

September 25, 2000

To: Marsha Chandler, Senior Vice Chancellor Academic Affairs
Joel Dimsdale, Chair, Committee on Academic Personnel

Re: Faculty Review Process Task Force Report

Our joint Senate-Administrative Task Force was asked to examine the faculty review process and to recommend measures that would streamline the process while maintaining quality. After receiving considerable input from all components of the campus involved in the current process, and after deliberating for two quarters, we submit this report. A brief summary lists the specific recommendations we make for improving the faculty review process. The introduction and background sections describe the consultative process we have followed, the data that are relevant to our report, and an overview of the issues. Finally we discuss each of our recommendations and the primary reasons we make them.

I. Summary

The primary basis for our report has been sequential input from faculty, department chairs, and deans. We also consulted with academic personnel staff, departmental staff, and UC wide academic personnel directors. Generally, we find that the faculty respect and support the importance of the step review system but there is the perception that the current process is unnecessarily burdened by misguided detail and redundancy. As the campus has grown and the role of the deans has increased, we find it desirable to streamline the process so that the Senior Vice Chancellor - Academic Affairs (SVCAA), the Committee on Academic Personnel (CAP), and other reviewers can focus on the most important aspects of faculty advancement and so that the time demands on participants in the review process can be reduced. While we found that no single consideration for an improvement in the process received unanimous endorsement, the recommendations we are making are supported by a strong majority of those with whom we interacted and deserve serious consideration by the administration and the Academic Senate. In summary, we make the following recommendations:

- The biography and bibliography materials should be considerably simplified and combined into one document, with flexibility for schools and divisions to develop the presentation and content of the bibliography appropriate to their disciplines. We suggest elimination of the annual supplements as separate documents, minimizing reporting of "in progress" work, and elimination of the requirement that previous "in progress" work be tracked more than two review cycles.
- Faculty should be permitted to waive their right to review external letters and external referees and reviewers should be so informed.
- Chairs should be permitted to solicit external letters electronically, and electronic submission of external letters should be acceptable.
- Graduate teaching should be better and more consistently documented.
- Faculty members should be required, if asked, to serve on at least one ad hoc committee per year.

- All ad hocs should be four member committees, including the departmental representative who will serve as a consultant only and will not vote or participate in preparing the final report. Two members from the same Department, external to the candidate's may serve on the same ad hoc when the breadth of expertise is appropriate.
- The requirement for campus ad hocs for Professor Step VI, and 'to Above Scale' reviews should be eliminated.
- The CAP Advisory Committee on the Arts should be eliminated and CAP should always include a faculty member from the Arts.
- CAP's review of uncontested 'no change' actions should be eliminated.
- CAP's involvement in non-salaried actions should be reduced, and eliminated for colleagues already holding appointments at UCSD.
- Authority should be delegated to Deans for Assistant Professor, Step I and II appointments when the proposed salary is on-scale, and independent letters beyond the normal letters of reference from the candidate's mentors and colleagues in previous institutions should no longer be explicitly required.
- Recommendations for accelerated advancements and bonus off-scale salary increases should be permitted only at the normal review cycle, except for acceleration to tenure and retention cases.
- The first review for Assistant Professor, Step I and II merits should be simplified, eliminating the screening of documentation by the Academic Personnel office (APO) for the first review.
- File deadlines should be spread out, and enforced as 'drop dead' dates: December 1st for normal merits; January 15 for accelerated merits, Step VI and AS; February 15th for promotions. These deadlines should be extended by two weeks for both SIO and SOM.
- The Dean of OGSR should only review appraisals, promotions, Step VI and 'to AS.'
- Provosts should only review appraisals, promotions, Step VI, and 'to AS.'
- The number of publications that need to be forwarded to the Deans for normal merits should be limited, and not routed through the Academic Personnel office.
- An on-line, web-based system for electronic processing of most of the review documentation should be developed.
- We wish to encourage increasing faculty responsibility for content of review file materials and decreasing staff time spent in reconciliation of file materials to prescribed formats.

II. Introduction and Background

Our committee was appointed jointly by the Chair of the Academic Senate's Committee on Academic Personnel (CAP) and the Senior Vice Chancellor - Academic Affairs (SVCAA) to examine the academic review process and, if necessary, to consider changes that might streamline the process while maintaining quality. The committee represented a balance of disciplinary interest and campus experience relevant to the faculty review process. It is timely to examine the faculty review system given that it has been nearly a decade since the UCSD Lindenberg Task Force examined the faculty reward system. The Dean structure has matured on the General Campus and contributes an added layer of review, the external landscape has changed and affects competitive hiring, and we are poised for unprecedented faculty growth. Other campuses have also done periodic studies, and we were able to hear from faculty committee members at UC Davis who were just completing a similar review. The 1991 report of

the University Wide Task Force on Faculty Rewards, and the 1993 Joint Task Force on the Faculty Review Procedures, were also available and proved useful to us. Over the years, CAP and the SVCAA have made adjustments to the review process to deal with a variety of workload issues, exceptions, and special cases. It now appears to many faculty that the process has become unnecessarily cumbersome. There is a need to address the impatience with the process, especially its complexity and timeliness. We feel it would be useful to trim the tree back a bit and appraise the benefits over the next few years. It seems inevitable that further adjustments will need to be made at a later date.

Our committee spent more than one quarter obtaining input and listening. At the outset, we decided that we would start with the faculty at large. We therefore first examined many individual faculty responses to our campus-wide solicitation of input. The faculty responses generated a long list of issues to consider. We identified many common themes and then interviewed department chairs on the campus to obtain their reactions and suggestions for additional considerations. In parallel, the Academic Personnel office (APO) provided a great deal of useful insight and many recommendations based on their interactions with departments, staff, and faculty. They also provided data for our review. We then met with the Deans, Assistant Deans, departmental administrators, Academic Personnel and CAP staff, the Academic Business Administrators group, and the UC-wide Academic Personnel Directors. We also consulted with Ellen Switkes, Assistant Vice President, Academic Advancement at UCOP on particular issues.

The recommendations we bring forward address those issues that appeared recurrently and for which we felt there was a reasonable possibility to streamline the process without sacrificing quality. It was clear that the dominant frustrations centered around the bio-bibliography, external letters, timeliness, and the associated effort expended by staff at many levels to maintain the existing process. Not surprisingly, we heard similar themes from the other campuses.

We attach data from recent years relevant to the recommendations discussed in the next section.

- [Attachment 1](#) provides data regarding the timeliness issue. More than 69% of the files are received late. The average review time of advancement files is 97 days when an ad hoc is involved and 54 days even when no ad hoc is involved.
- [Attachment 2](#) shows similar data for appointments, for which the review time ranges from 23 to 76 days.
- Attachments [3](#) and [4](#) illustrate the workload logjam that occurs in the review process as files arrive later than the current February 1st deadline, and then peaked at the previous April 1st "drop dead date" (beyond which files received are not considered during the current review cycle).
- [Attachment 5](#) illustrates how the workload would be redistributed if the deadlines we are proposing are accepted.
- [Attachment 6](#) shows UC-wide file due dates and deadlines. UCSD's current due dates are not enforced and the "drop dead date" of March 1st is later than nearly all other campus deadlines.
- [Attachment 7](#) shows, UC-wide, how authority has been delegated for particular types of reviews and actions.

- [Attachment 8](#) provides data on the rate of agreement with departmental proposals for appointments and other actions involving non-salaried positions.
- [Attachment 9](#) provides data on the rate of agreement between different entities and individuals involved in the review of assistant professor appointments. While it is tempting to use such data as shown in attachments 8 and 9 as a measure of "value added" to the process, we wish to note that the mere existence of a particular review step may improve the quality of the overall process even if the particular authority or body rarely disagrees. Our committee was sensitive to this point in trying to judge how essential a particular review step is to the principal goal of evaluating the accomplishments of a faculty member.
- [Attachment 10](#) provides an overview of faculty service on ad hoc review committees. While less than 40% of our faculty are asked to serve more than twice per year, nearly 50% decline to serve at all when nominated and contacted, most often because they are "too busy." On average, 7.6 weeks are currently added to the review process when a file is sent to an ad hoc committee.

III. Discussion of Specific Recommendations

As we tried to address some of the issues raised by faculty, it became clear that even when most faculty and committee members agreed that there was a problem to be addressed not everyone could agree on the solution. To a considerable extent, differences of opinion were related to differences among the respondents' disciplines and/or department size and funding base. We also became concerned that the Academic Personnel office (APO), and in turn departmental personnel staff, are seen as 'the enforcers' of a bureaucracy for reconciling file content beyond what should be needed for the assessment of a colleague's contributions. The process may be overly rigid and may benefit from more flexibility. We have grouped our recommendations and discussion into categories, and address them in an order consistent with the summary given in Section I. We begin with the two issues that received the most intense input and consideration by our committee, the biography and bibliography formats, which we refer to as the bio/bib, and the quality of external letters.

A. Bio/Bib Materials

No issue seems to have caused as much frustration as the bio/bib format that we currently require in a merit, promotion, or appointment file. There is widespread support to simplify the format and reduce substantially the effort needed by APO and departmental staff to insure conformity to specific format rules. We received estimates of the required departmental staff time to prepare a single promotion file which average around 50 staff hours, and were as high as 80 hours, much of which time is devoted to reconciling the file content to required formatting and reporting rules. Some of this effort is then repeated at the APO staff level.

We face a dilemma in selecting a format for the bibliography. The traditional curricula vitae (CV) that faculty maintain are generally adequate for their colleagues outside UCSD to make an assessment of research quality and professional service. However, the outside reviewers are sometimes in narrow scholarly fields and campus reviewers, who come from a variety of

backgrounds, need supplemental information so that they may understand and appraise the scholarly work of their colleagues in a limited amount of time. In addition, some material that is not part of a standard CV (e.g., regarding teaching and university service) is relevant and important to our overall review process. Also, our step system requires that we define accurately and evaluate separately the productivity within specific time intervals.

It seems unlikely, for these reasons, that the submission of standard faculty CVs alone would meet the needs of campus reviewers, although that proposal was put forth by several colleagues and received some consideration. Nevertheless, the committee agrees that the bio/bib should be streamlined, that some current forms should be combined, and that the annual supplements should be discontinued. Moreover, we propose permitting some variation in the reporting of bibliographic information across campus divisions, or perhaps even across departments. The bio/bib format should evolve to be compatible with a future web-based information system such that each faculty member can access and maintain his or her own bio/bib data.

The current biography and annual supplement forms should be redesigned and collapsed to a simple format in one document that can be easily maintained by faculty. There should be a logical progression of lists of information by categories useful to the merit review. These might be: (a) permanent information (e.g., name, address, education); (b) honors in chronological order; (c) service (public, professional, university) in chronological order; and (d) grants in chronological order, clearly indicating the granting agency, amount of award, dates and the PI and co-PIs. The faculty members themselves should be responsible for this biographical information, and they should decide when to drop outdated material from the lists. Reconciliation at the departmental level could be limited to verification of current grant information.

The bibliography component (i.e., the report of scholarly or other creative work) was a more difficult issue for the committee to address because of the differences that exist between disciplines and departments. We would permit some variability in format between divisions, and perhaps even between departments within divisions. In fact, if some departments prefer the present bibliography format then they should be able to retain it. The committee felt that increased formatting flexibility and a decreased burden on APO to screen and edit bibliographic data would benefit both faculty and administrators involved in the process. We offer a few specific recommendations about formatting, and suggest that much of the remaining detail be left to divisions and departments. **Specifically, we recommend that the bibliography have two sections: (A) Primary Reviewed Work, and (B) Other Work. An optional third section could be added when circumstances warrant: (C) In Progress Work.** We further recommend that for each review a copy of the bio/bib submitted for the previous review should be included in the file provided to reviewers.

The contents of (A) Primary Reviewed Work may vary by discipline as determined independently by the divisions; CAP should be asked to comment on proposed contents. If a particular discipline has a well defined and accepted format for describing or listing their publications they should be permitted to use it for the review process, subject to the comments below about categories and annotation, which may even be hand written onto the lists. Examples of categories that might be distinguished include journal articles, book chapters, invited reviews

or articles, refereed conference proceedings, and performances. Items in A may be listed in chronological order and labeled (as they often are now) or listed in chronological order within groupings by category. When a particular category is unusual, then the chair's and dean's letters should, for the benefit of campus reviewers, address why items in this category are distinguished in the bibliography; and such statements could take the form of a standard insertion for files in a particular department or discipline.

We recommend that **the A Section include published work, work in press, and work accepted for publication**, at the discretion of the faculty member. We would **remove abstracts and non-reviewed conference papers** from this category. The citations should be in chronological order with a line drawn to differentiate new material which has not been listed in the A section in a previous review. If the A section is divided into category subsections, then lines should be drawn in each subsection. If there are no subsections, there should be a reasonable descriptor for each entry (journal article, conference paper, invited article, etc.) to permit reviewers to understand the nature of the work. The descriptor need not stand alone in the right margin (a requirement that has created frustration) but can be placed at the end of the citation; e.g.: author, title, date, volume, pages [journal article]. If an item was listed as 'in progress' in a previous review then it should also be annotated to indicate that it was listed earlier in C the first time it appears in A, but such annotation need not be maintained in subsequent review cycles.

The contents of **(B) Other Work** should include other published or performed material which the candidate may wish to list to demonstrate scholarly activity. Examples might include patents, non-reviewed works, conference proceedings, book reviews, encyclopedia entries, and presentations, and other items the department and dean do not consider appropriate for the Reviewed Work of Section A. If abstracts are to be included then the departmental letter should indicate how they are important. The same type of descriptors, annotations, and time lines mentioned above for Section A should also be used for Section B. Materials (e.g., manuscripts) associated with items in this section would not normally be forwarded with the file. When faculty feel such work is particularly important they may discuss it in a letter to the file, and subsequently the chairs and deans may discuss it, as a basis for advancement. It should be understood that work in this category is listed to indicate professional activity, but that it will not be evaluated for quality or impact.

The committee generally felt that the **(C) Work In Progress** section of the bibliography should be optional. **Work should only be listed in Section C when there is actual material which can be submitted with the file for review.** We frankly would hope that most departments and divisions would not use it at all or at least discourage it. However, we do recognize that there are disciplines, such as in the humanities, where this category is crucial for assessing a faculty member's accomplishments. Chapters that are completed and will become part of a book in later years are perhaps the prime example. Work listed in this section and provided for evaluation is also important for proposed advancement to crossover steps, and to some extent for tenure cases. For other cases, work in progress is not normally weighed heavily by CAP and there seems to be considerable misunderstanding about its value. Further, we agree with many faculty that there is little value added to the merit review system, and considerable paper workload and frustration generated, by requiring that a citation on the Section C list remain forever after the work has

been moved to the Section A list. As we noted above, an appropriate reference to the previous appearance in Section C should be made when work first appears in Section A. **However, we recommend that any Section C list citation may be removed at the discretion of the faculty after it is moved to the Section A list or after two review cycles.**

B. External Letters

There exists a serious concern about the quality of external letters and the efforts required to elicit them. The major issue centers around the lack of confidentiality, the associated statement which is attached to every request, and the widespread perception that the confidentiality policy has eroded the value of external letters. The policy and the statement of confidentiality has deterred some external colleagues from participating and faculty feel that others are too often reticent to be frank in their appraisals. We were surprised that the lack of confidentiality has led many Chairs to simply provide all faculty with external letters, even when they are not requested by a candidate. In some instances we were told that as many as twenty external reviewers must be contacted in order to obtain five letters. There is also considerable uncertainty regarding how many letters are really necessary for a particular step, and many chairs are concerned about how various reviewers may interpret the lack of a letter when a particular referee declines to write. We did not find a resolution to these two latter issues, although departments should not be encouraged to submit too many letters and the chair's letter could attempt to address the lack of a letter from a particular referee.

We feel that the confidentiality statement sent to reviewers should be reworded to be less legalistic and bureaucratic in tone. We determined that this is permissible by consulting counsel at the Office of the President (UCOP). Although the statement can actually be eliminated, we would be reluctant to do so to avoid misrepresentation to our external colleagues. However, to some, the present system is already misleading because the current statement implies that the University will resist attempts to compromise confidentiality of writers, when in fact current practice in some departments practically guarantees a loss of confidentiality. The faculty needs to consider better ways to protect the integrity of the external review process.

We have discussed one possible means to establish more confidentiality and, despite obvious concerns about it, we would ask that it be seriously considered by the Academic Senate membership. **We would recommend that faculty have the option to sign a waiver of their right to review external letters.** In such cases reviewers would be advised that the candidate has signed such a waiver. Such a waiver is permitted, but not at all recommended, by counsel at UCOP. However, a similar policy is adopted by the UC for student recommendation letters. During our discussion, one of the task force committee members brought in a request he had received for a candidate appraisal at another institution. The statement included in this letter from another major public university was simply, "Your comments will be kept confidential; Dr. Name has waived his right to see the external letters of evaluation." We feel a waiver option would re-establish some of the credibility of external letters which has been diminished in recent years as a result of the University policy relating to confidentiality.

One of the long delays in reviews is the time to obtain external letters. We found varying strategies used by departments, from completely blind requests sent in writing to potential

referees, to personal phone calls made to establish a willingness to complete a review. To render the process more efficient and consistent, we recommend that the policy be established to **permit Chairs to solicit willingness to provide external letters electronically** by email before sending any publication materials. Copies of the email requests should be placed in the file. The current system of documenting who has been asked and who has replied can be continued. Further, **departments should have the option of accepting all reviews electronically as email attachments, on a web-based system, or by Fax.** Provided some acknowledgement of receipt of a review is sent to the reviewer and documented in an email, we do not see the need to require subsequent hard copies. In the future we would hope that this could become part of a web-based system similar to that already used by many funding agencies.

C. **Teaching**

We found little to suggest ways to improve documentation of teaching at the undergraduate level. The course load forms seem to be working reasonably well for documenting the amount of teaching. In discussing the evaluation of the quality of teaching we were impressed by the variety of methods that departments have established in an attempt to comply with the requirement to include two methods of teaching evaluation. CAPE is frequently used as one measure. Other methods include separate departmental surveys, peer and/or chair review, student committees, senior and alumni surveys, videotaping of lectures, and review of syllabi. While doubts were expressed about the usefulness of any one method, many were particularly critical of the inclusion of spontaneous written testimonials from students because of the obvious favorable bias associated with such input.

We were informed that many files do come forward with only one method of teaching evaluation and that CAP often feels it must act without a second one. This is a pragmatic decision by CAP which we understand because of the burdensome and time consuming task of rerouting the files and obtaining a second type of evaluation. If we are to have the requirement that departments provide two forms of teaching evaluation it should be enforced, otherwise, the requirement should be abandoned as unrealistic.

Evaluation and documentation of graduate teaching and education can be improved. The file should address clearly the candidate's effectiveness as a teacher of scheduled graduate courses, as an adviser of doctoral and masters' students, and as a mentor to postdoctoral students. The evaluation of graduate student advising should include the number of dissertation and thesis committees the candidate is currently chairing or co-chairing and the number of advisees who have graduated in the review period. We recommend that two lists appear on the course load form, one required and one optional. **The required list should include only those thesis graduate students advised or co-advised by the faculty.** On a second optional list, the faculty may list all graduate thesis committees on which they have served, and other graduate students advised but who did not write a thesis. Committee members expressed concern about the commingling of these contributions. Since the first should be given much more weight in the review process, we believe the forms should be altered to distinguish the two types of graduate teaching service. While it requires further assessment of the impact on the departmental workload, other components of the evaluation could include information about time to degree and placement of graduate students, and a meaningful assessment of the candidate's performance

as a supervisor of teaching assistants. If the candidate has not played an active role in the department's graduate teaching program, the file should provide an explanation.

D. Ad Hoc Committees

It is clear from the data in Attachments 1 and 10 that ad hoc committees play a major, yet time consuming, role in the faculty review system, especially at the most important steps. Opinions about the value of the ad hoc system range from proposals to eliminate it because of the variable quality of ad hoc committee members to proposals to strengthen it because of its integrity and independence. We found evidence that many faculty members do not understand how or when campus ad hoc committees are employed, possibly because many faculty members have not served on an ad hoc committee. CAP has often been willing to serve as its own ad hoc in cases which it viewed as strong and when it felt that an ad hoc was unlikely to add any significant new information or analysis. We would support this prerogative of CAP and encourage it when appropriate. Our following recommendations regarding ad hocs have been distilled from many we received. They seem to us to have widespread support and we feel they would streamline the process without jeopardizing the quality of final decisions about faculty advancement.

All faculty members should respect the obligation to serve on ad hoc committees when asked. The current 50% declination rate causes stress and burden on the APO, causes delay in many reviews, and potentially compromises the quality of reviews. We were impressed with the results on two other UC campuses when they imposed a mandatory ad hoc service requirement on every faculty member. It is operated much like a jury system. The faculty member is informed of the time frame when they will be needed and they may only ask to be rescheduled if they will be on travel. All faculty members must accept a request to serve at least once per year, unless they are on sabbatical. If they decline they must do so in writing to the SVCAA. The preliminary result on both campuses has been that the declination rate has dropped from nearly 50% to one or two per year. **We would recommend that the Senate adopt such a mandatory system.**

We also considered ways to begin the process of establishing ad hocs earlier in the file review process. We suggest that, for general campus files, the need for an ad hoc and nominations for membership, could be decided by CAP once the department's input is received, and before input is received from deans and provosts. CAP could also have the option of sending a file to an ad hoc before the dean and provost reports are received. With such a system, CAP and APO can consider how best to balance two objectives: setting up ad hocs as early as possible, and avoiding premature or unnecessary assignments. Some ad hocs could be excused by CAP after the completed files were received and reviewed. Conversely, CAP could decide at this point to reverse its earlier decision and recommend an ad hoc. It was felt that such cases would be rare.

Presently ad hoc committees vary in number, either three or five members. The APO staff has found the need to establish five member ad hocs to be particularly frustrating and time consuming. We also received conflicting input from faculty and departments regarding the role of the departmental representative on ad hocs. To some they represent the best expertise and most trusted member of an ad hoc, while to others they jeopardize the integrity of the system by

their influence on the committee and because departmental ad hoc members are in effect voting twice on a particular file. After considerable input on this matter we recommend the following policy be adopted. **All ad hoc committees should consist of four members, including the departmental representative. The departmental representative should serve only as a consultant to the committee and not participate in voting nor in the preparation of the final written report.** When the ad hoc committee chair feels it would be useful, the departmental representative could review drafts of the report for technical accuracy. There is another benefit of such a system from the perspective of the APO office. Current practice does not permit them to assign faculty members to a campus ad hoc who have already served on the departmental ad hoc for a candidate. This restriction to the pool of possible departmental ad hoc members would no longer be necessary if they do not vote on the campus ad hoc. Since departments often have four to five member internal ad hocs and most often utilize the best departmental expertise, we see that this change could lead to a substantial improvement in the quality of campus ad hoc committees.

We also recommend that it be made normal practice that more than one member from a department, other than the candidate's, may serve on an ad hoc. Because large departments have considerable breadth and expertise, this policy would also provide a larger, and perhaps better, pool of faculty for CAP to draw from to establish ad hoc committees. We understand that some CAPs already do this as an exception to current practice. We feel it should be normal practice whenever the quality of the ad hoc can be enhanced.

We recommend that the requirement of an ad hoc committee be eliminated for the Professor, Step VI review and for the 'to Above Scale' (to AS) review. For both of these reviews, the case for advancement is frequently sufficiently strong when based on the departmental and dean reviews alone, together with external letters, that an ad hoc would add little value to the process. CAP, of course, always has the option to establish an ad hoc in difficult cases. We found substantial support to eliminate the Step VI career review by CAP altogether, however we could not reach a consensus to make this advancement a normal merit review. The data do suggest that the Step VI barrier has been reduced over the years as additional higher steps have been added. Currently, about 1% of all full professors have been at Step V for two or more cycles, and over the past three years only about 10% of those under review for advancement to Step VI have remained at Step V for two or more cycles. Nevertheless, it was felt by many of our committee that the career review with CAP's involvement was timely at this stage in a faculty member's career and that the existence of such a career review was important to maintain the quality of the senior faculty.

The committee considered at length the need for external letters at the Step VI review, the value of which was questioned by many people in our discussions. External faculty do not understand what Step VI is about, and often the letters come from close colleagues in one's field, some of whom have written in support of previous reviews. Further, the UC system is notorious for requesting letters frequently from external colleagues, and this would be a reasonable step to reduce the burden on our external colleagues. However, several committee members felt that it should be straightforward to obtain letters for such senior faculty and the absence of strong letters would have important negative implications. Our committee could not reach a consensus on the value of such external letters at this Step VI review. In any event, chairs should be careful

to select independent external reviewers and to explain the Step VI advancement more clearly to them.

Following input from faculty in the Arts departments, we discussed the usefulness and the burden of the present review system which uses both the anonymous ad hoc committees and a standing CAP Advisory Committee on the Arts (ACA) for reviewing faculty in the Arts. These faculty members sometimes feel they are subjected to a double standard and they object to the delays. While APO staff did confirm that many files go to both the ACA and then to an ad hoc committee, and that establishing meetings of the two types of committees was difficult and does cause delays, the committee did not review data which showed that the total time for review is on average much longer than for other disciplines. It is also apparent that often a review by the ACA helps CAP act without a subsequent ad hoc. The ACA was formed in 1982 because of the difficulty of evaluating artistic performance in the Arts, which does not lend itself to conventional academic procedures and career patterns. Although it is not required, there has also always been a member from the Arts faculty on CAP. Our committee discussed two possible actions, eliminate ad hocs for Arts faculty reviews, using only the ACA, or eliminating the ACA and using only ad hocs, consistent with other disciplines. We felt the value to our review system of an independent, anonymous ad hoc was greater than that of a standing ACA membership. We also felt the ad hoc presented a better opportunity for selecting members with appropriate expertise. Given the growth in the number of Arts faculty, there should not be difficulty in establishing suitable ad hoc membership and assuring expertise on CAP. **We therefore recommend that the ACA be eliminated.** Consideration of this recommendation merits further discussion with the Arts faculty since the process adopted should be intended to primarily serve them. If it is adopted, then it should be with the understanding that CAP will always include a faculty member from the Arts. If, after a few years, CAP is not satisfied with ad hoc committee expertise for the Arts then it can re-establish the ACA.

E. CAP Involvement and Delegation

When the faculty, the department, and the dean agree, we recommend that CAP not be involved in 'No Change' actions. We recommend these actions be delegated to the appropriate dean, just as normal merits are currently delegated. Some faculty members, especially among the senior faculty, request a delay of their reviews and/or agree that no change in their step is warranted. Although CAP has adjusted a few 'No Change' files upward during the past few years (3, 2, and none, in 1997, 1998, and 1999, respectively) we feel the chair and dean should be able to determine whether the faculty member merits any change in these cases. We are not suggesting that the review itself be eliminated. Under current UC policy, a faculty member must be reviewed at least every five years. If a faculty member has become disengaged from research then it is important to assess what contributions are being made in other areas such as teaching and/or service. Further, faculty may request a one year deferral of a review. We recommend that **authority to approve a one-year deferral be delegated to the deans.** CAP should review any 'no change' recommendation which is contested by the faculty, the department, or the dean.

When the faculty, the department, and the dean agree, we recommend that CAP only review initial non-salaried appointments and changes in rank of non-salaried appointments and after six years at the rank equivalent of full professor. Currently non-salaried adjunct

faculty are reviewed at every equivalent 'merit' advancement because they are regarded as re-appointments. Further, when faculty holding non-salaried appointments are proposed for second non-salaried appointment in another department they must be reviewed again. These appointments are particularly prevalent in the SOM. Several colleagues raised the issue of redundancy, additional workload, and questionable value added by involving CAP on non-salaried appointments, especially for colleagues already holding UCSD appointments and for re-appointments within rank. Attachment 8 data suggest that for the non-salaried adjunct series the rate of agreement with departmental proposals has been very high. We feel that when the candidate, the department, and the dean agree, then the dean should have the approval authority except for the initial appointment and for changes in rank from assistant to associate and to full, and after six years at the equivalent of full professor. We also propose that for positions when there is no FTE attached, **CAP should not be involved in any non-salaried actions involving faculty who already hold appointments at UCSD.** CAP should review all appointments which involve a change from non-salaried to salaried status.

Several chairs asked us to consider ways to expedite the appointment process, primarily because they feel they are in a competitive environment in which timing is important to them. As Attachment 7 shows, several campuses have delegated selected appointments to the deans. When we reviewed data such as given in Attachment 9, it became clear that often it is the salary that is at issue. We focused on the ladder rank Assistant Professor I and II levels because we felt that at this level there is little basis for CAP rejecting an appointment per se. Ad hoc committees are not used for these levels of appointments. New FTE appointments at these levels are carefully considered by departments, the scholarly credentials are often minimal, and there has usually been vigorous evaluation of competing candidates within the department. The time taken for CAP to review Assistant I and II files adds approximately two to three weeks to the time to make the offer. **We therefore recommend that when Assistant Professor I and II entry level appointments are made with salary on-scale then the appointment authority should be delegated to the deans.** CAP could conduct post-audits of such appointments to obtain a sense of the quality of appointments. Some committee members felt that such delegation of authority to the deans, subject to post audit, could have the effect of increasing the quality of the dean's review for these appointments.

For Assistant I and II level appointments, we recommend that it be standard policy to **accept as supporting appointment letters those letters obtained from the candidate's list of references, i.e., from the candidate's mentors and colleagues in their previous departments and programs.** We would not require letters independent of the candidate's previous Ph.D. or postdoctoral departments or programs. It seems unreasonable, and unnecessary, at these entry-level stages, to expect a young person to be known to outside reviewers. It is our understanding that our departments are already confused about the current requirement and that CAP does often act with only such letters despite the current policy calling for 'independent' letters. Obviously, if a department wishes to obtain letters from more independent sources they have the option to do so.

CAP has experienced an increasing workload because of the accelerating number of requests for mid-cycle accelerations and bonuses. The committee understands the need to recognize and reward unusual achievement. Nevertheless, we are concerned that this situation is preventing

CAP from focusing on the most important career review steps and adding delay to the review process. Others have questioned the validity of making judgements equitably for such cases because they must be based on a short period of activity. **We therefore recommend the elimination of off-cycle accelerations and/or associated bonuses, except for retention cases and accelerations to tenure.** At the normal review cycle time reviewers can then examine the entire review period and better ascertain whether an accelerated advancement is warranted. **If the contributions meet the appropriate standard for the entire review period, then we feel CAP should recommend a full step acceleration or appropriate off-scale salary bonus.**

F. Timeliness and Simplification of the Process

The following recommended changes are intended to simplify the review system, reduce the workload, and improve timeliness. These recommendations were supported by a majority of the people we interviewed. We deal with them more succinctly than the issues above.

We recommend that the first merit review for an Assistant Professor I or II be simplified, eliminating involvement by APO except for the reappointment letter. Several chairs suggested we eliminate any formal first review for Assistant Professor I or II faculty. Often candidates who have been at UCSD for less than one year are asked to submit file materials for this review. There is generally little significant incremental achievement to document, and it is very rare that this first review is not approved. However, in subsequent discussion it was felt that some review was important and that it was beneficial to the young faculty member to go through the process. We therefore recommend that there be a first review but that it be simplified and involve only the chair and the dean. We see no reason to involve APO in any oversight of the file materials at this stage and we feel that the file materials may pass directly from the department to the dean; this is already the case for SIO and SOM files. As in other normal merit reviews, the deans have the authority to approve the merit. Since in these cases a reappointment letter is required, the dean should coordinate the letter with APO. We would also leave it to the deans to determine what file materials they feel should be forwarded to them other than the chair's assessment letter.

Attachment 6 shows that all other campuses have established earlier review dates than UCSD and they have distributed their due dates better than we have in order to level out the yearly workload. This is one area where staff consistently asked for help. We have evolved a system where we have deadline dates, which are by and large ignored, and one "drop dead date" which is not ignored because it is firmly enforced. If a file is received at APO after the current March 1st "drop dead date" then it is returned and will not be considered until the next academic year. There is a further inequity we became aware of involving SOM and SIO. These two divisions route their files through their deans before the files are brought to APO by the due dates. The General Campus files are sent directly from the departments to APO by the due dates and are then routed to deans and provosts. Furthermore, SIO and the Department of Medicine subject their files to an internal CAP review before they are forwarded. The current due dates therefore press SIO and SOM to act much earlier, and complete their files more expeditiously, than the General Campus.

After reviewing the data and considering input from chairs, several of whom would oppose any earlier dates than currently exist, we recommend that we spread out the deadline dates according to the nature of the review and **enforce all deadline dates as "drop dead dates."** **We recommend the following schedule: December 1st for normal merits; January 15th for accelerations, Step VI, and to AS; and February 15th for promotions. We also recommend that each of these dates be extended by two weeks for SOM and SIO.** Similar to the current practice, non-salaried files should have the same due date as for normal merits, December 1st. Attachment 5 shows how the workload would have been evened out this past year if such deadlines had been imposed, and can be compared to Attachments 3 and 4. Earlier due dates will require faculty to submit materials to their departments before October, and receipt of CAPE and other teaching data, and course load and student direction data, will need to be more timely. Because of the timing of this report, and because faculty and departmental staff may need sufficient warning to adjust to a new schedule (although it is certainly not a major change from existing but un-enforced due dates), we recommend that the new schedule not be implemented until the 2001-02 academic year. However, we would suggest that the recommendation to extend SOM and SIO due dates by two weeks be put into effect this academic year.

We recommend that the Dean of the Office of Graduate Studies and Research (OGSR) should only be asked to review and comment on appraisals, promotions, Step VI, and 'to AS.' The role of the graduate dean in the review process was established before divisional deans were in place. It is clear, and the current Dean Attiyeh agrees, that with the growth in faculty and the added layer of review by divisional deans that it should no longer be necessary that the graduate dean review all files. The Dean of Graduate Studies should focus on the most important review steps. An exception is files from IRPS, for which the graduate dean serves the same review role as a divisional dean does for departments.

We also recommend that the provosts only be asked to review and comment on appraisals, promotions, Step VI, and 'to AS.' Their reviews should be directed at the teaching and college service contributions of faculty. If the provosts become aware of unusual contributions in these areas during a review period they should be encouraged to forward comments to chairs for inclusion in the faculty's departmental files. Again we would limit their involvement in the review process so that they can focus on the most important steps. We discussed sending the provosts only the chair's letter and teaching evaluations instead of sending them a complete file (excluding the actual publications) as we do at present. However, the majority felt it was beneficial for provosts to be aware of all contributions of their faculty, which could influence their perspective on a faculty's commitment to teaching and college service.

There should be as much parallel processing of the files by the provosts and the Dean of Graduate Studies, as possible. Their reviews should not delay the initiation of the ad hoc review process. CAP should also consider whether they can proceed with a review without input from the provosts and the graduate dean, provided it can be considered afterwards before a final decision is made by the SVCAA. For new appointments the Council of Provosts will need to make a college assignment to the new professor, but this can be done outside of the review process. Provosts should continue their reviews for re-appointments of lecturers and adjunct professors since these re-appointments are based on contributions to our teaching.

It was also suggested to us that the number publications currently circulated with files is excessive, often boxes of 50-100 papers are circulated. Few reviewers will or need to read all of the papers. We discussed permitting faculty and departments the option of limiting the number of papers forwarded with the file to a selection of up to six of the best. While we all agreed to the reality of the situation, we could not agree to limit the number of papers to be sent in cases where CAP would be involved. However, **we did agree that for normal merits, which do not go to CAP, the deans could agree with departments to limit the number of papers sent with the file. In addition, for normal merits, we recommend that the papers for General Campus faculty reviews be sent directly to the deans and not pass through the APO office.** At SIO and SOM the papers already go directly to the deans.

G. On-Line Processing

There was widespread agreement from faculty, staff, and administration that the **campus should move rapidly to establish as much of the faculty review process as possible 'on-line'.** On no other point did we receive such uniform enthusiastic endorsement. The opportunities to streamline the process through technology are obvious at every level. We would recommend that you place significant resources into this area because it will benefit everyone, and it will be more imperative as the numbers of faculty grow during this next decade. It will also help to mitigate the substantial technology gaps that exist between different units today in their use of efficient electronic aids to file preparation.

H. Other Observations and Conclusions

A long-range goal of this streamlining should be to reorganize the review structure to minimize APO routine management of the files. It seems logical that the flow should be faculty-to-department-to-dean-to-CAP-to-SVCAA. APO must always play a vital staff support role to the SVCAA and to CAP in the faculty review process, including assistance with such tasks as management and oversight of the process, analysis of files for compliance with policy, establishing ad hocs, maintaining data bases, and training of departmental and dean staffs. In general, much more of the responsibility for file content needs to be pushed down to the individual faculty member. The process should support the need for campus reviewers to concentrate on substance rather than form, something easier said than done. We understand this must be a gradual transition and will require resources and technology. Certainly, departments and deans are seriously concerned about assuming more responsibility without adequate resources.

We also received and discussed an interesting proposal to invite assistant professors to be observers on ad hoc committees. Participation would be considered optional and it should not be permitted to impact the scheduling of an ad hoc committee. Assistant professors would benefit from learning more about the process and being involved at an earlier stage. While several details would need to be discussed, we recommend that the proposal be given serious consideration.

Finally, we were asked to consider only the faculty review process. However, it became clear that the lecturer series appointments also have a serious impact on APO. We recommend that

further consideration be given to delegating more responsibility for the review and maintenance of lecturer files, except for files submitted for the post-six year lecturer appointment. Again, such delegation requires further consideration of the workload impact on the deans and on the departments, and an assessment of required resources. Certainly the deans should work with departments to establish more realistic deadline dates for lecturer appointments and methods to enforce them. There may be additional non-senate academic reviews that could also be evaluated with the intent to streamline the process.

Given the lists of suggestions we received, and our own subsequent discussions, it is clear that this committee could continue well into the next academic year. However, at this time it is surely best to address the ideas we have put forth, which represent the ones for which we have been able to reach a consensus and for which we feel there is widespread support. We hope they can be discussed seriously, and then implemented and assessed over the next few years. Future vice chancellors and CAPs will have the opportunity to add constraints and alter the process. However, given our projected growth it is timely to attempt to streamline the process as much as possible at this juncture.

Submitted on behalf of the Faculty Review Process Task Force by:

Terry Jernigan, Co-Chair

David Miller, Co-Chair

Task Force Members:

Georgios Anagnostopoulos (Philosophy)
Karen Andrews (MSO, Physics)
Richard Attiyeh (VC Research and Dean, OGSR)
Colin Bloor (Pathology/SOM)
Terry Jernigan, Co-Chair (Psychiatry/SOM)
David Miller, Co-Chair (MAE and Assoc. VC, Academic Affairs)
Larry Milstein (ECE)
Carol Plantamura (Music)
Richard Salmon (Pord/SIO)
Debbie Spector (Biology)
William Trogler (Chem&BioChem)
John Wixted (Psychology)

AVERAGE REVIEW TIME OF ADVANCEMENT FILES*

Ladder-Rank, In-Residence, Adjunct, Clinical X, and Research Series

RECEIPT OF ADVANCEMENT FILES

<u>96/97 - 97/98 - 98/99</u>	<u>UCSD TOTAL</u>		<u>GC</u>		<u>SIO</u>		<u>SOM</u>	
Files received after Feb 1 Deadline**	1,396	69%	740	74%	194	80%	462	61%
TOTAL FILES	2,009		1,004		244		761	

General Campus Files received after Feb 1 Deadline **	<u>A & H</u>		<u>ENG</u>		<u>IR/PS</u>		<u>NAT SC</u>		<u>SOC SC</u>	
	120	67%	173	78%	18	56%	257	76%	172	74%
TOTALS	180		223		32		338		231	

AVERAGE REVIEW TIME OF ADVANCEMENT FILES ***

(CALENDAR DAYS)

<u>96/97 - 97/98 - 98/99</u>	<u>UCSD AVERAGE</u>	<u>GC AVERAGE</u>	<u>SIO AVERAGE</u>	<u>SOM AVERAGE</u>
AD HOC	97	105	86	87
NO AD HOC	54	67	50	32

* Appointment files not included.

** Actual Deadlines: 2/3/97, 2/2/98, 2/1/99.

*** From receipt of file in AP until final decision is rendered.

AVERAGE REVIEW TIME OF APPOINTMENT FILES

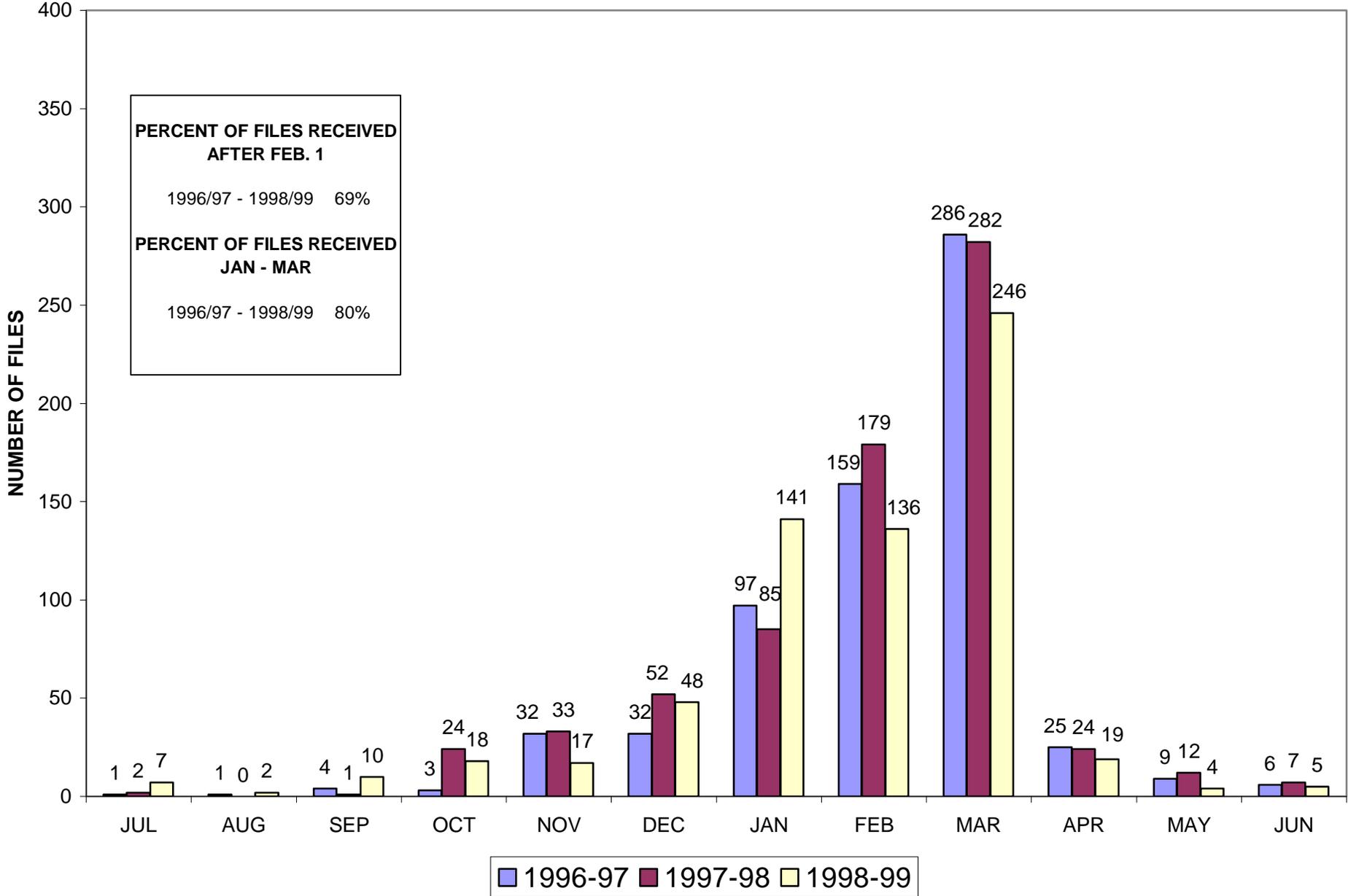
96/97 - 97/98 - 98/99

Attachment 2**AVERAGE NUMBER OF DAYS**

<u>Title</u>	<u>GC</u>	<u>SIO</u>	<u>SOM</u>	<u>TOTAL</u>
Act/Asst Professor	25	7 *	15	23
Asst Adj Professor	35	-	24	27
Asst Prof of Clinical X	-	-	53	53
Asst Prof In-Residence	-	-	23	23
<hr/>				
Assoc Prof	55	39	69	57
Assoc Adj Prof	58	-	49	54
Assoc Prof of Clinical X	-	-	76	76
Assoc Prof In-Res	-	-	69	69
<hr/>				
Professor	53	-	69	57
Adj Prof	65	-	26	46
Prof of Clinical X	-	-	64	64
Prof In-Res	99 *	37 *	36	45

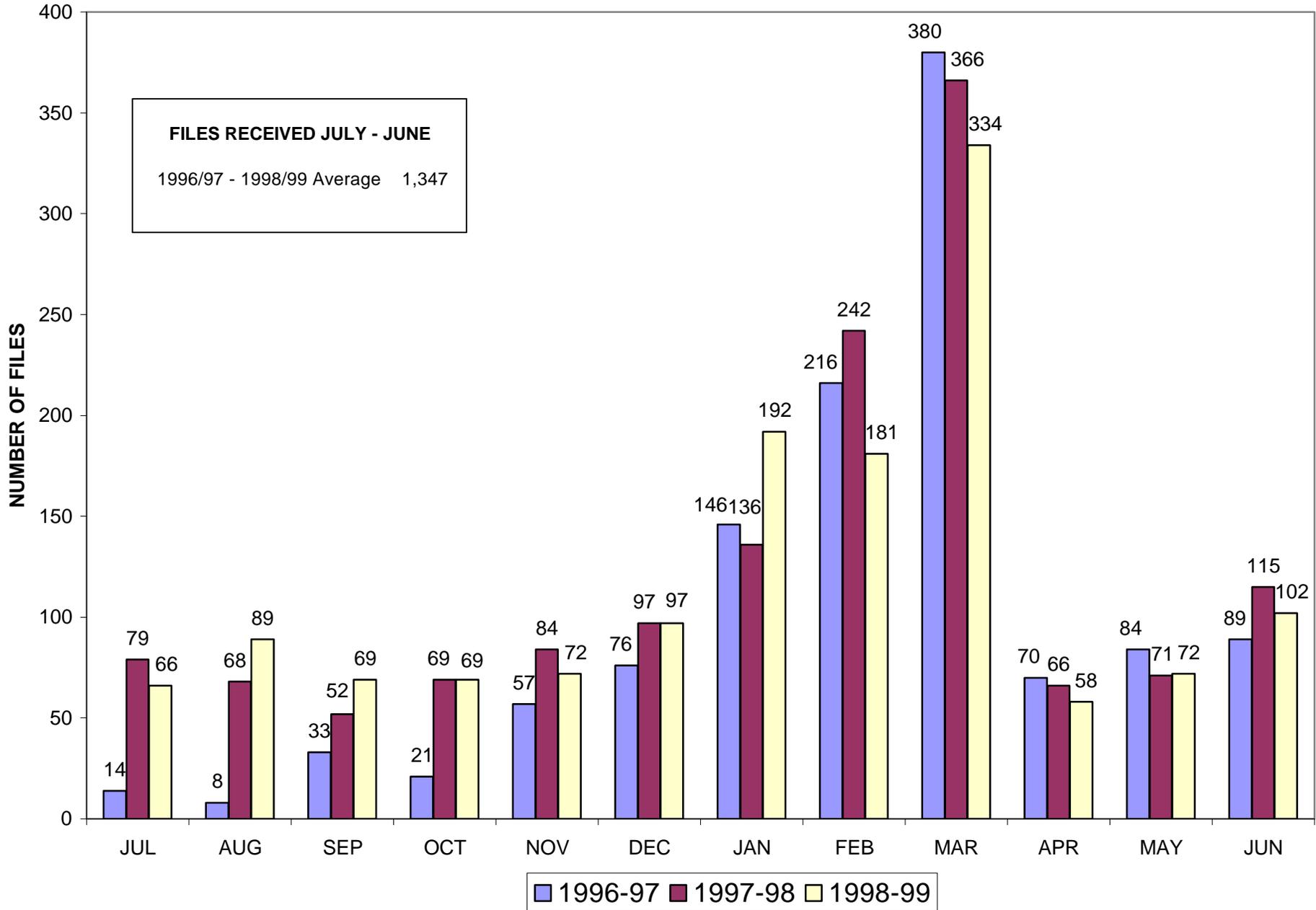
*Represents only one appointment file.

**ADVANCEMENT FILES* RECEIVED IN ACADEMIC PERSONNEL
1996/97 - 1998/99**



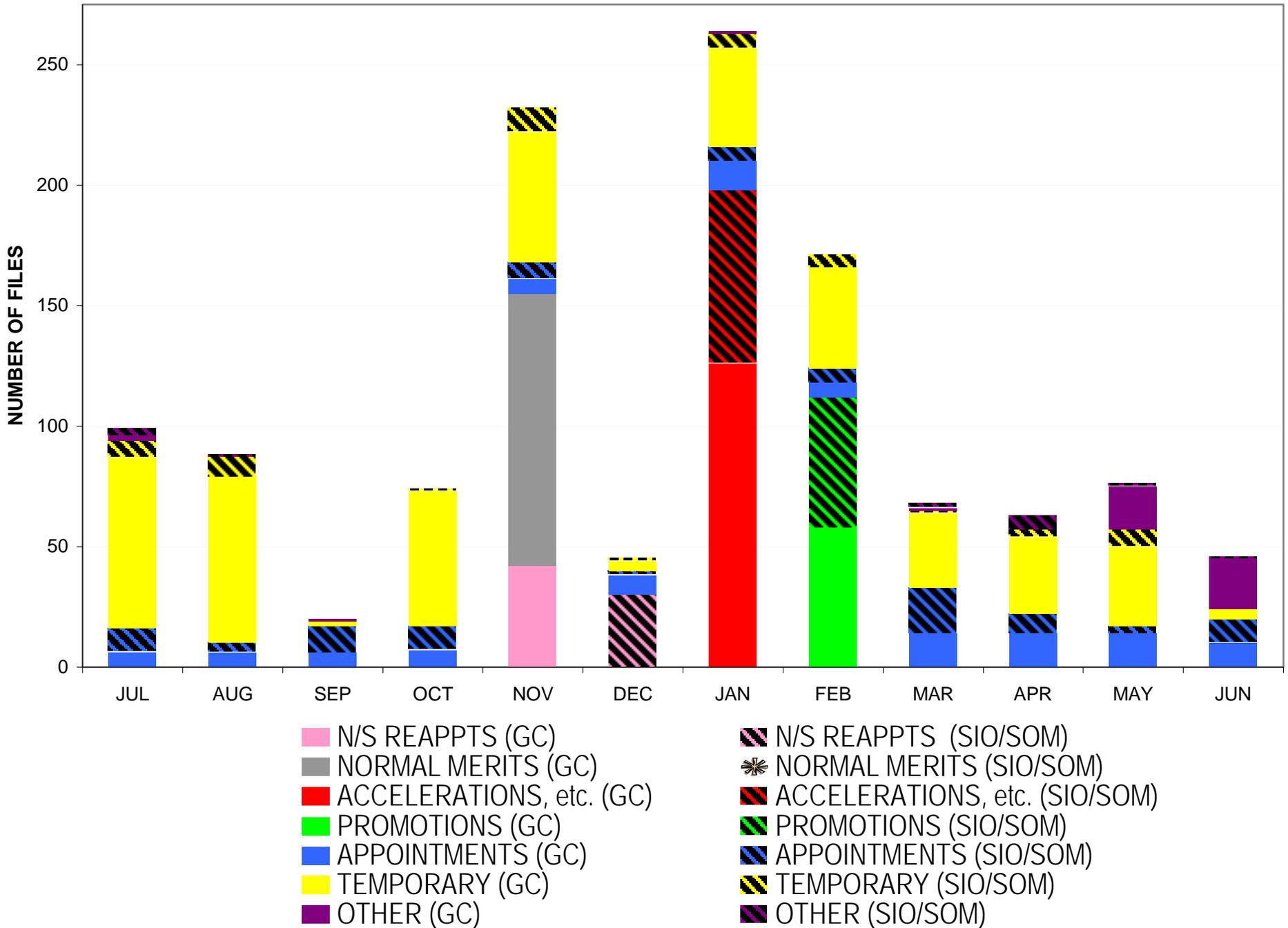
*Does not include new appointments. Includes Ladder-Rank, In-Residence, Adjunct, Clinical X, and Research Series.

**TOTAL FILES* RECEIVED IN ACADEMIC PERSONNEL
1996/97 - 1998/99**



*Includes all academic series and all actions.

ESTIMATED FILE RECEIPT BASED UPON THE TASK FORCE'S PROPOSED DEADLINES



* Due in APO 4/1 for post-audit.

UC FILE RECEIPT DUE DATES AND DEADLINES

		Berkeley	Davis	Irvine	Los Angeles	Riverside	San Diego	San Francisco	Santa Barbara	Santa Cruz
Normal Merits	October									
	November					11/20				
	December	12/2 (Asst/Assoc) 12/23 (to Prof II-V)	12/4 (AA/AC & UNEX) 12/17 (to Prof VII-IX)	12/1						
	January	1/14 (to Prof VII-IX)					1/3	1/28		
	February	2/4 (non-LRF)			2/21 (all Asst)				2/28	2/1
	March	3/3 (for AA/AC and other admin titles)	3/6 (for Librarian titles)							3/20 (non-LRF)
	April									
Promotions & Career Reviews	October									
	November	11/8 (to Assoc) 11/14 (to Full)	11/12 (to Assoc/Full)							
	December		12/3 (to VI & AS) 12/4 (for AA/AC & UNEX)		12/3 (SOM-All Promotion & Career)	12/4		12/3	2nd Friday	
	January	1/14 (to VI & AS)								
	February	2/4 (non-LRF)		2/1	2/7 (GC-All Promotion & Career)		2/1			2/1
	March	3/3 (for AA/AC and other admin titles)	3/6 (for Librarian titles)							3/20 (non-LRF)
	April									
Non-normal Merits (including accelerations and Further Above Scale [FAS])	October									
	November					11/20 (Acceleration)				
	December		12/3 (FAS) 12/17 (Acceleration)		12/3 (SOM 2+yr Acceleration & FAS)	12/4 (FAS)		12/3		
	January	1/14					1/3			
	February	2/4 (non-LRF)		2/1	2/21 (All Asst level)				2nd Friday	2/1
	March	3/3 (for AA/AC and other admin titles)	3/6 (for Librarian titles)		3/6 (GC 2+yr Acceleration & FAS)					3/20 (non-LRF)
	April									

Appointments

	UCB	UCD	UCI	UCLA	UCR	UCSB	UCSC	UCSD	UCSF
Professorial									
Assistant Professors I - III	EVCP	Dean	EVC	Dean I-IV	EVC	Dean II -III	Dean	SVCAA	VCAA
Assistant Professors IV-VI	EVCP	VPAP	EVC	AVC	EVC	AVC	EVC	SVCAA	VCAA
Associate Professor	EVCP	VPAP	Chancellor	AVC	Chancellor	Chancellor	EVC	SVCAA	VCAA
Professor	EVCP	VPAP	Chancellor	AVC	Chancellor	Chancellor	EVC	SVCAA	VCAA

Title Abbreviation Key

UCB
EVCP = Executive Vice Chancellor & Provost
VC = refers to either VC-Research or EVCP, depending on the division of appointment.

UCD
VPAP = Vice Provost- Academic Personnel

UCI
EVC = Executive Vice Chancellor
AEVC=Associate Executive Vice Chancellor

UCR
EVC = Executive Vice Chancellor

UCLA
AVC = Academic Vice Chancellor

UCSB
AVC = Associate Vice Chancellor- Academic Personnel

UCSC
EVC = Executive Vice Chancellor

UCSD
SVCAA = Senior Vice Chancellor- Academic Affairs

UCSF
VCAA = Vice Chancellor-Academic Affairs

Professional Research

Assistant I - III	Dean	Dean	AEVC	Dean	Dean I - II	VCR	Dean	Dean	Dean
Assistant IV-VI	Dean	VPAP	AEVC	Dean	EVC	AVC	Dean	Dean	Dean
Associate	VC	VPAP	EVC	Dean	EVC	AVC	Dean	Dean	VCAA
Researcher	VC	VPAP	EVC	Dean	EVC	AVC	Dean I-V EVC VI-IX Chancellor AS	Dean	VCAA

Specialist

Assistant I - III	Dean	Dean	AEVC	Dean	Dean	VCR	Dean	Dean	Dean
Assistant IV-VI	Dean	VPAP	AEVC	Dean	Dean	AVC	Dean	Dean	Dean
Associate	VC	VPAP	AEVC	Dean	EVC	AVC	Dean	Dean	Dean
Specialist	VC	VPAP	AEVC	Dean	EVC	AVC	Dean I-V Chancellor AS	Dean	Dean

Other Series

Lecturer SOE	n/a	VPAP	Chancellor	Dean<=to Assoc I AVC >Assoc I	n/a	Chancellor	EVC	SVCAA	VCAA
Sr. Lecturer SOE	n/a	VPAP	Chancellor	AVC	n/a	Chancellor	EVC	SVCAA	VCAA
Academic Adm/Coor	EVCP	VPAP	AEVC	AVC	EVC	AVC	Dean AC EVC AA	SVCAA	Dean
Lecturer and Sr. Lecturer - Unit 18	Dean	Dean	AEVC		Dean	Dean	Dean	Dean	VCAA

Normal Merits

Professorial

Assistant Professor	EVCP	Dean	EVC	Dean II-IV	EVC	Dean	Dean II - IV EVC V - VI	Dean	VCAA
Associate Professor	EVCP	Dean	EVC	Dean	EVC	Dean	Dean II - III EVC IV - V	Dean	VCAA
Professor II - V	EVCP	Dean	EVC	Dean	EVC	Dean	Dean	Dean	VCAA
Professor VII - IX and Further AS	EVCP	VPAP	EVC	Dean VI-IX AVC FAS	EVC	AVC	EVC VII - IX Chancellor FAS	Dean VII-IX SVCAA FAS	VCAA

Professional Research

Asst Research	Dean	Dean	Dean	Dean	Dean	VCR	Dean	Dean	Dean
Associate Research	Dean	Dean	Dean	Dean	Dean	VCR	Dean	Dean	VCAA
Research II - V	Dean	Dean	Dean	Dean	Dean	VCR	Dean	Dean	VCAA
Research VII - IX	VC	VPAP	EVC	Dean	Dean	VCR	EVC	Dean	VCAA

Normal Merits
(cont)

	UCB	UCD	UCI	UCLA	UCR	UCSB	UCSC	UCSD	UCSF
Specialist									
Asst Specialist	Dean	Dean	AEVC	Dean	Dean	VCR	Dean	Dean	Dean
Associate Specialist	Dean	Dean	AEVC	Dean	Dean	VCR	Dean	Dean	Dean
Specialist II - III	Dean	Dean	AEVC	Dean	Dean	VCR	Dean	Dean	Dean
Specialist IV - V	VC	VPAP	AEVC	Dean	Dean	VCR	Dean	Dean	Dean
Other Series									
Lecturer SOE II - V	n/a	Dean	EVC	Dean	n/a	Dean	Dean	Dean	VCAA
Sr. Lecturers SOE II - IV	n/a	Dean	EVC	Dean	n/a	Dean	Dean	Dean	VCAA
Sr. Lecturer V and above	n/a	VPAP	EVC	Dean < =to Prof VI AVC	n/a	Dean	Dean V EVC	Dean	VCAA
Academic Adm/Coor	EVCP	VPAP	AEVC	Dean	Dean	AVC	Dean AC EVC AA	Dean	Dean
Lecturer - Unit 18	Dean		AEVC		Dean	Dean	Dean	Dean	VCAA

Promotion/Career Review

Professorial									
To Associate	EVCP	VPAP	Chancellor	AVC	Chancellor	Chancellor	Chancellor	SVCAA	VCAA
To Full	EVCP	VPAP	Chancellor	AVC	Chancellor	Chancellor	EVC	SVCAA	VCAA
To Prof VI and AS	EVCP	VPAP	EVC	AVC	EVC	Chancellor	EVC VI Chancellor AS	SVCAA	VCAA
Professional Research									
To Associate	VC	VPAP	EVC	Dean	EVC	AVC	Dean	Dean	VCAA
To Full	VC	VPAP	EVC	Dean	EVC	AVC	Dean	Dean	VCAA
To Res VI and AS	VC	VPAP	EVC	Dean	EVC	AVC	EVC VI Chancellor AS	Dean	VCAA
Specialist									
To Associate	VC	VPAP	AEVC	Dean	EVC	AVC	Dean	Dean	Dean
To Full	VC	VPAP	AEVC	Dean	EVC	AVC	Dean	Dean	Dean
To AS	VC	VPAP	AEVC	Dean	EVC	AVC	Chancellor	SVCAA	Dean
Other Series									
Lecturer SOE to Sr. Lecturer	n/a	VPAP	Chancellor	AVC	EVC	Chancellor	EVC	SVCAA	
Academic Adm/Coor	EVCP	VPAP	AEVC	AVC	EVC	AVC	Dean - AC EVC - AA	SVCAA	Dean

ADJUNCT SERIES, NON-SALARIED*: RATE OF AGREEMENT WITH DEPARTMENTAL PROPOSAL

RATE OF AGREEMENT
96/97 - 97/98 - 98/99 **98%**

	7/1/97				7/1/98				7/1/99			
	<u>GC</u>	<u>SOM</u>	<u>SIO</u>	<u>TOTAL</u>	<u>GC</u>	<u>SOM</u>	<u>SIO</u>	<u>TOTAL</u>	<u>GC</u>	<u>SOM</u>	<u>SIO</u>	<u>TOTAL</u>
<u>APPOINTMENTS</u>												
Total # reviewed	19	5	0	24	3	3	0	6	6	1	0	7
# Approved as Proposed	18	5		23	3	3		6	6	1		7
Rate of Agreement	95%	100%		96%	100%	100%		100%	100%	100%		100%
<u>PROMOTIONS</u>												
Total # reviewed	1	3	0	4	0	1	0	1	4	3	0	7
# Approved as Proposed	1	3		4		1		1	4	3		7
Rate of Agreement	100%	100%		100%		100%		100%	100%	100%		100%
<u>REAPPOINTMENTS</u>												
Total # reviewed	20	20	3	43	16	23	2	41	22	18	1	41
# Approved as Proposed	20	20	3	43	15	23	2	40	22	17	1	40
Rate of Agreement	100%	100%	100%	100%	94%	100%	100%	98%	100%	94%	100%	98%
<u>ALL ACTIONS</u>												
Total # Reviewed	41	28	3	72	19	27	2	48	32	22	1	55
# Approved as Proposed	40	28	3	71	18	27	2	47	32	21	1	54
Rate of Agreement	98%	100%	100%	99%	96%	100%	100%	98%	100%	95%	100%	98%

*Of the approximately 300 Adjunct Professors on campus, 160 (53%) are non-salaried.

The figures used for this report do not include ladder-rank faculty who hold joint non-salaried adjunct appointments.

**LADDER-RANK FACULTY - RATE OF AGREEMENT WITH DEPARTMENTAL PROPOSALS
OF APPOINTMENTS TO ASSISTANT PROFESSOR, STEPS I - III**

<u>96/97 - 97/98 - 98/99</u>	<u>Step I</u>	<u>Step II</u>	<u>Step III</u>	<u>TOTAL</u>	<u>PERCENT</u>
SVCAA					
Agreement	2	18	14	34	87%
Disagreement	3	1	1	5	13%
Appts Reviewed	5	19	15	39	
CAP					
Agreement	2	18	14	34	87%
Disagreement	3	1	1	5	13%
Appts Reviewed	5	19	15	39	
DEAN					
Agreement	5	18	15	38	97%
Disagreement	0	1	0	1	3%
Appts Reviewed	5	19	15	39	
DEAN-OGSR *					
Agreement	3	11	7	21	100%
Disagreement	0	0	0	0	0%
Appts Reviewed	3	11	7	21	
PROVOST					
Agreement	4	15	14	33	100%
Disagreement	0	0	0	0	0%
Appts Reviewed	4	15	14	33	

* Dean OGSR 1996/97 served as VCAA

**ALL PROFESSORIAL SERIES - RATE OF AGREEMENT WITH DEPARTMENTAL PROPOSALS
OF APPOINTMENTS TO ASSISTANT PROFESSOR, STEPS I - III ****

<u>96/97 - 97/98 - 98/99</u>	<u>TOTAL APPOINTMENTS REVIEWED</u>	<u>APPROVED AS PROPOSED</u>	<u>MODIFIED UP</u>	<u>MODIFIED DOWN</u>	<u>DISAPPROVED</u>
CAP	103	79 77%	10 10%	14 14%	0 0%
DEAN	85	82 96%	1 1%	2 2%	0 0%
DEAN OGSR	45	42 93%	2 4%	1 2%	0 0%
PROVOST	27	27 100%	0 0%	0 0%	0 0%

** Includes: Ladder-Rank, In Residence, Adjunct, Clinical X series

Ad Hoc Service Data

A-1. Who makes up the pool of nominees for Ad Hoc service?

Primarily Full Professors. Professors In-Residence, Professors of Clinical X and Research Scientists are utilized in cases when expertise from these series is appropriate.

Associate Profs are used on an exception basis.

A-2. How many nominations were made overall each year? (i.e. names provided by CAP to serve on an Ad Hoc).

1997	1549
1998	1673
1999	1592

A-3. Of the total nominations made each year, how many *unique* individuals does this represent?

1997	669
1998	681
1999	624

A-4. What percent of full LRF are nominated each year?

	Full LRF Annual Headcount	Full LRF Nominated	%
1997	585	409	69.9%
1998	605	449	74.2%
1999	648	435	67.1%

What percent of full In-Residence faculty are nominated each year?

	Full IR Annual Headcount	Full IR Nominated	%
1997	46	42	91.3%
1998	51	44	86.3%
1999	55	41	74.5%

What percent of full Clinical X faculty are nominated each year?

	Full Clin X Annual Headcount	Full Clin X Nominated	%
1997	22	14	63.6%
1998	20	12	60.0%
1999	23	18	78.3%

What percent of full Research Scientists are nominated each year?

	Full Res Sci Annual Headcount	Full Res Sci Nominated	%
1997	40	23	57.5%
1998	71	25	35.2%
1999	82	26	31.7%

A-5. How many individuals were nominated to serve only once? twice? 3 times? etc.?

	1997		1998		1999	
1x	273	40.8%	268	39.4%	249	39.9%
2x	160	23.9%	151	22.2%	128	20.5%
3x	107	16.0%	111	16.3%	99	15.9%
4x	70	10.5%	70	10.3%	60	9.6%
5x	29	4.3%	31	4.6%	37	5.9%
6x	12	1.8%	27	4.0%	24	3.8%
7x	9	1.3%	15	2.2%	8	1.3%
8x	7	1.0%	5	0.7%	11	1.8%
9x	1	0.1%	2	0.3%	6	1.0%
10x	1	0.1%	1	0.1%	1	0.2%
>10x	0	0.0%	0	0.0%	1	0.2%
Total	669		681		624	

A-6. Of all the nominations, how many accepted and how many declined?

	<u>Total Contacted</u>	<u>Accepted</u>	<u>% of Those Contacted</u>	<u>Declined</u>	<u>% of Those Contacted</u>
1997	1033	535	51.8%	498	48.2%
1998	1090	561	51.5%	529	48.5%
1999	1096	532	48.5%	564	51.5%