regular	AY	Prof.	3	$109,200	$122,800	$115,400	$111,200	$127,600	$109,200	$114,700	$114,200	$110,700	$113,600
Regular	AY	Prof.	4	$117,700	$126,300	$126,700	$124,000	$132,200	$117,700	$127,000	$118,200	$119,400	$119,300
Regular	AY	Prof.	5	$122,900	$130,600	$132,900	$125,300	$136,700	$126,700	$132,700	$124,800	$124,800	$127,800
Regular	AY	Prof.	6	$129,500	$139,900	$141,300	$132,500	$147,600	$135,700	$137,400	$131,600	$130,400	$132,600
Regular	AY	Prof.	7	$144,600	$151,400	$159,200	$147,400	$155,200	$144,600	$153,000	$147,500	$146,300	$152,500
Regular	AY	Prof.	8	$150,400	$156,600	$164,400	$152,200	$163,200	$153,200	$157,400	$151,200	$153,900	$156,600
Regular	AY	Prof.	9	$161,700	$168,100	$175,400	$167,400	$174,200	$161,700	$172,400	$167,300	$161,700	$165,400
Diff btwn Step 8 & 9				$11,300	$11,500	$11,000	$15,200	$11,000	$8,500	$15,000	$16,100	$7,800	$8,800

Scale Type	AYFY	Rank	STEP	Median Average	BK	DV	IR	LA	MC	RV	SB	SC	SD
Regular	FY	Asst.	1	$80,300	$83,600	$83,600	$82,000	$83,600	$80,300	$82,000	$83,600	$82,000	$82,000
Regular	FY	Asst.	2	$82,400	$88,600	$84,200	$84,000	$88,700	$82,400	$84,400	$87,000	$82,400	$85,000
Regular	FY	Asst.	3	$85,700	$93,600	$88,900	$86,000	$93,300	$85,700	$86,900	$90,200	$85,800	$88,000
Regular	FY	Asst.	4	$89,700	$94,800	$93,400	$90,400	$97,700	$89,700	$90,500	$95,600	$90,600	$90,800
Regular	FY	Asst.	5	$92,300	$97,600	$96,000	$93,800	$102,200	$93,400	$94,100	$96,000	$93,400	$93,600
Regular	FY	Asst.	6	$94,700	$100,300	$98,300	$96,400	$104,200	$94,700	$100,300	$96,400	$96,000	$98,400
Regular	FY	Assoc.	1	$93,500	$97,700	$96,200	$94,000	$104,700	$93,500	$97,100	$96,100	$93,500	$95,900
Regular	FY	Assoc.	2	$94,900	$107,000	$98,400	$96,500	$110,300	$96,300	$100,500	$96,500	$96,200	$100,500
Regular	FY	Assoc.	3	$102,000	$110,400	$106,700	$103,700	$115,400	$104,100	$104,500	$104,400	$102,700	$105,000
Regular	FY	Assoc.	4	$106,000	$113,900	$109,200	$108,800	$120,400	$111,700	$110,200	$109,700	$106,000	$108,900
Regular	FY	Assoc.	5	$111,600	$115,200	$121,200	$112,600	$123,200	$112,500	$112,400	$121,000	$115,300	$113,300
Regular	FY	Prof.	1	$113,200	$126,800	$123,100	$108,900	$125,900	$113,200	$120,900	$115,400	$114,000	$116,000
Regular	FY	Prof.	2	$118,300	$138,400	$125,900	$120,400	$136,100	$120,800	$123,100	$121,100	$120,100	$124,200
Regular	FY	Prof.	3	$126,700	$142,400	$133,900	$129,000	$148,000	$126,700	$133,100	$132,500	$128,400	$131,800
Regular	FY	Prof.	4	$136,500	$146,500	$147,000	$143,800	$153,400	$136,500	$147,300	$137,100	$138,500	$138,400
Regular	FY	Prof.	5	$142,600	$151,500	$154,200	$145,300	$158,600	$147,000	$153,900	$144,800	$144,800	$148,200
Regular	FY	Prof.	6	$150,200	$162,300	$163,900	$153,700	$171,200	$157,400	$159,400	$152,700	$151,300	$153,800
Regular	FY	Prof.	7	$167,700	$175,600	$184,700	$171,000	$180,000	$167,700	$177,500	$171,100	$169,700	$176,900
Regular	FY	Prof.	8	$174,500	$181,700	$190,700	$176,600	$189,300	$177,700	$182,600	$175,400	$178,500	$181,700
Regular	FY	Prof.	9	$187,600	$195,000	$203,500	$194,200	$202,100	$187,600	$200,000	$194,100	$187,600	$191,900
Diff btwn Step 8 & 9				$13,100	$13,300	$12,800	$17,600	$12,800	$9,900	$17,400	$18,700	$9,100	$10,200

APPENDIX F
UC Faculty Salaries Task Force
Costing Models - Based on the Median Average: Year 3

Campus Mean Scales
After Adjusting Oct. 2010 by + 3%

Final 1/25/2012

Scale Type	AYFY	Rank	STEP	Median Average	Campus Means after Bringing Faculty to 5th Lowest Mean BK	DV	IR	LA	MC	RV	SB	SC	SD
Bus/Econ/Eng	AY	Asst.	1	$92,200	$96,100	$96,100	$94,200	$96,100	$92,200	$94,200	$96,100	$94,200	$94,200
Bus/Econ/Eng	AY	Asst.	2	$93,900	$101,100	$98,400	$95,800	$101,200	$93,900	$96,300	$99,200	$93,900	$97,000
Bus/Econ/Eng	AY	Asst.	3	$97,100	$106,100	$100,700	$97,400	$105,700	$97,100	$98,400	$102,300	$97,300	$99,800
Bus/Econ/Eng	AY	Asst.	4	$101,300	$107,000	$105,500	$102,100	$110,300	$101,300	$102,200	$107,900	$102,300	$102,600
Bus/Econ/Eng	AY	Asst.	5	$103,600	$109,500	$107,800	$105,300	$114,700	$104,800	$105,600	$107,700	$104,800	$105,000
Bus/Econ/Eng	AY	Asst.	6	$104,900	$111,300	$108,900	$106,900	$115,500	$104,900	$111,300	$106,900	$106,500	$109,100
Bus/Econ/Eng	AY	Assoc.	1	$104,900	$109,600	$107,900	$105,400	$117,500	$104,900	$108,900	$107,800	$104,900	$107,600
Bus/Econ/Eng	AY	Assoc.	2	$105,200	$118,500	$109,000	$107,000	$122,300	$106,700	$111,300	$107,000	$106,600	$111,300
Bus/Econ/Eng	AY	Assoc.	3	$111,300	$119,600	$116,500	$113,200	$125,900	$113,600	$114,100	$114,000	$112,100	$114,600
Bus/Econ/Eng	AY	Assoc.	4	$112,300	$120,700	$119,600	$115,300	$127,600	$118,400	$116,800	$116,300	$112,300	$115,400
Bus/Econ/Eng	AY	Assoc.	5	$113,000	$121,800	$122,700	$114,000	$124,700	$113,900	$122,400	$122,500	$116,700	$114,700
Bus/Econ/Eng	AY	Prof.	1	$119,900	$134,300	$130,400	$115,400	$133,300	$119,900	$128,000	$122,300	$120,800	$122,900
Bus/Econ/Eng	AY	Prof.	2	$123,100	$140,100	$132,000	$121,900	$137,700	$122,200	$130,400	$122,600	$121,500	$125,800
Bus/Econ/Eng	AY	Prof.	3	$126,300	$142,100	$133,500	$128,600	$147,600	$126,300	$132,700	$132,100	$128,100	$131,400
Bus/Econ/Eng	AY	Prof.	4	$134,400	$144,200	$144,700	$141,600	$151,000	$134,400	$145,000	$135,000	$136,400	$136,300
Bus/Econ/Eng	AY	Prof.	5	$138,700	$147,400	$150,000	$141,400	$154,300	$143,000	$149,800	$140,900	$140,900	$144,300
Bus/Econ/Eng	AY	Prof.	6	$145,300	$156,900	$158,500	$148,600	$165,600	$152,200	$154,100	$147,600	$146,300	$148,700
Bus/Econ/Eng	AY	Prof.	7	$160,700	$168,300	$177,000	$163,800	$172,500	$160,700	$170,100	$164,000	$162,600	$169,500
Bus/Econ/Eng	AY	Prof.	8	$165,300	$172,100	$180,700	$167,300	$179,400	$168,400	$173,000	$166,200	$169,200	$172,100
Bus/Econ/Eng	AY	Prof.	9	$177,200	$184,200	$192,200	$183,400	$190,900	$177,200	$188,900	$183,300	$177,200	$181,200
Diff btwn Step 8 & 9				$11,900	$12,100	$11,500	$16,100	$11,500	$8,800	$15,900	$17,100	$8,000	$9,100

Scale Type	AYFY	Rank	STEP	Median Average	BK	DV	IR	LA	MC	RV	SB	SC	SD
Bus/Econ/Eng	FY	Asst.	1	$107,000	$111,400	$111,400	$109,300	$111,400	$107,000	$109,300	$111,400	$109,300	$109,300
Bus/Econ/Eng	FY	Asst.	2	$109,000	$117,200	$114,100	$111,100	$117,300	$109,000	$111,600	$115,100	$109,000	$112,400
Bus/Econ/Eng	FY	Asst.	3	$112,600	$123,000	$116,800	$113,000	$122,600	$112,600	$114,200	$118,500	$112,800	$115,700
Bus/Econ/Eng	FY	Asst.	4	$117,500	$124,200	$122,400	$118,400	$128,000	$117,500	$118,600	$125,200	$118,700	$118,900
Bus/Econ/Eng	FY	Asst.	5	$120,100	$127,000	$124,900	$122,100	$133,000	$121,600	$122,500	$124,900	$121,600	$121,800
Bus/Econ/Eng	FY	Asst.	6	$121,800	$129,000	$126,400	$124,000	$134,000	$121,800	$129,000	$124,000	$123,500	$126,600
Bus/Econ/Eng	FY	Assoc.	1	$121,600	$127,100	$125,200	$122,300	$136,200	$121,600	$126,300	$125,000	$121,600	$124,800
Bus/Econ/Eng	FY	Assoc.	2	$122,000	$137,600	$126,500	$124,100	$141,800	$123,800	$129,200	$124,100	$123,700	$129,200
Bus/Econ/Eng	FY	Assoc.	3	$129,200	$138,700	$135,100	$131,300	$146,100	$131,800	$132,300	$132,200	$130,100	$133,000
Bus/Econ/Eng	FY	Assoc.	4	$130,300	$140,000	$138,700	$133,700	$148,000	$137,300	$135,400	$134,800	$130,300	$133,800
Bus/Econ/Eng	FY	Assoc.	5	$131,100	$141,300	$142,300	$132,200	$144,700	$132,100	$142,000	$142,100	$135,400	$133,100
Bus/Econ/Eng	FY	Prof.	1	$139,100	$155,800	$151,300	$133,800	$154,700	$139,100	$148,600	$141,800	$140,100	$142,500
Bus/Econ/Eng	FY	Prof.	2	$142,900	$162,500	$153,100	$141,400	$159,800	$141,800	$151,300	$142,200	$141,000	$145,800
Bus/Econ/Eng	FY	Prof.	3	$146,600	$164,700	$154,900	$149,200	$171,200	$146,600	$154,000	$153,300	$148,500	$152,500
Bus/Econ/Eng	FY	Prof.	4	$155,900	$167,300	$167,900	$164,200	$175,200	$155,900	$168,200	$156,600	$158,200	$158,100
Bus/Econ/Eng	FY	Prof.	5	$161,000	$171,000	$174,100	$164,000	$179,000	$165,900	$173,700	$163,400	$163,400	$167,300
Bus/Econ/Eng	FY	Prof.	6	$168,500	$182,000	$183,800	$172,400	$192,000	$176,500	$178,800	$171,300	$169,700	$172,500
Bus/Econ/Eng	FY	Prof.	7	$186,400	$195,200	$205,300	$190,100	$200,100	$186,400	$197,300	$190,200	$188,600	$196,600
Bus/Econ/Eng	FY	Prof.	8	$191,800	$199,700	$209,600	$194,100	$208,100	$195,300	$200,700	$192,800	$196,200	$199,700
Bus/Econ/Eng	FY	Prof.	9	$205,600	$213,700	$223,000	$212,800	$221,500	$205,600	$219,200	$212,700	$205,600	$210,300
Diff btwn Step 8 & 9				$13,800	$14,000	$13,400	$18,700	$13,400	$10,300	$18,500	$19,900	$9,400	$10,600

APPENDIX G

Note about Costing for Above Scale Faculty:

Campuses vary in their practices for determining merit increases for Above Scale faculty.
In an effort to include Above Scale faculty in this costing model, the following approximation was used:

In Year 2, if both steps 1 & 2 of the costing model were followed, the average percentage increase received by faculty at Professor Step 9 would be 4.8%.
For both the Status quo and the new model (Step 2) merit process costing, this percentage increase was used to simulate merit costs.

Above Scale faculty may be reviewed for merit less frequently than every three years.

The "Status quo" and modeled cost of merit increases for Above Scale increases in Years 2 and 3 would be:

	Year 2			Year 3		
Campus	# Above Scale	1/3 of A.S.	Simulated Merit Cost for 1/3 of A.S.	# Above Scale (incl. advancements from Yr. 2)	# of A.S. up for merit	Simulated Merit Cost for 1/3 of A.S.
UC System	821	274	$2,488,851	995	273	$2,483,224
Berkeley	194	65	$585,817	227	64	$585,844
Davis	68	23	$207,150	94	23	$202,413
Irvine	60	20	$177,877	76	21	$181,726
UCLA	195	65	$620,589	224	65	$629,996
Merced	1	1	$7,619	2	0	$0
Riverside	44	15	$131,065	58	16	$147,924
Santa Barbara	99	33	$290,834	122	34	$290,361
Santa Cruz	34	11	$100,798	42	9	$80,345
San Diego	126	42	$372,181	150	41	$364,615

UC DAVIS: OFFICE OF THE PROVOST

August 8, 2011

DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, VICE PROVOSTS, VICE CHANCELLORS

RE: **2011--2012 Call for Academic Personnel Advancement Actions, Including Academic Senate, and Academic Federation**

Dear Colleagues:

With this Annual Call for the 2011-12 academic year, I write to remind you of changes in policies, procedures, and interpretations that have taken place over the past year. These changes have been incorporated into the relevant UC Davis policy sections. They are summarized below.

I also want to remind you of our intent to adhere to the deadlines given in this document. Any request for extension of a deadline will require strong justification, and if granted, will not extend the deadline beyond a few days to a few weeks at most. Late actions for which an extension is not granted in advance will not be accepted. All actions that are normally delegated to the dean for approval that are not finalized by July 31, 2012 will need to come forward to this office for review and decision.

There have been numerous streamlining actions that have taken place in the last two years. A summary of these can be found at http://academicpersonnel.ucdavis.edu/Streamlining.cfm .

GENERAL ISSUES

New – Significant Publications. We have heard from review committees, including the Oversight Committee on Academic Personnel (CAPOC), that they would find it useful to have faculty indicate which publications are the most significant in terms of findings/impact and for which the faculty member has a significant role. This can be done by adding a footnote to the publication list, providing the information to the Chair to include in the departmental letter, and/or including the information in the candidate's statement. The most significant work should be limited to five publications.

New – MyInfoVault (MIV). If there is a direct link on the publication list to the manuscript, it will not be necessary to provide a reprint in the backup documents. If the link sends you to a web page where a search for the article is necessary, you will need to provide a copy of the article in the supporting documents.

New – MyInfoVault (MIV). Effective with the 2012-2013 actions, all merit and promotion actions at the Assistant and Associate ranks must be submitted in MIV – i.e., paper dossiers will not be accepted for these actions beyond the 2012-13 actions.

Reminder- Clarification of Appeals versus Reconsiderations. Information was distributed from the Senate clarifying appeals versus reconsideration in the form of a flow chart, available at: http://academicsenate.ucdavis.edu/documents/Senate-Chair-letter-and-flowchart-RE-CERJ-Advice-Merit-Appeal.pdf . As described in the chart, appeals are applicable when the faculty member who wishes to appeal should provide evidence of the personnel committee's failure to apply established standards of merit or failure to follow established procedure. Reconsiderations are applicable when new information is supplied that is not the result of a personnel committee's failure to apply established standards of merit or failure to follow established procedure. Please refer to the chart to see the steps of each process.

Reminder – Extramural Letters in MyInfoVault (MIV). For actions prepared in MIV, extramural letters may be uploaded into MIV.

Reminder – My Info Vault (MIV). We encourage those units that are not yet using MIV to prepare merit and promotion dossiers to do so. This will decrease errors and ultimately save time for staff and for reviewers.

Reminder – Joint Appointments. If a faculty member has a joint appointment and one department has the dossier in MIV and the joint department is not using MIV, a hard copy of the dossier will need to be sent to the joint department.

Reminder - For actions prepared in MIV. The following items, if written, need to be submitted in hard-copy with the supporting documentation.

(1) Chair's Confidential Letter

(2) Candidate's Rejoinder if submitted beyond the department level directly to the dean. Rejoinders submitted to the department may be uploaded into MIV.

(3) Signed Position Description

Supporting documentation outside of MIV includes: copies of published or in press manuscripts, copies of acceptance letters for the in press items, and copies of student evaluations. If you have any questions about other documentation, please contact your academic personnel analyst or email miv-help@ucdavis.edu.

Reminder – Deadline for Submitting Appointments to the Vice Provost. All proposed appointments effective July 1, 2012, that require the Vice Provost's approval, must be submitted to the Vice Provost office by May 14, 2012 to ensure they will be approved by the effective date. Any appointment dossier received after this date may not be approved by July 1st.

Reminder – Sample Solicitation Letter. No names and addresses should be included on the sample solicitation letter to identify the reviewer.

Reminder – "Arms-length" Letters for Promotion Actions. Extramural letters are to be obtained from reviewers recommended by the candidate and from reviewers selected independently by the chair, with the advice of other colleagues ("arms-length" evaluations). The department chair should select reviewers that are not on the candidate's list. At least half of the extramural letters should be from the department's list rather than the candidate's list. "Arms-length" evaluations are letters from sources without personal connections to the candidate. Letters from mentors, thesis supervisors, and collaborators are NOT "arms-length."

Reminder -- Consideration of Academic Collegiality* in the merit and promotion process. The Academic Senate Committee on Privilege and Tenure (P&T) examined the question of whether an individual's collegiality, or lack thereof, may be considered in merit and promotion actions. If collegiality becomes an issue in a personnel action, P&T asserted that the record forwarded should be particularly clear and factually well-supported. To that end, P&T recommended the following:

- "If non-collegiality is raised as an issue at the department level, the chair's letter to the dean must be specific about the nature of the allegations and should document examples of non-collegiality so that the individual under review can understand the allegations and respond accordingly. Specificity and substantiation in the chair's letter will help [reviewers] judge the merits of the allegation.
- If the departmental letter raises the issue of non-collegiality, the dean should fully explore and comment upon the allegations in [his/her] letter."

*Academic collegiality (or academic "citizenship" as it is sometimes called) is not a separate or additional area of performance for which the individual is to be evaluated but rather, falls within the context of the individual's record of teaching, research, professional competence and activity, and

University and public service [see the AAUP Statement on Professional Ethics (Appendix A in APM 210-1, http://www.ucop.edu/academicpersonnel/apm/apm-210.pdf)].

Reminder- - Advancement Proposals and Faculty Retention Issues. CAPOC has indicated that retention as a justification for advancement is inappropriate and should not be included in departmental and dean recommendation letters for merits and promotions.

Reminder -- Approval Authority for Appeals. When the dean is the delegated authority on a merit proposal and the original decision is made before the end of July and thus is not retroactive, the dean will continue to hold authority for the final decision following any appeal of that decision, even if the appeal process does not come to a final resolution until after July 31.

Reminder – Academic Affairs Review of Dossier Content. Because departments and deans' offices review dossiers for compliance with policy, Academic Affairs will limit its content review to the recommended action form and Action Tracking to ensure data integrity. It is the responsibility of the department and dean to ensure the accuracy of the information in the dossiers.

ACADEMIC SENATE PERSONNEL ACTIONS

Reminder -- A Career Equity Review (CER) occurs coincident with a merit or promotion action. Separate requests/packets for this review should accompany the merit/promotion action. Only faculty who have held an eligible title, and have not been reviewed by CAPOC during the previous four academic years, can be considered for a CER. Career Equity Review decisions may be appealed through the standard appeal process for merits and promotions (http://manuals.ucdavis.edu/apm/220_Proc5.htm). For complete information on the CER program, refer to http://academicpersonnel.ucdavis.edu/career_equity_main.htm.

Reminder-Dean's Recommendation. CAPOC has agreed that if the dean concurs with the department recommendation the reviewing Dean may opt to write a statement indicating that he/she has reviewed the dossier and agrees with the recommendation of the department (in lieu of writing a detailed letter, unless there is new information to add to the dossier).

Reminder – Advancement to Professor, Step VI. Advancement to Step VI involves an "overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three categories: (1) scholarship or creative achievement, (2) University teaching, and (3) service. Above and beyond that, great academic distinction, recognized nationally, will be required in scholarly or creative achievement or teaching." APM 220-18b.(4)

Reminder – Advancement to Above-Scale. "Advancement to an above—scale rank involves an overall career review and is reserved only for the most highly distinguished faculty (1) whose work of sustained and continuing excellence has attained national and international recognition and broad acclaim reflective of its significant impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious. Length of service and continued good performance at Step IX is not justification for further salary advancement." APM 220-18b.(4)

Reminder -- APM – 210. Instructions for Review and Appraisal Committees – effective July 1, 2005. APM-210-1d was revised to recognize faculty efforts to promote equity and diversity. Such efforts should be considered in the context of the individual's overall record of teaching, research, professional competence and activity, and University and public service.

Reminder – Five-Year Reviews. When a candidate has a five-year review that does not result in advancement, the individual is immediately considered eligible for advancement the following year.

Reminder - Normative Time for Steps V and Above. Although faculty may remain at Steps V to Step IX for indefinite periods of time, the "normative" time at these steps between advancements is three years. Normative time at Step IX and at each "level" of Above-Scale is four years.

ACADEMIC FEDERATION PERSONNEL ACTIONS

Reminder-- Assistant Researchers, Assistant Adjunct Professors (at 50% time or more), and Health Science Assistant Clinical Professors (at 50% time or more). These appointees have an 8 year limit at the Assistant rank. Because policy does not require a year of notice to these appointees, the promotion review must occur during their 8th year at the latest. This differs from professorial and other titles for which the University is required to provide a year of notice (i.e., a terminal year).

Reminder – Position Descriptions. When preparing position descriptions use the templates provided on the Academic Federation web site. (http://academicfederation.ucdavis.edu/personnel.cfm).

Reminder -- Academic Federation Instructional Titles Not Covered by Collective Bargaining Agreement: (e.g., Adjunct Professors, Lecturers WOS, Supervisors of Physical Education, Health Sciences Clinical Professors, etc.). For personnel actions (appointments, merits, promotions) of Academic Federation instructional titles that are not covered by a collective bargaining agreement, both Academic Senate and Academic Federation faculty may express opinions and may vote. The UC Academic Senate Systemwide Rules and Jurisdiction Committee has ruled that these opinions and votes must be reported in two separate letters. Each letter must discuss the opinions and vote of the group, but only one letter (either one) needs to provide the detailed evaluation of the file. All votes are confidential; therefore both the voting process and the reporting of the vote should be treated as such.

Reminder -- Academic Federation Non-Instructional Titles [e.g., Academic Coordinators, Academic Administrators, Professional Researchers, Project (Scientists), Specialists in CE, Specialists, etc]. The department should have in place approved peer review and voting groups for all non-instructional Academic Federation personnel. For merits and promotions of Academic Federation titles that are not instructional and not covered by a collective bargaining agreement, the opinions of the approved Peer Group and the opinions and vote of the approved Voting Group at the unit/department level should be expressed separately but included in a single department letter.

Reminder -- Promotion in Project (Scientist) Series. When a department proposes the promotion of an appointee who was transferred from the Professional Research to the Project (Scientist) series, the review should include the work done while the individual was in the Professional Research series, if it is within the period of review.

NEW AND REVISED ACADEMIC PERSONNEL POLICIES OR PROCEDURES

There were no new or revised academic personnel policies in 2010-11.

DEADLINES FOR ACADEMIC PERSONNEL ACTIONS

NOTE: Any retroactive action requires the review and approval of the Vice Provost – Academic Affairs, including actions normally redelegated to the Dean for approval. An action is retroactive if the decision of the dean is more than 30 days after the effective date of the action.

The following deadlines have been established for arrival of files in the Office of the Vice Provost-Academic Affairs.

November 14	Recommendations for promotion to Associate and Full Professor (or equivalent titles)
December 5	Recommendations for merit increases to Step VI and all above-scale advancements
	Recommendations for merit increases to Associate rank, Step IV and Step V
December 19	Recommendations for other non-redelegated merit increases, including 1. Accelerations that skip a step 2. Third action and beyond for department chairs 3. Associate Deans
February 1	Establishment of an Endowed Chair/Professorship if the endowment is to be announced at the April donor dinner.
March 5	Recommendations for merit increases and promotions for Librarian titles (including Law Librarian and Assistant, Associate University Librarian)
April 9	Appraisals from the deans' offices
May 14	Recommendations for appointments that require Vice Provost or Chancellor approval for actions effective July 1, 2012

Other deadlines/actions:

- Deferrals and 5-year reviews are due in the Office of the Provost at the time the corresponding regular action would be due.
- **Extensions must be requested prior to the due date of the action. No extensions for the submission of proposals for merits or promotions will be granted without strong justification.**

Thank you for your assistance and cooperation in making the complex advancement process at UC Davis work as well as it does.

Sincerely,

Barbara Horwitz

Barbara A. Horwitz
Vice Provost-Academic Affairs

From UCD APM-220, Section IV F. c

Solicitation of extramural letters (see Exhibit B for sample formats).

1) All solicited letters must be included in the file.

2) Normally, five to eight letters are adequate for the review file.

3) Letters are to be obtained both from reviewers recommended by the candidate and from reviewers selected independently by the chair (with the advice of other colleagues).

4) At least half of the extramural letters should be from the department's list rather than the candidate's list.

5) Each extramural letter must be marked "confidential."

6) Each letter should be identified separately by a letter or number to ensure confidentiality of reviewers (APM 160).

7) Signed facsimiles are acceptable.

8) Email letters may be submitted with dossier, but must be followed up with signed, original letter or facsimile.

d. Reviewers should be:

1) Selected from academic or research institutions with standards comparable to the University of California.

2) Associate or full professors, or the equivalent.

3) Familiar with the academic standards that are appropriate when making promotion decisions or who have the necessary expertise to make promotion decisions.

Letters from mentors and collaborators, while valuable, should be supplemented by letters from sources without personal connections to the candidate (i.e., "arm-length" evaluations).

e. Reviewer information must include:

1) Names of extramural reviewers to whom the solicitation letter was sent.

2) Academic title and expertise of reviewers.

3) Identification of reviewers that were suggested by candidate versus those suggested by the department.

UNIVERSITY OF CALIFORNIA, DAVIS

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO • SANTA BARBARA • SANTA CRUZ

DEPARTMENT OF PLANT SCIENCES
MAIL STOP 2
UNIVERSITY OF CALIFORNIA
ONE SHIELDS AVE
DAVIS, CALIFORNIA 95616-8780
TELEPHONE: 530-752-1703
FAX: 530-752-8502

COLLEGE OF AGRICULTURAL AND
ENVIRONMENTAL SCIENCES
AGRICULTURAL EXPERIMENT STATION
COOPERATIVE EXTENSION

11 June 2010

Professor Robert Powell, Chair
Davis Division of the Academic Senate of the University of California

Dear Bob,

Attached please find the report of the Special Committee on Student Evaluation of Teaching. I would like to take this opportunity to acknowledge the excellent hard work of the committee over the last six months. This was an extraordinarily engaged group of individuals, and each member made significant and valuable contributions to our discussions and to the report. I am particularly appreciative of the participation of our Academic Federation, ASUCD, GSA, and ADMAN representatives and I am extremely grateful for the guidance and support of our advisor, Edwin Arevalo. In addition, as noted in the report, several campus faculty and staff took time to meet with us and provided helpful information to the committee, and their contributions are gratefully acknowledged as well.

I thank you and the Executive Council for requesting the appointment of a group to work on this important issue. It has been a pleasure to serve on this committee and I hope you will find our report of interest. Please contact me if you have any questions.

Best wishes,

Daniel Potter

Dan Potter
Chair, Special Committee on Student Evaluation of Teaching

Report of the Special Committee on Student Evaluation of Teaching
11 June 2010

Committee Members: Dan Potter, Plant Sciences (Chair); Niels Grønbech Jensen, Applied Science; Charles H. Langley, Evolution & Ecology; Miroslav Nincic, Political Science; George Roussas, Statistics, John Payne, Physiology & Membrane Biology; Jared Haynes, University Writing Program (Academic Federation Representative); Rod Cole, Physics (Academic Federation Representative); Tracy Lade (ADMAN Representative); Christopher Dietrich (ASUCD Representative); Mara Evans (GSA Representative); Kaitlin Walker (GSA Representative).

The Special Committee on Student Evaluation of Teaching (SET) met six times during the winter and spring quarters of 2010. At our first meeting (January 14), we discussed our charge, reviewed background information consisting of a report from the Academic Senate Committee on Information Technology and one from the Davis Division of the Academic Senate on the status of SET on the Davis campus, and came up with a tentative action plan to complete our work. At our second meeting (February 5), we interviewed representatives from several units on campus (Ms. Kerry Hasa, School of Education; Dr. John Drummer, School of Medicine, Dr. Jan Ilkiw, School of Veterinary Medicine; Dr. Kathy Ferrara, Department of Biomedical Engineering) about their experiences with implementation of on-line SET systems. Campus Counsel Steve Drown attended our third meeting (Feb. 9) to advise us on legal aspects of SET. Dr. Jamal Abedi, School of Education, and Ms. Barbara Mills, Center for Excellence in Teaching and Learning, attended our fourth meeting (March 4) and shared with us their expertise and advice on the content and format of questions to be included in SET. Our last two meetings (April 16 and May 28) were devoted to finalizing this report.

Based on our discussions, the committee has developed a set of recommended guiding principles, policies, and procedures for the administration of SET, and for the interpretation and use of the resulting data, at UC Davis. As there are currently no existing regulations specifically pertaining to SET on our campus, we hope that our recommendations will be adopted and appropriately codified by the Davis Division of the Academic Senate.

I. Purposes of SET

Student evaluations of courses and instructors[1] administered by the Davis Division of the Academic Senate provide students a forum in which to anonymously express their opinions about the quality of instruction they receive. The results of SET are to be used for two purposes only:
1) to be included in instructors' personnel files in order to provide data used in the evaluation of their instruction in connection with job performance reviews, such as merit and promotion actions;
2) to provide information to instructors and departments about students' perceptions of instruction, which may be useful for improving the effectiveness of the instructors' teaching and the quality of their courses.

Because data from SET convey information about students' opinions of an instructors' teaching in a given course offering, they are by definition subjective and limited in scope. They nonetheless constitute an essential part of the material needed to understand an instructor's effectiveness and they can provide valuable information relevant to the purposes for which they are intended, provided they are organized and presented in the appropriate format. However, SET should not be the sole means by which the teaching portion of a faculty member's job performance is assessed, and all departments should be strongly encouraged to develop and implement regular and thorough peer evaluations of teaching to complement the data from SET.

II. Privacy Issues

Because they represent subjective evaluations of an instructor's job performance and are an integral part of the individual's personnel file, the data from SET are confidential and protected. Therefore, they may not be shared with anyone who is not authorized to review the instructor's personnel file, unless explicit written consent is granted by the individual[2].

SETs raise additional concerns for students, especially if administered online. Students must be assured that all of their responses will remain strictly confidential. This includes a guarantee that appropriate measures will be taken to protect respondents' anonymity where small sample sizes occur, especially if students' responses on evaluations are reported separately based on factors such as the final grade the student received for the course (see III.9). Students should also be informed that results of end-of-term (as opposed to midterm; see below) SETs will not be made available to instructors until after final grades for the course have been posted.

Due to these concerns about confidentiality, it is essential that implementation of an on-line system, as we are recommending as an option, adhere strictly to current university regulations that prohibit the transmission of personal data about university personnel and students to outside parties, including contracted third-party vendors. Thus, any gathering and handling of SET data must be conducted entirely within a campus infrastructure that is capable of securing personal and sensitive data throughout the process.

III. Recommended policies and procedures for SET

1. Each instructor of each UC Davis course offering should receive evaluations by the students enrolled in that course. Exceptions could be made for internships, research units, individual study courses, and courses with enrollments under some threshold number.

2. The decision to adopt on-line evaluations or to continue with paper-based evaluations should be made at the department level in consultation with the Faculty after due consideration of the pros & cons. On the con side, there are potential concerns about privacy and participation; these issues, as well as measures to address them, are discussed in this document. On the pro side, there are several unique benefits of an electronic format. First, it will enhance efficiency by reducing staff time required to compile and process paper evaluations. Second, it will have the possibility of automatically generating reports that show how different groups of students (based on grades in the course, prerequisite course requirements, etc.) responded, allowing more meaningful interpretation of the results. Third, an on-line system can be set up to create more uniformly formatted and effective reports on teaching evaluations for merit and promotion packages.

3. Under Academic Senate oversight[3], a campus-wide on-line system for SET should be developed and made available to all instructors on campus. In order to ensure that uniform policies and standards are applied across campus, academic units opting to use online evaluations should be required to participate in the campus-wide SET system rather than develop their own on-line systems.

4. The procedures for SET, whether administered in electronic or in paper format, should be standardized across the campus. We recommend the following:

A) The evaluation form should consist of a series of statements about the course and/or the instructor, to which students are asked to select a rating from 5 – 1, where 5 signifies "Strongly Agree," 4 signifies "Agree," 3 signifies "Neutral", 2 signifies "Disagree" and 1 signifies "Strongly Disagree." An additional response option of "N/A" should also be provided for each item.

B) In addition to numerical ratings, each question should include a field for written comments. Space for additional comments should also be provided at the end of each evaluation form.

C) Two questions should be common to all evaluations. The goal of the first question is the assessment of the students' perceptions of the overall quality of the course. The second should aim to assess their view of the instructor's teaching in the course. We recommend the following:

1. Overall, this is an educationally valuable course.
2. Overall, this instructor is effective in teaching this course.

We recognize that these questions are quite broad, but we feel it is important to include them as the minimum common elements of all evaluations across campus, in order to provide a brief summary of the overall opinions of the students in a particular course offering and to allow comparisons across courses and instructors.

D) Due to the acknowledged limitations of the two minimum required questions listed above, departments, instructors, and TAs should be strongly encouraged to include additional optional questions for particular courses. These optional questions should be designed to assess specific aspects of the course content and the instructor's teaching. They should precede the two more general questions listed in item C, which ideally should be the final two questions on the evaluation form. We also recommend that the evaluation form start with one to several "priming" questions about the student's participation in the class, e.g., asking about the frequency with which the student attended lectures and whether (s)he had taken required prerequisite courses. A menu of suggested optional questions should be provided to instructors and departments when preparing their evaluation forms; a list of possible questions is included in the Appendix to this report. Individually customized questions written by the instructor or department should also be allowed, and we encourage instructors and departments to consult with the staff of the Center for Excellence in Teaching and Learning in developing questions to be used in SET.

E) Instructors should not be present during the administration of course evaluations.

5. Students should be educated about and regularly reminded of the purpose, importance, and appropriate completion of evaluations. We suggest that such information be included as part of orientation materials and presentations and in the General Catalog and course syllabi. We also recommend that email messages about the importance of evaluations, issued jointly by the Academic Senate and the Administration, be sent periodically to all students. Brief statements of the purpose and importance of the evaluations should also be included with the on-line evaluation form for each course.

6. Instructors should be educated about the purpose, importance, and appropriate interpretation of evaluations. We suggest that this information be included as part of materials presented in new faculty and graduate student orientations and discussed periodically at department faculty and course TA meetings. In addition, instructors should be made aware of available resources to discuss teaching practices, such as departmental peers, the Center for Excellence in Teaching and Learning, etc.

7. As described in item 5 above, student participation in evaluations of teaching should be encouraged through positive feedback mechanisms that reinforce the perception of course evaluation as a matter to be treated with seriousness and professionalism.. Because they would undermine efforts to promote this perception, we recommend against mechanisms that would provide incentives such as the possibility of monetary, or material

rewards, e.g., through a raffle to students who complete evaluations. We also recommend against the use of academic rewards, such as points toward the course grade, for completion of evaluations, unless a compelling case can be made that the process of evaluation is integral to the subject matter of the course. For similar reasons, we strongly oppose any measures that would force students to complete evaluations, for example by withholding their grades or their ability to enroll in classes for the following term until they had done so.
8. Evaluations should be available for the last week of instruction by an instructor. In most cases this would be the last week of a course, but in the case of a course with multiple instructors, each instructor could have their evaluations completed during the last week of their instruction in the course. When possible, online evaluations should be administered during regularly scheduled class time in order to increase class participation.

9. The statistics that should be reported for each question are: the median score (out of 5), the first and third quartiles, and the number of students who responded with each score of 1-5. Inclusion of the mean score and standard deviation should be optional. All written comments should also be included in the report.

10. In order to allow more meaningful interpretation of the data from SET, evaluation reports should include, for each question, correlations between the scores selected by students and the following factors:
Grade received in the course; Grade received in prerequisite courses (specified by the instructor);
Year in school (including undergraduate vs. graduate); Major.

Of course, small sample size will limit the value of such partitioning of responses and no statistical sampling should be conducted if the sample size is below a certain number.

11. Results of the end-of-term SET should not be released to the instructor(s) until after final grades for the course have been posted.

12. In reviewing results of SET, instructors, their departmental colleagues, and faculty personnel committees should consider not only the overall numerical scores but also the written comments of individual students, and, when available, how these differ by different groups of students as described in item 9.

13. The on-line evaluation system should be designed so that it can be used not only for end-of-term evaluations as described in items 1-11 above, but also for mid-term feedback. The questions for mid-term feedback would be selected by the instructor and the results should be available only to the instructor to use for improving effectiveness of his or her teaching. The inclusion of the mid-term evaluations to the instructors personnel file (for use in merit and promotion considerations) should be optional and decided by the instructor on a course-by-course basis.

Notes:
[1]Throughout this document, the term "instructor" is used to refer to any UC Davis employee who, as part of his or her regular job responsibilities, participates in the teaching of one or more UC Davis courses. This includes ladder-rank faculty, lecturers, and TAs who participate directly in classroom instruction.
[2]There is a broad range of opinions as to the appropriateness and advisability of making data from SET publicly available for a variety of purposes. In particular, many think such data could inform students in their selection of courses. University policy and state law, however, are clear in prohibiting this public release of such information from the faculty member's personnel file. This fact should be emphasized in communications to faculty if and when any changes, such as those recommended by this committee, are publicly considered and

implemented. A clearly stated policy may allay faculty concerns, especially with respect to the increased risk of inappropriate dissemination of the data from electronically administered (online) SETs.
[3] We recommend that either the Academic Senate Committee on Information Technology, or, if necessary, a special Implementation Task Force, be charged with working out the details of the on-line system in accordance with the general recommendations provided here.

III. Appendix

Suggested standardized end-of-term SET form (on-line or paper) for the UC Davis Campus

Introduction:
Thank you for participating in the evaluation of this course. Your honest and thoughtful feedback is greatly appreciated.

Student evaluations of courses and instructors administered by the Davis Division of the Academic Senate provide students a forum in which to anonymously express their opinions about the quality of courses and instruction they receive at UC Davis. The results of these evaluations are used for two purposes:

1) to be included in instructors' personnel files in order to provide data used in the evaluation of their instruction in connection with job performance reviews, such as merit and promotion actions;
2) to provide information to instructors and departments about students' perceptions of course and instruction, which may be useful for improving the effectiveness of the instructors' teaching and the quality of their courses.

In order to achieve these purposes, your responses and those of your fellow students are reviewed by your instructors and their colleagues, and the results of course evaluations will have impacts on the career(s) of the instructor(s) and the experiences of future students in the course. Thus, by participating in this evaluation, you are both providing an important service to the university and taking on a very serious responsibility, and you are requested to keep this in mind as you respond to the questions below. Please be assured that your responses will be kept anonymous and that the results of your and your fellow students' evaluations will not be released to your instructor(s) until after final grades have been posted.

Instructions:
The evaluation form consists of a few background questions about your participation in the course, followed by a series of statements about the course and/or the instructor. For each item, you are asked to select a rating from 5 – 1, where 5 signifies "Strongly Agree," 4 signifies "Agree," 3 signifies "Neutral", 2 signifies "Disagree" and 1 signifies "Strongly Disagree." An additional response option of "N/A" is provided for each item; please select this option only if you feel that you do not have sufficient information or experience to respond to a particular item. In addition to numerical ratings, each question includes a field for comments and space for additional comments is also provided at the end of the evaluation form. Please use these spaces to enter thoughtful, frank, and specific feedback about the quality of the course and the instruction you have received.

A. Optional Background Questions (to be selected by the instructor):
I attended all or nearly all of the class meetings for this course.
I was very engaged in this course.
I devoted appropriate amounts of time to studying for this class outside of regular class meetings.
I consulted frequently with the instructor outside of class.
Before taking this course, I was strongly interested in the subject matter.
After taking this course, I am strongly interested in the subject matter.
I expect to earn a grade of (5=A, 4=B, 3=C, 2=D, 1-F) in this course.

B. Optional questions about the course and the instructor (to be selected by the instructor):
The instructor made the course objectives clear.
Lectures and discussions were clearly related to course objectives.
The instructor provided helpful examples to clarify points.
The instructor clearly explained the grading standards for written work.
Paper assignments were clear.
Paper topics were generally challenging.
I learned a lot from this course.
This course helped improve my problem solving skills.
The instructor lectures according to the published syllabus.
The instructor provides timely information regarding homework, exams, or other course requirements necessary for examination and grading.
The prerequisites required for this course are appropriate and sufficient.
I would recommend this course to others.
The instructor's presentation of the material is well organized.
The instructor is well prepared for class.
The instructor welcomes questions and discussion.
The instructor tries to help when I ask.
The instructor is available and helpful to students outside of class.
The instructor enjoys teaching.
The assigned problems helped me to learn the course material.
The assigned readings helped me to learn the course material.
The course lectures and assignments helped me to prepare for the examinations.
The instructor's use of visual aids is helpful and effective.
The on-line materials provided for this course are helpful and effective.
This is an enjoyable course.
The instructor's presentations held my interest.
The instructor effectively encouraged student participation.
The instructor was sensitive to issues of diversity.
The instructor was open to and encouraged a variety of opinions.
This course challenged me intellectually.
This course encouraged me to think critically.
The readings from the course were intellectually challenging.
Comments on written work were sufficient and informative.

C. Required questions about the course and the instructor (to be included on all end-of-term evaluations):
Overall, this is an educationally valuable course.
Overall, this instructor is effective in teaching this course.

D. Additional comments