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Executive Summary

The Task Force on Faculty Reward System II offers a series of recommendations dealing with central issues of the faculty performance evaluation and remuneration process. The report covers five principal areas: evaluation of performance, review procedures, operational issues, salary issues, and communication of the reward system. A final matrix summarizes the overlapping responsibilities of different campus bodies for implementing the report’s recommendations.

Among the principal challenges addressed in the report is the improvement of the clarity and transparency of the reward system by coming to grips with questions of the documentation of departmental expectations and the preparation of review materials to focus on the core issues of effort and effectiveness across the gamut of faculty endeavor. Of particular note are the recommendations associated with formulation of standards capable of accommodating field evolution, emphasis on collaboration, and developments in publication venues and technologies.

The evaluation of contributions to diversity is examined in detail and suggestions for improving the evaluation of teaching are made. Service expectations of Research Scientists and scholarly contribution expectations of Health Sciences Clinical Professors are clarified and changes are suggested for parts of the Policy & Procedure Manual (PPM), including the rationalization of the crossover steps and their use. Operational questions are addressed in addition to those associated with evaluation and review. Notably, the Task Force provides recommendations on delegations of authority and on simplification and communication of the review process.

Perhaps the most dramatic issue confronted by the Task Force is the consideration of salary questions. Here there are recommendations to assist in the detection of potential salary inequities and in the mechanisms to assess them and then address validated inequities.

The underpinning theme of the report is that faculty performance and remuneration, while it can and should be statistically analyzed and measured in aggregate, is based on the assessment of individual outcomes, which can be highly nuanced and particular. This demands flexibility in determining outcomes based on the impact achieved within an identified academic peer group. It warrants continued reliance on the judgment of experienced faculty as the core of the review process. A number of the recommendations of the Task Force seek to streamline these aspects in order that participation from across campus can remain feasible. The strong variability among faculty demands that expectations and efforts be aligned, which can only be achieved through continued communication.

Taken as a whole, the Task Force recommendations are evolutionary and not revolutionary. But they do wrestle with the changes and challenges at UCSD in its research ascendency and fiscal insecurity.
# Table of Contents

1. **INTRODUCTION** .................................................................................................................. 1  
2. **EVALUATION OF FACULTY PERFORMANCE** .................................................................. 3  
   2.1 DEPARTMENTAL RESEARCH STANDARDS .................................................................... 3  
   2.2 COLLABORATIVE RESEARCH ......................................................................................... 4  
   2.3 GRANTS .............................................................................................................................. 5  
   2.4 TEACHING ......................................................................................................................... 5  
   2.5 SERVICE ............................................................................................................................ 6  
      2.5.1 Departmental service .................................................................................................. 7  
      2.5.2 Senate service ........................................................................................................... 7  
      2.5.3 Professional service .................................................................................................. 8  
      2.5.4 Outreach and community service ............................................................................ 8  
      2.5.5 Research Scientists and service .............................................................................. 8  
      2.5.6 Heavy-lifting service ............................................................................................... 9  
   2.6 CONTRIBUTIONS TO DIVERSITY ..................................................................................... 9  
3. **REVIEW PROCEDURES** .................................................................................................... 11  
   3.1 LECTURERS WITH SECURITY OF EMPLOYMENT ......................................................... 11  
      3.1.1 LSOE evaluation criteria ........................................................................................... 12  
   3.2 APPRAISAL DECISIONS FOR ASSISTANT PROFESSORS ........................................... 12  
      3.2.1 Possible appraisal ratings ......................................................................................... 12  
   3.3 CROSSOVER MERIT ADVANCEMENT .......................................................................... 13  
   3.4 GUIDELINES FOR ACCELERATED ADVANCEMENT ................................................... 14  
   3.5 HEALTH SCIENCE CLINICAL PROFESSORS ................................................................. 16  
   3.6 REVIEW OF FACULTY WITH LESS THAN FULL-TIME APPOINTMENTS .................. 17  
4. **OPERATIONAL ISSUES** ..................................................................................................... 18  
   4.1 SHORT-FORM REVIEW ..................................................................................................... 18  
   4.2 REVIEW OF FACULTY IN ORGANIZED RESEARCH UNITS ...................................... 18  
   4.3 LETTERS REQUIRED AT REVIEW FOR STEP VI .......................................................... 19  
   4.4 ABOVE SCALE RANK ...................................................................................................... 19  
   4.5 CAP DELEGATIONS AND WORKLOAD ......................................................................... 19  
      4.5.1 Delegations of authority ........................................................................................... 20  
      4.5.2 CAP operations ........................................................................................................ 21  
5. **SALARY ISSUES** ............................................................................................................... 22  
   5.1 SALARY EQUITY ............................................................................................................... 23  
      5.1.1 Identification of potential salary inequity ................................................................. 23  
      5.1.2 Gender and ethnicity factors .................................................................................... 26  
      5.1.3 Treatment of potential salary inequity ................................................................. 26  
   5.2 SALARY COMPRESSION ................................................................................................... 26  
   5.3 BONUS OFF-SCALE SALARY COMPONENTS ................................................................. 27  
   5.4 RETENTION AND PREEMPTIVE RETENTION ............................................................... 28  
6. **COMMUNICATION OF THE REWARD SYSTEM** ........................................................... 28  
7. **APPENDIX** ....................................................................................................................... 30  
   7.1 CHARGE LETTER .............................................................................................................. 30  
   7.2 ADDITIONAL CHARGE LETTER .................................................................................... 32  
   7.3 MEMBERSHIP HISTORY AND MEETINGS .................................................................... 33  
8. **RESPONSIBILITY MATRIX** ............................................................................................. 34
1 Introduction

The organizational purpose of a reward or compensation system is to foster behaviors in line with the organization’s own mission. Interpreting the Faculty Reward System through the lens of UCSD’s Mission Statement provides some structure to the consideration of the complexities and vagaries of the system as it has evolved and been implemented.

UCSD Mission Statement

UC San Diego is dedicated to the advancement of knowledge through excellence in education and research at the undergraduate, graduate, professional school and postdoctoral levels. The campus is committed to community engagement, public service and industry partnerships in order to advance the health and well-being of our region, state, nation and the world. Our academic community of world-renowned faculty, bright students and dedicated staff is characterized by a culture of interdisciplinary collaboration and innovation which spans the globe.

To foster the best possible working and learning environment, our university strives to maintain a climate of fairness, cooperation, and professionalism, which is embodied in our campus Principles of Community. UC San Diego embraces diversity, equity, and inclusion as essential ingredients of academic excellence in higher education.

This Task Force focuses on the world-renowned faculty epithet as its touchstone in comprehending the Faculty Reward System, since it is through its research-intensive character and international reputation that UCSD’s faculty contribute most strikingly to its stakeholders. Research performance at a notable level is a fundamental expectation, above all others, of faculty achievement. That being said, the mission statement identifies a range of endeavor and outcomes, and faculty should be judged on their overall contribution to these missions with some latitude for variability in emphasis and balance. The themes of this report are: flexibility, impact, and judgment.

Flexibility provides scope for academic pursuits across the gamut of intellectual endeavor appropriate to a top-tier research focused university. Likewise, it permits the adaptation of academic subjects and outcomes to accommodate a changing world and technologies in research dissemination and in teaching. UCSD benefits from diverse subject areas, approaches, and venues. A reward system needs to encourage experimentation, variation, and risk taking.

Impact is a measure of the effectiveness of intellectual activities, as attested to by the peer external group of researchers or creators through their citations, reference, or expansion of ideas. It provides a quality measure of the influence of ideas and developments underpinning research and other creative activities. Appreciation and adoption of new concepts by the peer group is the measure of impact, which in turn is taken as a measure of
creativity and innovation and the ability to communicate new ideas. Productive activities in teaching, service, or administrative areas similarly need to be judged by their effectiveness.

**Judgment** reflects the requirement that the assessment of impact and evaluation of performance require careful discernment and are not easily consigned to purely quantitative considerations. “There are eight million stories in the Naked City; this has been one of them.” – the closing line from The Naked City\(^1\) - might be taken as a closing line for the UCSD Committee on Academic Personnel’s (CAP’s) consideration of any individual case. Performance assessment in faculty review deals with the careful analysis and comprehension of levels of innovation and degrees of influence. Further, the study of the productivity of an individual needs to be deconvolved from and interpreted separately from that of collaborators where possible. By the same token, evaluation across evolving disciplines demands the distillation of key principles and measures corroborated by external peer review. This requires a level of insight attainable only by experienced individuals.

While the preceding paragraphs in principle support the current approach to evaluation, the Task Force sees considerable scope for improvement, clarification, and simplification of certain aspects of the process. This is mostly through the enhancement of guidance in information collection and provisions that might make the review process more effective, efficient, and transparent. The Task Force title incorporates the Faculty Reward System and the charge letter focuses on the review aspects of this system. Our approach will be to discuss neither the reward system nor the review process in gory platitudinous detail but rather to focus on areas where refinements in practice or process might bring improved outcomes, greater clarity and increased predictability to the recondite world of faculty evaluation. In this fashion we hope to improve the reward system in its ultimate objective of affecting behavior. To appropriate from the realm of world politics to the microcosm of faculty review in a time of financial exigency:

> I do not deny the value of hopes and dreams but we merely invite discouragement and incredulity by making that our only and immediate goal. Let us focus instead on a more practical, more attainable peace— based not on a sudden revolution in human nature but on a gradual evolution in human institutions—on a series of concrete actions and effective agreements which are in the interest of all concerned.

*John F. Kennedy, June 10, 1963.*

The report is structured according to the primary intended audience or outcomes. While the UCSD Policy & Procedure Manual (PPM) is reading *de rigueur* for all faculty, we choose to differentiate those parts of the report dealing solely with the amendment, replacement or addition of language to the PPM from those treating subjects concerned with the operational aspects of the review process. Particularly, we seek to draw together commentary on the evaluative part of the Faculty Reward System. The report itself will concentrate on the recommendations themselves without great attention to the forced construction of narrative connections between sections.

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\(^1\) The Naked City, a police drama television series set in Los Angeles, ran from 1958 to 1963, or so the youngsters on the Task Force were told.
2 Evaluation of faculty performance

2.1 Departmental research standards

Appropriate research performance criteria for appointment, advancement, and promotion evolve over time and assessments of this performance need to accommodate current practice. This can only be achieved with all levels of campus review having a common agreed standard, which ought to be initiated at the department level and be endorsed by subsequent reviewers. Likewise, it is important that these standards reflect external practice in the various fields, so that academic appointees at UCSD possess *vitae* which can be judged favorably by others with metrics appropriate to an internationally competitive research-oriented university. As technologies and practices in academic publishing change with time, it is important that the evaluation procedures for research and creative productivity also are modified. This should be reflected in the agreed standards.

**Recommendation 1**

Departments should develop guidelines for performance norms, expectations and evaluation methods in each category of research/creative activity, teaching, and service and characterize performance ranging from exceptional to adequate. These guidelines should calibrate departmental standards with national and international benchmarks for the disciplines. Once endorsed by the relevant dean and CAP, they should be available to faculty for their guidance. These guidelines should be explanatory and non-numerical and may treat different subfields separately. Further, these departmental guidelines should be examined and updated periodically.

These departmental standards are not intended to be numerical, but to capture the description of appropriate markers of impact and effectiveness of research and creative activities. How departments evaluate material in the various subsections of the biobibliography should be detailed, notably with reference to treatment of unpublished materials in Section C or the comparison between different types of publication venue. Departmental evaluative analyses of a candidate’s performance should refer to these descriptions.

The reliance on department-based assessments and interpretations of performance is central in the evaluation process, since it aids in appreciating particularly the research impact in specific domains and in understanding department teaching and service. At the campus level, by contrast, little value is gained by additional review by campus *ad hoc* committees, as is indicated by their evanescence from the review process at UCSD.
Recommendation 2
Departments need to provide as informed and calibrated a description of contributions as possible for each case referred to CAP. Ad hoc committees at the department level should be used. Where circumstances warrant it, the ad hoc committee may be the department as a whole. Campus ad hoc committees, on the other hand, provide little value to the review and are rarely warranted.

2.2 Collaborative research

The academic review process at UCSD concentrates on individual research performance, to an extent divorced from the milieu of its conduct and the context of its impact on and connections to the work of others on campus or elsewhere. This is particularly an issue in the evaluation of collaborative research and in understanding the team role and collaborative interactions of a faculty member. Traditionally, the focus has been on metrics of academic performance and influence appropriate to the assessment of a solitary individual researcher. Such a focus runs counter to a considerable proportion of modern investigation, where large teams conducting collaborative research are necessary for achieving the economies of scale for major advances. Funding agencies tend to foster this kind of research and the university risks diminished relevance and reduced impact in failing to accommodate the evaluation of researchers involved in such ventures. The evaluation process and the overarching reward system need to incorporate the assessment of members of large teams in addition to the historically familiar lone investigator. The central observations of the Task Force are that the reward system needs to recognize the validity of this endeavor and that the documentation also needs to address the requirements for such evaluation.

Large-scale collaborative research is an important driver of research and training outcomes at UCSD. Yet this creates difficulties for the evaluation of individuals. It is critical that efforts to document and describe activities focus on creative contributions and on performance norms for the field. Candidate and department narratives describing roles and contributions are important in forming this evaluation. UCSD needs to identify and reward its major contributors while assisting them in developing personal research portfolios that are appropriate to their rank and field and which are comparable to those of their professional peers. Departments also have a role to play in moderating the combined claims across collaborative teams and in identifying leadership roles. Non-independent letters should be considered as an aid to determining individual performance in teams at any review.

The principal area where the Task Force sees need for remedy is in the demonstration of independence of research, which has previously concentrated on the generation of significant single-authored papers or papers absent previous mentors. In the current environment, pursuit of this end could be counter-productive for the team, for the individual and, ultimately, the university. The Task Force resiles from the current practice and offers the following recommendations for the evaluation of performance within teams.
Recommendation 3
Mechanisms for the evaluation of individual contributions to collaborative research need to be developed and applied. These should include more narrative material describing specific intellectual leadership and might require the solicitation of additional non-independent letters in some cases.

For the promotion of Assistant-level appointees to the Associate-level (including to tenure), independent academic and intellectual leadership in the field needs to be demonstrated.

Recommendation 4
Demonstration of independence by Assistant-level faculty is not restricted to the publication of papers divorced from early career mentors and advisors or the garnering of sole-PI grants, particularly where the research or creative activity takes place in a large-scale collaborative team. However, where this traditional demonstration of independence is absent, more substantial documentation is needed to explain and support the case that the promotion is warranted. Such a case could require non-independent letters in addition to the usual complement of independent letters.

2.3 Grants

Recommendation 5
Grants should continue to be considered as part of faculty evaluation, since they provide calibration of research impact and capacity for research training. However, they are not a replacement for other evaluations of scholarly and creative output. In large teams, the expectation of grant success should be moderated based on role in the team.

2.4 Teaching

The evaluation of teaching is an area of great agreement. Everyone agrees that it is unreliable and inadequate. They also agree that there is no obvious alternative approach which would be cost-effective and reliable. There are, however, remedies which can be undertaken to ameliorate the problems – evaluation methods beyond CAPE and improvement of CAPE.

Recommendation 6
Methods of teaching evaluation beyond CAPE need to be developed and formalized as part of the evaluation process. At any review requiring CAP assessment, candidates should submit with their review file a teaching dossier providing curricular objectives, syllabi, and other relevant course materials. Departments should ensure that the breadth of educational activities is discussed in the review materials. The biobibliography pro forma document, and subsequently Academic Personnel On-Line, should be revised to improve
the provision of this information and to assist candidates in preparing a thorough teaching dossier.

**Recommendation 7**

A. The CAPE system of student evaluation should be maintained as a student-run operation. The Academic Senate should formally appoint a Faculty Advisory Committee to provide guidance and oversight of the CAPE operation. This committee should remain advisory. Its composition would be available on the Senate website and it would report to faculty annually.

B. The CAPE website should inform the students responding that the data collected will be used in the evaluation of faculty performance in addition to its being used as information for other students.

C. A wide range of questions should be developed for use in CAPE to ensure the suitability of the questions for the course and for the evaluation of faculty. Efforts should be made to ensure that the most appropriate CAPE forms are applied in each particular class. The Faculty Advisory Committee should be central in suggesting how this is achieved.

D. Methods should be explored to improve the response rate to the online CAPE. This might include early access to grades for students upon completing their CAPE evaluations. Such a change would require coordination between the CAPE operation and the administration.

E. The variability of CAPE scores and the disparity between in-class and on-line data collection, suggest that CAPE scores not be analyzed at a level of fineness inappropriate to their reliability. This becomes particularly important when teaching evaluations are a critical feature in career reviews and acceleration decisions.

**2.5 Service**

As one of the traditional “three legs of the stool,” service is an area of considerable variability in performance and in the understanding of expectations. Within the context of the Faculty Reward System, the presence of significant service at levels appropriate to the seniority of university appointment is an integral part of the evaluation of performance at review time. The demonstration of academic leadership on and off campus is concomitant with the development of research impact and visibility and forms part of the contribution of a faculty member to the overall mission of the university. In this regard, service is similar to research and teaching in terms of the need for documentation and evaluation for understanding the level of effort, effectiveness of this effort, and the impact achieved in support of the mission of the university.

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2 The maintenance of CAPE as a student-run operation was supported by a majority of Task Force members. A subset of the Task Force strongly preferred that the Academic Senate run CAPE.
An atlas of avenues for service can be identified and it is important that the most effective mix is chosen for each individual at a particular time. The absence of service of any kind, however, is not acceptable. Likewise, it is expected that the magnitude of and commitment to service activities will increase with seniority. Service expectations of Assistant-level appointees may be nominal as they build their research programs and their academic profiles to gain impact. Care should be exercised by departments so as not to overburden Assistant-level faculty with service duties and faculty should be made aware of this temporarily reduced expectation in service activity. As faculty grow in stature and visibility, it is expected that they demonstrate leadership including in service areas.

This Task Force believes that the evaluation of service is functioning well within the current system. However, there is need for improvement in documentation, which principally must occur within biobibliographies, and in articulation of expectations.

**Recommendation 8**

The documentation of service in the biobibliography should identify the level of effort applied and the effectiveness of the outcomes achieved. Department letters should provide clear explanation of achievements in and expectations of departmental and professional service.

### 2.5.1 Departmental service

The most common and probably most underreported area of faculty endeavor is in the conduct of departmental activities such as the administration of teaching, laboratories, staff and faculty evaluation, admissions, etc. Leadership roles abound and provide training and experience opportunities. These tasks need to be performed well and in a timely fashion. They are highly valued and important aspects of faculty duties and expectations. Department chairs should spread the assignments of departmental service fairly and include evaluation of effort and performance in each faculty member’s review file.

### 2.5.2 Senate service

The involvement of faculty in the orderly management of the university has benefits to both parties. Yet it is sometimes difficult to engage all faculty in significant service activities and there is a concern that too much of the workload falls to too few people, with the consequent reduction in the level of innovative thinking applied to core problem areas. Where the service workload is heavy, such as with CAP and, especially, the Division Senate Chair, it has proven problematic to find faculty who are both able and willing to undertake these duties.

Part of the difficulty in involving a sufficiently varied group of faculty in Senate service is unfamiliarity with the breadth and nature of the duties and with the associated networking benefits of committee service. Department chairs are in an ideal position to
observe and recommend individuals for Senate service as part of their own leadership role in fostering faculty development and effective campus operation.

**Recommendation 9**

Department chairs should be incorporated into the nomination process for UCSD Senate committee service. The Committee on Committees should develop mechanisms for the solicitation of nominees for Senate service from department chairs.

### 2.5.3 Professional service

The involvement of faculty in professional activities – in professional societies, for learned journals and academic publishing – is an important area of faculty growth and development. Leadership in such areas is advantageous to UCSD and to the faculty member involved. If undertaken at a suitably high level, such service can be an acceptable replacement for campus service.

### 2.5.4 Outreach and community service

The engagement of the larger community outside the university is important in maintaining the perceived value of a publically funded school in its local, state and national contexts. This interaction is part of the university’s mission and therefore efforts to improve this are valued in the faculty review process.

### 2.5.5 Research Scientists and service

The PPM 230-28.V.H states:

> Associate and Full Research Scientists are expected to engage in University and/or professional service, such as service on research review boards. Assistant Research Scientists are not required to participate in service activities.

This Task Force agrees with this provision and sees this as a requirement of value to the university and to the Research Scientists through their participation and engagement with their academic and professional environment.

**Recommendation 10**

The service requirement for Research Scientists should be maintained but should be modest, flexibly interpreted, and focused on the professional development of the individual. Consideration should be given to the constraints imposed on service efforts by their funding sources. The requirement could be discharged, for example, through involvement in professional service.
2.5.6 Heavy-lifting service

There are a number of demanding appointments whose service requirements are extraordinary in their intrusion on other duties and in their importance to the academic mission of the university. Some are associated with further remuneration from within or outside the university. These include: department chairs, chair of the Academic Senate, chairs of major Senate committees such as CAP, editors-in-chief, professional society leadership appointments, etc. The evaluation of each of these activities is nuanced and difficult.

Recommendation 11

The evaluation of major service commitments should proceed using the current mechanisms of review with understanding and a focus on the benefits accruing to the university reflecting effort, effectiveness, and alignment with the university’s mission.

This Task Force endorses the ongoing negotiations for substantive and predictable financial support for CAP members, CAP Chair, and Senate Chair as a means of ameliorating the impact on other duties and thereby ensuring the feasibility of these service commitments for the best-suited faculty.

Senior administrators with underlying substantive academic appointments – such as the Chancellor, Vice Chancellors, Associate Vice Chancellors, Deans, Associate Deans, etc – constitute a separate group from other faculty, since their evaluation and remuneration is largely the province of administrative review and their duties do not fit within the concept of service. However, because they can and do return to academic faculty duties, it is important that their background faculty appointment and concomitant reward status not fall into abeyance. During their tenure as administrators, these individuals should continue to be reviewed via the faculty review process at the appropriate time, in addition to their administrative review. Upon return to faculty academic duties, they may avail themselves of the salary equity review mechanisms identified in Subsection 5.1.

2.6 Contributions to diversity

The Task Force considered the normalization of contributions to diversity within review criteria and the associated documentation and analysis. It held discussions with systemwide and campus representatives involved in the formulation and development of policy in this arena. The following sequence of principles sets out a systematic approach to incorporate contributions to diversity into the three principal areas of evaluation of faculty at review. The Task Force is not in favor of creating a separate fourth “leg of the stool” to recognize contributions to diversity, since every activity needs to be weighed in terms of its contribution to the missions of the university and separating diversity contributions from the other legs weakens the connection.
1. The promotion of diversity along the axes of “race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, gender identity, socioeconomic status, and geographic region, and more,” is part of the mission of the University of California. Given this, faculty contributions to the promotion of diversity are rightly considered in the context of academic review. At the same time, there is no presumption that academic review is the only mechanism, or in every case the most appropriate mechanism, by which such contributions will be acknowledged and rewarded.

2. In the context of academic review, contributions to diversity should be understood as achievements in one (or more) of the established categories of research, teaching or service. It is important to ensure that activities in each of these areas receive appropriate credit.

3. Contributions to diversity in the category of research are assessed and weighted similarly to research achievements in non-diversity related areas. That research is focused on a diversity-related topic does not make it more nor less deserving of reward than research on other topics. Nor is such research the exclusive preserve of faculty whose primary field is the study of diversity. Research on access, professional practice and education (to mention only some possibilities) that bears on the topic of diversity should be acknowledged and credited regardless of the primary field of the researcher. In every case, the research in question must satisfy benchmarks of excellence as attested to by peer assessment appropriate to the field. The appropriate peer group should evaluate all research. For diversity-related research, because the impact of the research might occur outside the nominal field, the appropriateness or possible plurality of the peer group needs to be examined in the development of such an assessment to ensure that experts competent to evaluate the impact of the research are consulted.

4. Collateral impact of research more widely than the immediate peer group, such as social, political or industrial outcomes, is part of the evaluation process but does not form part of the strict research assessment. Rather, it constitutes a part of the evaluation akin to outreach or service, which if performed with energy and demonstrable outcomes should form part of the overall performance assessment.

5. Contributions to diversity in the category of teaching are contributions that go beyond normal expectations of excellent teaching. Merely teaching courses that have diversity content, especially when those courses are part of one’s standard teaching repertoire, does not in and of itself represent a contribution deserving of extra recognition. Such recognition may be deserved for: the design of programs and teaching methods that help to attract and retain a diverse student population; the effective mentoring of students in support of maintaining a diverse student population; the design of curricula that enrich the university’s course offerings in the areas of diversity, equity, and inclusiveness.

6. Contributions to diversity in the category of service can take a wide variety of forms that impact the UCSD campus, professional institutions or the larger community. In every case there should be clear evidence that the activity in
question has contributed to the mission of the university through the promotion of diversity, access, opportunity, or equity.

7. Contributions to diversity, including those in the category of service, are distinct from other campus and professional service efforts and are important enough to the university’s mission to warrant separate annotation in academic review documents and in letters of invitation for references. There is no express or implied expectation that this be an area of endeavor required of all faculty members. Nor is there any implied devaluation of other areas of engagement with the wider community.

8. It is recommended that the Academic Personnel On-Line system (and, in the interim, the biobibliography document) provide separate space for and call for an optional narrative explanation of contributions to diversity, putting the activities in context and providing measures of effort and impact. This should be in addition to the call for information on campus service, teaching, and research. Guidance and an electronic link to suitable examples could be provided.

9. Where appropriate and in line with other aspects of faculty endeavor, campus reviewers should provide in their letters commentary on contributions to diversity and wider areas of impact of faculty activities. This should foster awareness by the faculty of the importance of this impact on the University’s mission.

**Recommendation 12**

The Task Force recommends that the PPM be modified to reflect this sequence of principles, so as to provide a systematic approach to the evaluation of contributions to diversity. If possible, examples of best practice might also be collected over time as an addendum to policy.

### 3 Review procedures

The Task Force considered many aspects of the review process, largely embodied in the UCSD PPM and in the evolved practices associated with the operation and implementation of the PPM. Combined, these form the meat of the review process. Our approach is to address only those issues of concern and areas identified for improvement and not to attempt to encapsulate or summarize the entire system. As a result, the following set of recommendations and observations remains a disjoint accretion of items without attendant connective but ultimately immaterial prose.

#### 3.1 Lecturers with security of employment

**Recommendation 13**

The use of a working title for Lecturers with Security of Employment of *Teaching Professor* (or equivalent) has the strong support of the Task Force and should be investigated for campus reaction. Senior Lecturers with Security of
Employment who advance past the top of their salary range should be accorded the title *Distinguished*.

In the PPM, the existing LSOE performance criterion of “educational leadership recognized beyond the campus” ought to be replaced by professional achievement and activity recognized beyond the campus as clarified below. Further, in addition to the use of external letters to evaluate external perceptions of performance, the PPM should be amended to admit the use of internal UCSD letters as a tool to assist the effective evaluation of LSOEs’ contributions to pedagogy on campus.

The following draft evaluation criteria - based on PPM 230-20 VII.A.7.c and 230-28 V.F – are proposed. These criteria should be numbered in the following order and there must be evidence that all four criteria are met.

### 3.1.1 LSOE evaluation criteria

1. Teaching of truly exceptional quality;
2. Educational leadership and contributions to instruction-related activities (e.g., conducting TA training, supervision of student affairs, development of instructional materials/multimedia, teaching innovations that enhance student learning);
3. Professional achievement and activity recognized beyond the campus; an appointee in the LSOE series is expected to engage in scholarly activity in the discipline or in the pedagogy of the discipline;
4. University and public service.

**Recommendation 14**

The criteria for appointment and advancement in the LSOE series in PPM 230-20 and PPM 230-28 should be modified accordingly.

### 3.2 Appraisal decisions for Assistant Professors

**Recommendation 15**

The nomenclature of the Appraisal decisions for Assistant Professors should be altered to be numerical, one through four with one being the highest, and a corresponding paragraph, as in PPM 230-28 VII.D.5, explaining the meaning of the assessment. The terminology “favorable,” “favorable with reservations,” “problematic,” and “unfavorable” should be dropped, since they inadequately capture the nuances of the assessment.

### 3.2.1 Possible appraisal ratings

1. Promotion is likely, contingent on maintaining the current trajectory of excellence and on appropriate external validation.
2. Promotion is likely, if identified weaknesses or imbalances in the record are corrected.

3. Promotion is possible if substantial deficiencies in the present record are remedied.

4. Substantial deficiencies are present; promotion is unlikely.

In addition to the current generic explanatory paragraph from the PPM, the appraisal should specify the weaknesses, deficiencies, or imbalances. Examples could be: contingent on the publication of a book with a sufficiently reputable press; contingent on significant success with competitive grants; the successful publication of material in Section C of the biobibliography; the successful demonstration of teaching outcomes; etc. This continues current practice.

Given the current success rate of Assistant Professor appointments and the negative connotation of any but the top appraisal ranking, CAP could be encouraged to use Category 1 more liberally.

3.3 Crossover merit advancement

Crossover steps – Assistant Levels V or VI and Associate Levels IV or V – are countenanced in PPM 230-28 X.A.1 as to “be used in exceptional situations and with proper justification.” By the same token, service at these steps “may be in lieu of” [emphasis added] service at the roughly parallel steps in the Associate and Full ranks. At present, there is a barrier to the use of crossover steps as follows:

Advancement to a crossover step is recommended when a file contains evidence demonstrating that the appointee is making timely progress on the kind of substantial research and creative projects that are likely, when completed, to justify promotion.

Recommendation 16
The use of the term “crossover steps” should be discontinued and the requirement of identifying material in progress, which, when completed, would be likely to justify promotion, should be removed.

Advancement to the steps currently referred to as “crossover steps” should be treated similarly to advancement to any other step and based on performance during the review period. Sufficient evidence of scholarly accomplishments needs to be presented and made available for review in all cases. As for all merit cases, the department needs to analyze the case in terms of departmental productivity norms in all review areas. Readiness for promotion is distinct from advancement.

In line with this normalization, the Task Force recommends the following.
**Recommendation 17**

Advancement to the steps currently referred to as “crossover steps” should be at the dean’s authority, as with other regular, i.e. non-career-review, merit advancements. The treatment of disputes, recommendations for acceleration, or other deviations from normal merit consideration should trigger the involvement of CAP.

Review for tenure or promotion after service at Assistant Levels V or VI or Associate Levels IV or V need not require proposing the candidate for advancement to the next higher salary-equivalent level of the following rank. Where appropriate, particularly taking into account the time available for demonstration of sustained productivity required for subsequent promotion, advancement to the earlier steps of the new rank can be appropriate. This conforms to the language of the current PPM. The target step should be made explicit and justified in the case. Salary questions are distinct from those of rank and step and should form a separate part of the case for consideration for advancement.

**3.4 Guidelines for Accelerated Advancement**

Accelerated advancements (or simply accelerations) are carefully defined in PPM 230-28 VII.B.4. Accelerations are an important part of the Faculty Reward System in recognizing and recompensing extraordinary performance over a sustained period. Thus, they are critical in the retention and reward system. By the same argument, because accelerations differentiate between good and exceptional performance, they are effective only if they are carefully managed to respect the degree of difficulty and creativity in their achievement. Acceleration is focused on performance within the step and rank system. It is an inappropriate mechanism to deal with issues purely associated with salary.

**Recommendation 18**

This Task Force recommends that the language of the PPM be strengthened in this area of accelerated advancements to provide greater clarity while avoiding the temptation to become overly numerical.

These recommendations are consistent with the overall tenor of this report that improved guidance and clarity be provided to all candidates and reviewers while preserving the important reliance on human judgment of performance and impact.

**Current PPM 230-28 language**

Accelerations should be used to reward extraordinary contributions in research and creative activity, teaching, or other scholarly and educational contributions, or for recalibration purposes at career reviews. The Senate Committee on Academic Personnel discourages one-year accelerations unless there are extraordinary reasons for them. Further, acceleration cases should not be proposed if there is a weakness in the appointee’s performance in any area of responsibility specified in the review criteria.
It should be noted that acceleration requires demonstration of unusual achievement and exceptional promise of continued growth. The degree of achievement required for acceleration is greater than that expected for normal advancement; the character of achievement required for acceleration is identical to that expected for normal advancement. The departmental recommendation letter should state that the advancement is accelerated, and the academic review file must be documented accordingly. A departmental recommendation letter proposing accelerated advancement must include a statement describing the department standards for a normal advancement to the same rank and step.

The departmental recommendation letter must specifically describe the impact on the discipline of the work that is being used as a justification for acceleration. Acceleration proposed on the grounds of unpublished work or work that has not yet been evaluated by a scholarly public is not appropriate. An acceleration proposal based primarily on the quality and quantity of contributions other than research and other creative activity must contain documentation and evidence of these extraordinary achievements.

Suggested new language

Accelerations should be used to reward performance at an exceptional level over a sustained period. Exceptional performance is defined as work that significantly exceeds the normal departmental expectations in one or more of the areas of review: research and other creative activities, teaching, professional competence and activities, and university and public service. In addition, the candidate for acceleration must meet the departmental criteria for advancement in every area of review. An acceleration case based on exceptional productivity in research or creative activities must be documented with evidence of contribution and impact using norms appropriate to the research field. An acceleration proposal based primarily on the quality and quantity of contributions other than research and creative activity must contain documentation and evidence of these extraordinary achievements and of their impact characterizing their exceptional nature of effort and outcomes. Any campus reviewer may propose acceleration and all subsequent campus reviewers must provide comment on this proposal with regard to their compliance with these acceleration criteria. Where a candidate requests to be considered for acceleration, this must be addressed in the departmental recommendation letter.

Acceleration proposals should address the department standards for normal merit advancement and articulate the grounds for acceleration beyond simple numerical tabulation of papers and citations; for example, in research and creative activities by describing the special impact of research, the quality of publications, the awarding of prizes or election to national or international learned academies. For acceleration proposals relying primarily on exceptional performance in teaching or service, documentation providing evidence substantiating the extraordinary nature of the achievements and their impact is needed; for example, the awarding of prizes, exceptional service of significant duration and/or importance, professional recognition of contributions. The acceleration proposal must also address the performance in all areas of review.
for normal merit advancement. In parallel with normal merit advancement progress, the criteria for both good and exceptional performance become more stringent with rank and step.

Normally, the activities considered for acceleration pertain to the complete review period only. Acceleration proposals occurring before the time for normal merit review are discouraged unless extraordinary circumstances, such as the awarding of a major prize or retention, warrant their consideration. Accelerations may be proposed as part of a case for recalibration of rank and step at the time of career review – tenure, promotion, Step VI. In special circumstances, acceleration may also be proposed at normal merit review time based on the cumulative performance maintained over a period of two or more review cycles (including the current cycle) in which normal merit advancements have been earned but for which the case can be made that the sustained and cumulative performance significantly exceeds the norm expected and that an acceleration is warranted. Such a case requires documentation of activity and impact spanning the expanded review period and must contain evidence supporting the case for acceleration. The previous awarding of bonus off-scale salary increments is immaterial to the consideration of any acceleration proposal.

Acceleration proposals should not be made if there is any evident weakness in the case. Acceleration proposals based on unpublished work or work yet to be evaluated by scholarly review are inappropriate. Acceleration is an inappropriate mechanism to address purely salary-related issues.

3.5 Health Science Clinical Professors

PPM 230-28 Supplement II details the requirements for scholarly or creative accomplishments associated with review. These requirements were added in 2008 and have been contentious since their first discussion. While some view the requirements as an unfunded mandate on already fully occupied people, others see them as an opportunity to improve engagement and participation in the academic world. A survey of School of Medicine departments was recently conducted via the Health Sciences Faculty Council and, while opinions were still divided, the feelings were less polarized and more in favor of maintaining the requirement. This Task Force agrees.

Recommendation 19

There should continue to be a requirement for Health Sciences Clinical Faculty to perform some scholarly or creative activity in order to receive merit advancement. This requirement should be kept modest and be interpreted flexibly. The departments should determine the explicit requirements for advancement in this series and this should be respected by the School of Medicine Committee on Academic Personnel.

The scholarly or creative activities should include the production of assessable materials. The requirement could be accommodated by contributions to teaching in a creative
fashion, such as through curriculum development, the development of instructional materials, or teaching innovations that enhance learning; such efforts would need to be documented and the methodology promulgated.

### 3.6 Review of faculty with less than full-time appointments

There is a conundrum in the stated UC policy for treatment of part-time appointees. Standards of expected achievement for productivity in research and creative activities are cumulative standards at each of the ranks and steps, cf. Professor, Step VI, promotion, and tenure, i.e. at career review. It is difficult to pro-rate these cumulative expectations of achievement in line with part-time activity. This appears to conflict with the requirements of the systemwide Academic Personnel Manual (APM), since cumulative standards suggest that progress on the salary scales could be slower for part-time than for full-time appointees, which is at odds with the language in APM 220. There is no difficulty with pro-rated teaching and service outcomes. The required quality of achievements in research/creative activities, teaching, and service is not diminished by part-time duties.

**Recommendation 20**

Cumulative productivity standards should be adopted for research and creative activities at merit review, since impact must be achieved in the discipline. This will likely affect progress on the step scales for part-time faculty compared to their full-time colleagues. Particularly at career review, expectations of research achievement and impact are applied which affect the reputation and outcomes of the university as a whole. An expectation of progress along the step system at normal pace while producing at pro-rated normal rates for part-time duties is inconsistent with criteria applied at these steps. Multi-period review should be permitted (and is recommended elsewhere in this report) so that part-time faculty can receive merit advancement at a rate commensurate with their fractional appointment.

**Recommendation 21**

Care should be exercised in the admission of appointees to part-time positions and expectations of progress rates in advancement be documented at the outset of the appointment.

We note that existing family accommodations akin to fractional appointments, such as parental leave, Active Service-Modified Duties (ASMD), and tenure clock extensions, can imply – sometimes expressly – that progress in advancement will be slower. It is necessary to strike the right balance between capacity to be productive and the need to conform to academic norms in step and rank. Concrete mechanisms for tracking leaves and other aspects of employment in developing an appreciation of factors in an individual’s progress are discussed in Subsection 5.1.1.1.
4 Operational issues

4.1 Short-form review

A number of University of California campuses, notably UCLA, have adopted a short-form review document, which can be applied for deans’ authority review cases. A balance needs to be struck between the provision of sufficient detailed performance information for accurate review and the burdening of the candidate and reviewers with unnecessarily detailed documentation.

**Recommendation 22**

The Task Force is in favor of simplifying the documentation required at review time, so that a short-form review document, similar to that from UCLA, might be used for routine reviews, e.g. single-step non-career advancements.

The Task Force is aware of the apparent tension between this recommendation and its other recommendations for improved narrative content and detail in review files. However, the emphasis is to focus on the critical indicators of performance and the achievement of outcomes through specific application, rather than the compilation of a compendium of undifferentiated material. Identification and explication of areas of significant effort and achievement is the prime aim. Should referral to CAP prove necessary due, say, to dispute, a fully documented file would need to be generated.

4.2 Review of faculty in Organized Research Units

There has been some concern over the effectiveness of the procedure for handling the review of faculty associated entirely with Organized Research Units (ORUs). The Office of Research Affairs (ORA) currently enters the review process twice; once in an advisory capacity during file preparation and then again as the final authority determining the outcome. This is a convoluted and perhaps conflicted process, which is exacerbated by the ORU Directors and their staff not necessarily being highly experienced in academic file preparation because of the size of the ORU. This may be contrasted with departments and divisions, where the level of experience and capacity for guidance is typically greater and could provide access to area-specific experienced assistance in file generation.

**Recommendation 23**

The review files of non-FTE faculty members should pass directly from their department or ORU to the respective dean and onwards before being sent to ORA for final determination. Where the ORU or the candidate feels that benefits exist, an appropriate department may be approached for assistance in file preparation.
4.3 Letters required at review for Step VI

In many cases of advancement to Professor, Step VI, the provision of external letters is seen as very much pro forma rather than as adding a distinct dimension to the analysis. This adds work with very little benefit, notably in cases where the advancement is judged by the department to be self-evident.

This Task Force reaffirms the criteria for advancement to Professor, Step VI but makes the following recommendation.

**Recommendation 24**

External letters should no longer be required for proposed advancements to Professor, Step VI, where the department is capable of mounting a case which curates the evidence of nationally or internationally recognized highly distinguished scholarship, highly meritorious service, and excellent University teaching. Departments can choose to request external letters if they consider them necessary to demonstrate the impact and quality of the scholarship. Subsequent campus reviewers can also instruct the department to seek external letters.

4.4 Above Scale rank

**Recommendation 25**

The adjective *Distinguished* should be attached to appointments at or promotion to Above Scale. In particular, this nomenclature should pertain in the PPM.

The Task Force considered the revision or augmentation of the language in PPM 230-28 associated with merit advancements at the Above Scale level and declined to make any modification or clarification, since the existing language captures the central issues and the variability of cases from different disciplines militates against further precision for fear of constraining the dependence of decision-making on academic judgment.

4.5 CAP delegations and workload

The UCSD Committee on Academic Personnel is the confluence or choke point for all major Ladder-Rank or Ladder-Rank-equivalent faculty reviews and appointments. Its workload is heavy and CAP brings extraordinary value to the review process in providing its academic judgment on the cases brought before them. CAP is the final advisory body before the final authority of Executive Vice Chancellor or other relevant Vice Chancellor. We have commented earlier on the evaluation and support of these service roles. Now the Task Force proposes some modifications to the operational aspects of CAP to improve its efficiency and thereby its effectiveness and attraction for the high-performance faculty who otherwise might not feasibly serve on CAP. This latter inhibition is currently most keenly felt in the Health Sciences and affects particularly non-state-supported faculty.
4.5.1 Delegations of authority

Appointment and retention of highly marketable faculty is a vital activity of a competitive research university such as UCSD and any possible impediment to its smooth operation needs to be well managed. This requires the operation of CAP in tandem with the departments to achieve agility and flexibility in these areas.

The consideration of salary matters by CAPs is variable across the UC System. The Task Force considered whether there is value in having the UCSD CAP maintain its recommendations on salary and supports the existing process. However, improvements were identified to smooth the interactions between CAP and departments in dealing with the market off-scale (MOS) salary aspects of cases, notably appointments, to minimize response times.

There are already in place standard MOS salary levels for Assistant I and II appointments negotiated between departments and the Executive Vice-Chancellor with advice from CAP and based on available market data. Not all departments participate in this preparatory part of the appointment process. Wherever appropriate, these arrangements should be established routinely by all departments to facilitate the appointment process.

There is also considerable experience in responding to outside salary offers in appointment and retention cases via MOS setting. In the absence of written outside competitive offers from comparable institutions, matters are more difficult and it behooves the department to develop a substantive market-based case for a specific MOS. Such arguments need to emphasize the market aspects used in determining the suggested MOS and, specifically, need to avoid equity and cost-of-living arguments. Such market information might include information regarding comparable hires at comparable institutions and national norms documented by professional groups. The assessment of comparability, though, is an academic one. For its part, CAP needs to recognize the chiefly anecdotal and fluid nature of market assessments and seek a common understanding with departments of acceptable MOS determination criteria.

Recommendation 26
CAP should continue to recommend on salary actions in its deliberations and to work actively with departments and deans in developing effective approaches to documentation and consideration of market factors in determining salary.

Recommendation 27
The following faculty evaluation cases should be delegated from CAP to the relevant dean or equivalent authority.

A. Appointments at the Assistant I or Assistant II level in any series with market off-scale salary components within the standard negotiated level for the department for these levels or within 15% of the scale salary.
B. Awarding a bonus off-scale salary component in conjunction with standard merit advancement, whether one-step or no-change.
C. Resetting market off-scale salary components.
D. The standard merit review of department chairs, as is the case for other faculty.
E. Endowed chair reappointments.

Contentious or appealed cases of these delegated actions will come to CAP for adjudication.

Further Above Scale merits at the A or B level should not be delegated to the dean. They are critical in informing CAP of the achievable standards for advancement to Above Scale.

4.5.2 CAP operations

Recommendation 28
CAP should adopt a Consent Agenda expanding its earlier Standard OK designation to include files which the CAP chair deems appropriate for rapid review by a small subset of CAP members and then not discussed further at the CAP meeting. CAP members should have the capacity to recommend to the CAP chair that items be placed on or removed from the Consent Agenda.

The following actions could be placed automatically on the Consent Agenda:
• Series change appointments at the Assistant rank in the Health Sciences;
• Specific series change appointments at any rank in the Health Sciences: from Professor in Residence to Professor (Ladder-Rank), from Adjunct Professor to Professor in Residence, from Adjunct Professor to Professor (Ladder-Rank);
• Retentions and preemptive retentions.

It should be standard practice that the chair identifies those files which might be read by a subset of CAP members prior to discussion. Similarly, files requiring close reading by all members should be flagged as early as is practical. The CAP chair should seek out and use software to assist in the balancing of workloads, in formation of teams of members to read specific files, and in the communication of these decisions to the members. This same software could provide the capacity for members to place items on the Consent Agenda or to flag their objection.

Recommendation 29
Consistent with current practice, CAP members should be invited by Committee on Committees annually to serve. The nominal or expected duration of service is two years. Service for a third year should be routinely permissible.
5 Salary issues

Clearly the Faculty Rewards System cannot be divorced from the consideration of salary, although the presence at UC of the rather unique rank and step system without upper limit does recognize the reward value of intangible peer recognitions in intellectual endeavors or, as one Task Force wag puts it, *gold stars versus gold bars*. The Task Force spent a considerable time on matters of salary determination, because of its centrality to the reward process and the variability across campus.

Remuneration of UCSD general campus faculty is largely composed of the following components.

- Scale salary related to the published faculty salary scales and gradated by rank, step and division.
- Market off-scale (MOS) salary, which reflects documentation of market factors by discipline or by individual. MOS is normally determined at appointment time, often at the Assistant levels using pre-negotiated starting salaries by department and/or discipline, or as a factor in retention or preemptive retention cases. It is notable for being *covered compensation* under the UC Retirement Plan (UCRP) and is currently funded by unfilled faculty positions. MOS is reviewed every six years, but usually is renewed.
- Bonus off-scale (BOS) salary components, which are awarded as a half-step salary increase normally for one review period but currently subject to arcane tapering rules in the case of subsequent no-change merit review or cost-of-living adjustments.
- Summer salary normally paid from external sources for up to three months over summer.
- Stipends for specific administrative duties and tasks, such as department chair.

Within one department, there can be a large variation between faculty at the same rank and step, mostly due to the presence of significant MOS components. Similarly, there can be a large variability in the rate of progress through the rank and step system. Since performance varies greatly, there are many possible reasons for salary disparity. But there is also some evidence of salary inequity, where similarly performing and marketable individuals within the one discipline are compensated markedly differently without apparent justification.

This Task Force takes the high variability of salaries as a part of modern academic life in a competitive research-focused university. Likewise, it recognizes that (particularly in times of economic stricture) wholesale addressing of salary problems is almost a zero-sum game. However, it is important to call out problem areas and to identify routes to redress inequities.
5.1 Salary equity

The recent report commissioned by the systemwide University of California Committee on Affirmative Action & Diversity, “Analysis of UC Pay Equity by Sex and, among Men, by Ethnicity” by Pauline Yahr (UCI), considers potential salary inequities within the UC system associated with gender and ethnicity. The question of salary inequity is a broader one, which lacks both a mechanism for identification of a potential inequity and a process for addressing the inequity if it is established to exist and to warrant amendment. The Task Force has been charged in an amendment to its original charter to consider such questions.

The variability of salaries within ranks and steps and between disciplines is an outcome of the market-based competitive environment in which UCSD operates. This is attested to by the recent Joint Senate-Administration Task Force on Faculty Salaries report (February 2012), which quantified the prevalence and level of market off-scale salaries in the UC System. The Task Force on Faculty Reward System II does not take a stand with regard to this variability of salaries per se, since the variations can reflect many disparate factors apart from productivity. That being said, this Task Force is aware that salary inequity might be present, where two individuals in the same department or division and of comparable productivity and marketability are paid substantially different salaries while being in equivalent ranks and steps or separated by accelerations granted one and not the other.

5.1.1 Identification of potential salary inequity

The Task Force recommends that routine periodic statistical analyses of faculty salary data be used as a method to identify prima facie evidence of potential salary inequity, particularly among groups identifiable by gender or ethnicity. Where available, quantitative analysis of comparable individuals at peer institutions might also be admissible evidence of inequity. This identification of potential salary inequity may be initiated at the candidate or department level.

The Task Force is aware of a number of purely quantitative statistical analyses of salary, based exclusively on the passage of time since highest degree and since appointment to UCSD. This was the basis for the Yahr UCAAD study. Examination of such aggregative analyses was found wanting as a sole indicator of salary inequity in individual cases. Informed evaluation of the specific factors in individual cases proved necessary in assessing productivity and likely cause for deviation from statistical norms. Accordingly, the Task Force sees value in providing to department chairs and deans tools to aid the detection of potential salary inequity for individuals within a department, as opposed to wholesale corrections based on statistical analyses alone.

The Task Force saw value in two such tools; a time or event line history of individual candidates, and a plot indicating MOS component level, if any, versus time progress through the rank and step system. These will be outlined separately below.
5.1.1.1 Time and event line

Recommendation 30
A standardized and complete employment history at UCSD should be provided for each faculty member at review time. This should indicate the following information or events versus an evolving time line.

- Rank, step, total salary, and MOS/BOS components,
- Review times and outcomes,
- Acceleration or no-change reviews highlighted,
- Retention or preemptive retention events and outcomes,
- Leaves of absence, sabbatical leaves, ASMD provisions.

Department chairs and deans should be provided annually with the complete set of time and event lines for faculty within their purview.

As with other summary review materials, such as teaching scores, current and pending grant applications, etc, this material should be centrally produced and made available to the candidate for correction of factual errors. The time interval covered could be the entire time since appointment at UCSD or up to twenty years, depending on the accessibility of records and feasibility of production.

5.1.1.2 Rank progress charts

Under the supposition that the detailed judgment-focused academic review process is unbiased, the Task Force proposes using the progress rate through the rank and step system as an indicator of cumulative performance. Accordingly, the Task Force developed a chart indicating on the vertical (ordinate) axis the prevailing MOS component by individual versus the rank progress minus temporal progress on the horizontal (abscissa) axis. An example is presented below in Figure 1.
The temporal progress is computed based on years since faculty appointment at UCSD. The rank progress converts the difference in rank between starting time and current time and attributes two years for steps at Assistant and Associate I-III levels and three years for steps beyond this. It has no evident meaning Above Scale. The difference between the rank-progress and temporal-progress values gives a measure of a candidate’s progress relative to the standard of normal merit advancement. A positive value indicates the candidate is progressing more quickly than normal through the rank-step system; a negative value that a candidate is progressing more slowly than normal. Variants of this formula could be envisaged to accommodate leaves of absence etc. The graphical data would be accompanied by tabular data for department chairs and deans identifying all department members. The plot would be provided to each faculty member highlighting his or her own symbol, as is currently done with teaching scores.

The primary purpose of these charts and tables is to facilitate the detection of potential salary inequity, which could subsequently be addressed.

**Recommendation 31**

Departmental rank progress charts should be provided with tabulated data to department chairs and deans annually. Individualized departmental charts should be generated automatically and provided to candidates at review time.

The salary equity examination could be initiated at any level of the review process.
5.1.2 Gender and ethnicity factors

The routine statistical analyses identified above should be conducted to determine whether specific gender and/or ethnic faculty groups appear to have been disadvantaged in salary. Further, the level of disadvantage should be quantified at a level of statistical significance. This could lead to the identification of classes of individuals requiring more thorough examination. There is a likelihood, however, that the numbers are too low to yield a statistically meaningful evaluation. In this case, the process of identifying individuals as potentially inequitably paid should be applied, where it flags these people for consideration.

The Task Force recognizes that the mechanisms to identify and remedy salary inequity are blind to gender and ethnicity. There is no guarantee that such mechanisms will resolve or ameliorate any apparent systematic disparity.

5.1.3 Treatment of potential salary inequity

Recommendation 32
The Task Force recommends that the evaluation of potential salary inequity involve campus review of the evidence and academic record. Specifically, the Task Force abjures the development of a purely formulaic approach divorced from the review system based on academic judgment.

Recommendation 33
The Task Force sees value in expanding the existing Career Equity Review process, currently limited to questions of rank and step, to consider simultaneously or solely quantitative matters of salary, including the level of market off-scale salary. Once resolved and absent further compelling evidence, consideration for equity-based salary adjustment should not be entertained before the passage of six years or at career review.

In this fashion, the normal review process of department, dean, and CAP would be invoked. Salary inequities could be resolved through increase of the MOS component or modification to rank and step. Current limitations on repeated consideration for Career Equity Reviews would apply, as appropriate, to reconsideration on the basis of salary equity concerns alone.

5.2 Salary compression

Salary equity discussed above deals solely with salaries at comparable ranks and steps. A separate, and perhaps greater, issue in some disciplines is the disparity between salaries of faculty at more senior levels compared with those of more recently appointed junior members. This is most evident where the market off-scale salary components have been growing rapidly, leaving, say, Assistant-level appointees who have reached the Associate steps at a comparative disadvantage versus new Assistant-level appointees who can
command salaries in the more competitive market. Some instances of salary compression can be addressed by the preemptive retention scheme or retention packages. But these tend to be ad hoc and, in the case of retentions, unwisely risky in forcing highly marketable faculty to seek firm external offers.

Salary compression and the so-called *loyalty tax* – the tendency of quietly achieving, long-term UCSD employees to earn lower salaries than newcomers or those audacious enough to seek retention offers – are manifestations of the failure of state funding to keep pace with the needs of competitive base-salary scales. The Joint Senate-Administration Faculty Salaries Task Force report quantifies in broad brushstrokes the salary lag between the UC System and the eight comparison campuses. The disparity between UC and the private institutions is particularly stark and reflective of UCSD’s particular challenges. There is an associated morale issue for the entire faculty as retention packages proliferate in an extemporaneous and improvised fashion, leading to funding questions and increased teaching loads for all. The morale questions for staff, who have foregone merit increases, are even starker.

Systematic mechanisms to deal with the failure of the UC System Salary Scales to keep pace with external practices are difficult to propose absent the identification of new funding sources and in isolation from the wider picture of revenue on campus. Other campuses have experimented with local salary scales and the above-mentioned report proposes a mechanism (which proved contentious within that task force) to normalize salaries at review time.

**Recommendation 34**

This Task Force recommends the statistical examination of the market off-scale salary components by rank and within departments and divisions, mirroring but probably using a different methodology from the Salary Equity Studies, with the intention of understanding the distribution of salaries. In a fashion similar to that for salary equity, candidates for reassessment of market off-scale salary might be determined and evaluated. Since this potentially is a much larger group with greater needs, such an analysis should not be undertaken without a concomitant evaluation of costs.

### 5.3 Bonus Off-Scale salary components

**Recommendation 35**

A bonus off-scale salary component is only awarded for one review period and the bonus off-scale salary increment terminates at the end of the normal review period. A new bonus may be awarded at the next review period if merited. In the case of a subsequent no-change review or review deferral, an appointee’s salary will return to the proper base salary for the appointee’s rank and step plus attendant MOS. The presence of a bonus off-scale salary component during a review period will not affect the consideration of multiple-step advancement at subsequent reviews.
The Task Force requests that the administration investigate the feasibility of awarding BOS as a single payment at the commencement of the following review period or a sequence of annual payments to emphasize the bonus nature.

5.4 Retention and preemptive retention

**Recommendation 36**

The Preemptive Retention Program is a sensible and workable method for flexibly handling the upward revision of market off-scale salary components. It should continue to be used.

Increasingly, the retention process involves competition for or retention of faculty in the face of competing offers from international institutions. This frequently involves comparing UCSD’s nine-month or academic-year salary values with competing eleven/twelve-month or fiscal-year salary offers. The traditional formulaic approach to this has been to convert the offshore offer to a nine-month value in developing the retention counter-offer, usually by multiplying by 86%. As the international competition has become more globalized and as the capacity for earning summer salary supplements from grants has diminished, this has become a difficult bargaining position. Similarly, there is often no specific evaluation of UCRP in retention calculations.

**Recommendation 37**

In the evaluation of competing offers during appointment or retention, the individual case needs to be examined carefully, without immediate resort to a formulaic comparison. Aggregate reward values need to be compared taking into account all aspects of the reward system: salary, expectation of summer ninths, consulting time, retirement benefits, health benefits, intellectual property arrangements, and leave entitlements.³

6 Communication of the Reward System

The Task Force is aware of the difficulties in communicating the intricacies of the Faculty Reward System and its attendant review processes. Despite the intimate correlation between the quality of review input and outcomes, most faculty are not, and do not seek to become, familiar with the detailed review process nor with the carefully crafted and informative material contained in the PPM. This ignorance is a choice about which little can be done. Unfortunately, it is accompanied by misinformation from unreliable sources, usually other faculty who promulgate their misunderstandings. “No problem. Blame intransient CAP.”

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³ Some Task Force members would add parking to this list.
The issue of underachievement in advancement due to inadequate preparation of the file material is consequential for UCSD and for the individuals involved. The Task Force has no evidence to quantify the magnitude of this problem outside of the experience of its members in declined acceleration or merit cases during service on CAP. There are a number of events of induction of new faculty to UCSD, which have less than full attendance but which seek to explain the rank and step system. Likewise, there are many skillfully developed examples and guides on the Academic Personnel Services website. Unfortunately for some academics, this appears simply to add to the clutter regarding career advancement. So, this Task Force declines to suggest more material be prepared – the existing subject matter is well thought through and available. However, as the file preparation stage of academic review moves increasingly to Academic Personnel On-Line and aspects of this report recommend more narrative and complete responses to evaluative issues, there is an opportunity to provide guidance at preparation time.

Recommendation 38

The Academic Personnel On-Line system for the preparation and analysis of review cases should provide sufficient guidance and tools for the adequate reporting of all aspects of the review process. Particularly, it should provide for the routine submission of narrative material in each of the areas of evaluation with supporting explanation of what is required and desired.

The question of faculty review candidates receiving poor guidance from other faculty is best addressed by identifying faculty who are knowledgeable in the detailed review process. This has already been implemented with some success, via the Academic Advancement Advising group, for Assistant level appointees approaching promotion. This group is primarily comprised of past CAP members from across campus.

Recommendation 39

Each department should nominate willing and experienced faculty who can provide independent and authoritative advice to other faculty on a confidential basis. A list of such individuals should be made available campuswide and the list maintained annually by division.

Within the School of Medicine, the National Center for Leadership in Academic Medicine has provided sound career advice and training for a sequence of cohorts of emerging leaders. Such approaches are systematic, consume resources, and are timed to provide orientation and skills for survival and flourishing at the appropriate time in early career. This Task Force encourages the provision of career guidance, by division, to junior faculty in, for example, their fifth year after fourth-year appraisal.
Appendix

7.1 Charge letter

April 29, 2011

PROFESSOR ROBERT BITMEAD (MAE), Chair
PROFESSOR GERRY BOSS (Medicine)
PROFESSOR PAOLA CES SI (SIO)
PROFESSOR NICHOLAS CHRISTENFELD (Psychology)
PROFESSOR ALECK KARIS (Music)
PROFESSOR KATJA LINDENBERG (Chemistry & Biochemistry)
PROFESSOR WILLIAM MCGINNIS (Cell & Developmental Biology)
ASSOCIATE PROFESSOR DANIEL WIDENER (History)

SUBJECT: Task Force on Faculty Reward System II

In February 1991 then-Vice Chancellor Marjorie Caserio and Chair of the Academic Senate Douglas Smith established a task force to consider a broad set of issues related to the faculty reward system. The task force report, known widely as the “Linden Report” explained their charge as follows: provide “1) an assessment of the current reward system as applied to scholarship in the broadest sense, encompassing research, education, and service; 2) [provide] a proposal of appropriate modifications of the current system; and 3) [provide] a proposal for implementation of such changes, including the vital issue of communication.”

We believe it is time to reconsider the broad issue of the academic peer review process at UCSD to assure it is both effective and that it adequately rewards activities that contribute to the educational and scholarly mission of the University. For this reason we are asking you to serve on a second UCSD task force to consider the faculty reward system, with the goal of representing broad-based faculty opinion on a variety of issues related to the peer review process.

While the task force is free to consider any aspect of the peer review process as deemed important or necessary to faculty, we ask that you examine the specific issues identified below and provide recommendations on modifications to the current peer review process as the committee deems appropriate:

- Advise whether the emphasis given to research, teaching, and service in the current peer-review process appropriately reflects the UC’s mission in teaching, research and service.
- Advise on how to most appropriately evaluate multidisciplinary and group faculty research efforts.
- Advise on how to most appropriately evaluate faculty who are less than full-time.
- Advise on whether the current LSOE criteria are appropriately articulated and interpreted at UCSD.
- Advise on how to most appropriately evaluate teaching efforts at UCSD.
Members, Task Force  
April 29, 2011

- Advise on how contributions to diversity should be identified for faculty and incorporated into the peer-review process.

- Advise on ways in which communication within and regarding the academic review system could be improved.

- Advise on ways in which CAP’s participation in the peer review process can be improved to increase its effectiveness.

- Advise on the type of actions that warrant CAP review, including but not limited to (1) appointment at the assistant professor level; (2) series changes; (3) salary actions such as retentions and pre-emptive retentions; (4) contested dean’s authority merits; (5) appointment and reappointment of endowed chair holders.

- Advise on whether campus ad hocs are being appropriately used in the review process and/or whether the criteria for determining when to use a campus ad hocs could be updated.

- Advise on the optimal duration of CAP service.

Since the Lindenberg report in 1991 there have been other Joint Senate/Administration task forces to review aspects of the academic review system: Faculty Review Process Task Force (September 2000); Task Force on Personnel Processes for Non-Senate Academic Appointments (February 2006); Task Force on Criteria for Appointment and Advancement in the Adjunct Professor Series (August 2010). These reports will be available to you for your review.

Other issues of importance may arise during your discussions with other participants in the academic review process or during your deliberations and we encourage you to explore these issues. We ask that you please consult regularly and broadly with faculty and also with appropriate administrators, who also play a key role in the academic review process.

We ask that the task force submit its report as early as possible in the 2011/2012 academic year. Thank you in advance for agreeing to serve on this important task force.

Suresh Subramani, Executive Vice Chancellor  
Academic Affairs

Frank L. Powell, Chair  
Academic Senate, San Diego Division

cc: Chancellor Fox  
Director Hamann  
Senate Analyst Hullings  
Asst. Vice Chancellor Larsen  
Senate Senior Analyst Partridge  
Divisional Vice Chair Sobel
March 2, 2012

PROFESSOR ROBERT BITMEAD
Chair, Task Force on Faculty Rewards

SUBJECT: Additional Charge for the Task Force

Dear Bob:

The recent report of the University Committee on Affirmative Action and Diversity on UC Faculty Pay Equity raised concerns that there are gender-based pay inequities among the San Diego faculty. The Senate Council has suggested a dual approach to this problem.

First, because UCAAD’s study did not look for the causes of the pay inequities, Senate Council hopes to initiate a study that analyzes local data and attempts to identify causal factors and the extent to which salary inequities apply to other groups. The Council recognizes that this approach will take time and will likely be inconclusive. Since the UCAAD study convincingly demonstrates differences in compensation that are correlated with gender, the Council believes that it is important to take action promptly to correct inequities when they are found.

The second recommendation of the Council is to put in place a mechanism by which certain classes of faculty members can receive salary adjustments to correct for demonstrated inequities. In order to pursue the second approach, I ask that the Task Force add to its charge:

Propose a mechanism that determines if a faculty member in a designated class is underpaid compared to faculty members with similar accomplishments at the same step and rank. The Task Force should identify which classes of faculty are eligible for consideration for salary adjustment, propose procedures that would identify eligible faculty members, and describe who has the responsibility for making the request and how the request must be documented.

Thank you.

Joel Sobel, Chair
Academic Senate, San Diego Division

cc: Chancellor Fox
Senate Analyst Hullings
Asst. Vice Chancellor Larsen
Senate Senior Analyst Partridge
Divisional Vice Chair Masters
Executive Vice Chancellor Subramani
7.3 Membership history and meetings

The initial membership was revised before the first meeting with Donald Rutherford replacing Aleck Karis, Martin Yanofsky replacing William McGinnis, and Victor Nizet added to provide greater input from the Health Sciences.

Kristina Larsen, Assistant Vice Chancellor for Academic Personnel, was an observer at the Task Force meetings. Academic Senate staff Lori Hullings and Julia Partridge, who provide analytical support to CAP, also provided support for the Task Force. The Task Force is indebted to these three individuals for their provision of data and interpretations of policy and practice and for their guidance and assistance in appreciating the history, the implementation issues, and the practices at other UC campuses.

The Task Force met twenty-two times from June 8, 2011, to June 8, 2012. It interviewed a number of visitors to garner further insights into its charge.

Visitors and visit


October 4, 2011: Robert Continetti, Chair Chemistry & Biochemistry; John Eggers, LSOE Mathematics; Melissa Famulari, LSOE Economics; Gabriele Wienhausen, Associate Dean Biological Sciences; Seth Lerer, Dean Arts & Humanities.

October 18, 2011: Sheila O'Rourke, Associate Provost for Academic Affairs, UC Berkeley; Jeanne Ferrante, Associate Vice Chancellor for Faculty Equity.

November 15, 2011: Babbi Winegarden, Assistant Dean for Educational Development & Evaluation, School of Medicine; Barbara Sawrey, Associate Vice Chancellor for Undergraduate Education.

December 8, 2011: UCSD Academic Senate Committee on Academic Personnel (CAP).

January 24, 2012: Mary Blair-Loy, Sociology, and Jeanne Ferrante, Computer Science, and Principal Investigators on NSF Grant “Divergent trajectories: A longitudinal study of organizational and departmental factors leading to gender and race differences in STEM faculty advancement, pay, and persistence.”

February 24, 2012: John Evans, Chair Sociology; Pamela Radcliffe, Chair History; Nina Zhiri, Chair Literature; Seth Lerer, Dean Arts & Humanities.

On February 29, 2012, Task Force Chair Bitmead and joint Task Force/Committee on Committees members Boss and Lindenberg met with the Committee on Committees and others to discuss proposals for guarantees of financial support for CAP members and CAP Chair.
### 8 Responsibility matrix

<table>
<thead>
<tr>
<th>Item</th>
<th>Subject</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recommendation 1</td>
<td>Departmental performance guidelines</td>
<td>Departments, deans, CAP</td>
</tr>
<tr>
<td>Recommendation 2</td>
<td>Ad hoc committees</td>
<td>Departments</td>
</tr>
<tr>
<td>Recommendation 3</td>
<td>Collaborative research evaluation</td>
<td>Departments, APS</td>
</tr>
<tr>
<td>Recommendation 4</td>
<td>Evaluation of independence for Assistant-level faculty</td>
<td>Departments, APS</td>
</tr>
<tr>
<td>Recommendation 5</td>
<td>Grant information in evaluation</td>
<td>Departments, deans, CAP</td>
</tr>
<tr>
<td>Recommendation 6</td>
<td>Teaching evaluation beyond CAPE, teaching dossier</td>
<td>Departments, APS</td>
</tr>
<tr>
<td>Recommendation 7</td>
<td>CAPE operation and the Faculty Advisory Committee</td>
<td>Senate, AVC-UE</td>
</tr>
<tr>
<td>Recommendation 8</td>
<td>Documentation of service effort and effectiveness, service dossier</td>
<td>Departments</td>
</tr>
<tr>
<td>Recommendation 9</td>
<td>Department chairs to nominate faculty for Senate service</td>
<td>Departments, Senate</td>
</tr>
<tr>
<td>Recommendation 10</td>
<td>Service requirements for Research Scientists</td>
<td>VC-R, VC-MS, AVC-HS</td>
</tr>
<tr>
<td>Recommendation 11</td>
<td>Major service commitments</td>
<td>Departments</td>
</tr>
<tr>
<td>Recommendation 12</td>
<td>Modify the PPM to reflect evaluation of contributions to diversity principles</td>
<td>APS</td>
</tr>
<tr>
<td>Review process</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recommendation 13</td>
<td>LSOEs working title of Teaching Professor or equivalent, Distinguished</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 14</td>
<td>Modify the LSOE evaluation criteria in the PPM</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 15</td>
<td>Change the nomenclature of the appraisal outcomes</td>
<td>APS</td>
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<tr>
<td>Recommendation 16</td>
<td>Remove reference to “crossover steps”</td>
<td>APS</td>
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<tr>
<td>Recommendation 17</td>
<td>Regular merit to “crossover steps” to become deans’ authority</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 18</td>
<td>PPM language revision for accelerated advancement</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 19</td>
<td>Scholarly and creative activity requirement for Health Sciences Clinical Professors</td>
<td>No change to practice</td>
</tr>
<tr>
<td>Recommendation 20</td>
<td>Cumulative productivity requirements for less than full-time faculty</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 21</td>
<td>Exercise care in the appointment of less than full-time faculty</td>
<td>No change to practice</td>
</tr>
<tr>
<td>Recommendation</td>
<td>Description</td>
<td>Responsible Parties</td>
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<tr>
<td>Recommendation 22</td>
<td>Short-form review for single-step regular merit</td>
<td>APS, deans, departments</td>
</tr>
<tr>
<td>Recommendation 23</td>
<td>Non-FTE faculty in ORUs to be assigned a department for review preparation</td>
<td>APS, VC-R</td>
</tr>
<tr>
<td>Recommendation 24</td>
<td>Remove the requirement for external letters at Step VI review</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 25</td>
<td>Replace post-nominal “Above Scale” with prenominal “Distinguished”</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 26</td>
<td>Continued CAP recommendation on salary</td>
<td>No change to practice</td>
</tr>
<tr>
<td>Recommendation 27</td>
<td>Delegations of authority from CAP to deans or relevant authority</td>
<td>APS, deans</td>
</tr>
<tr>
<td>Recommendation 28</td>
<td>CAP adoption of a consent agenda</td>
<td>CAP</td>
</tr>
<tr>
<td>Recommendation 29</td>
<td>CAP term of service</td>
<td>Senate</td>
</tr>
<tr>
<td><strong>Salary Issues</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recommendation 30</td>
<td>Time and event line data for review files and departments</td>
<td>APS, departments</td>
</tr>
<tr>
<td>Recommendation 31</td>
<td>Rank progress charts for departments</td>
<td>APS, departments</td>
</tr>
<tr>
<td>Recommendation 32</td>
<td>Campus review of potential salary inequity cases</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 33</td>
<td>Expand the Career Equity Review process to accommodate review of salary independently from step and rank with market off-scale salary used to remedy inequities</td>
<td>APS, deans</td>
</tr>
<tr>
<td>Recommendation 34</td>
<td>Statistical examination of MOS to assess salary compression</td>
<td>APS, deans</td>
</tr>
<tr>
<td>Recommendation 35</td>
<td>Bonus off-scale salary components to last one review period</td>
<td>APS, deans</td>
</tr>
<tr>
<td>Recommendation 36</td>
<td>Preemptive retention scheme should continue</td>
<td>No change to practice</td>
</tr>
<tr>
<td>Recommendation 37</td>
<td>At retention, evaluate aggregate salary packages</td>
<td>APS, deans</td>
</tr>
<tr>
<td><strong>Communication</strong></td>
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<tr>
<td>Recommendation 38</td>
<td>APOL provision of guidance and narrative input</td>
<td>APS</td>
</tr>
<tr>
<td>Recommendation 39</td>
<td>Departmental nominees for inter-divisional academic review advising</td>
<td>Departments</td>
</tr>
</tbody>
</table>

APS – Academic Personnel Services  
AVC-HS – Associate Vice Chancellor, Health Sciences  
AVC-UE – Associate Vice Chancellor, Undergraduate Education  
CAP – Committee on Academic Personnel  
VC-MS – Vice Chancellor, Marine Sciences  
VC-R – Vice Chancellor, Research