

August 22, 2017

To: All Faculty (via SBFACU-L)

From: Cindy Doherty, Director  
Academic Personnel

Re: System-wide review of report on the Negotiated Salary Trial Program  
(NSTP)

The Office of the President invites comments on the Negotiated Salary Trial Program (NSTP) fourth year report. In February of 2013, Aimée Dorr, Provost and Executive Vice President for Academic Affairs approved the recommendation from a prior taskforce that the UC System initiate a Negotiated Salary Trial Program (NSTP) on three campuses (UC Irvine, UCLA, and UC San Diego), assuming there was sufficient communication about the trial between campus Senate leaders and academic administration. Provost Dorr specified that this be a five-year trial with a “full review” in the fourth year “to make a more informed determination about the program and whether it has met its goals.”

The Fourth Year Taskforce has reviewed the substantial information collected in the annual reports from Year 1, Year 2, and Year 3 of the trial as well as in annual surveys of faculty in participating units and administrators involved in the implementation. The report offers campuses substantial material to enable an assessment of what should happen next with the program. A copy of the report is attached.

Provost Dorr asked the Taskforce to recommend “whether the Trial Program should be 1) reviewed for inclusion in the APM 2) maintained for an additional trial period, perhaps on additional campuses, or 3) be terminated.” The Taskforce has recommended an additional term and expansion of the program to include all interested campuses.

This System-wide review is modeled on the full review mandated for Academic Personnel Manual policy changes. Once comments are received by Office of the President, there will be a quick review, in the event the program is extended, to allow new campuses to develop procedures to being a program on July 1, 2018.

Should the program be extended, further campus discussion will take place to determine if UCSB would participate in the extended trial program.

Comments on the report or the recommendation to extend the trial program may be directed to Cindy Doherty at [cindy.doherty@ucsb.edu](mailto:cindy.doherty@ucsb.edu) by **October 31, 2017**.

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June 22, 2017

To: Aimée Dorr  
Provost and Executive Vice Provost for Academic Affairs

From: Mary Gauvain  
Professor of Psychology, UC Riverside  
On behalf of the Fourth Year Negotiated Salary Trial Program Taskforce:

Mary Gauvain, Professor of Psychology (UC Riverside), Chair  
Susan Gillman, Professor of Literature (UC Santa Cruz)  
William Hodgkiss, Senior Associate Vice Chancellor (UC San Diego)  
Pamela Ling, Professor of Medicine (UC San Francisco)  
Diane O'Dowd, Vice Provost for Academic Personnel (UC Irvine)  
Donald Senear, Professor of Molecular Biology and Biochemistry (UC Irvine)  
Victoria Sork, Dean of Life Sciences (UCLA)  
Lisa Tauxe, Professor of Marine Geology and Geophysics (UC San Diego)  
Ameae Walker, Vice Provost for Academic Personnel (UC Riverside)

Subject: Report on the Negotiated Salary Trial Program

In September of 2016, you appointed us as a Taskforce to review the Negotiated Salary Trial Program (NSTP) and to advise on next steps for the program. In line with your memo of February 2013, you charged us to determine "whether the Trial Program should be 1) reviewed for including in the APM, 2) maintained for an additional trial period, perhaps on additional campuses, or 3) be terminated." You asked that we consult widely, gather necessary information, and report to you by June of 2017.

I am pleased to attach our report and its five appendices. The recommendations represent the consensus of all nine members of the Taskforce.

Our main recommendation is that the program be continued on a term basis for another four years and expanded to other campuses whose administration and faculty agree that it meets campus needs. We also recommend the collection of additional information on the program during this new term so that its success can be reviewed again at the end of the second term period. The Taskforce also recommends that the program not be seen as a substitute for a full faculty salary program to address the continuing lag of UC salaries relative to our peers.

We understand that the report will now be circulated for further input before a decision is made. Should you have questions about the report and our recommendations, we would be pleased to meet with you.



**Negotiated Salary Trial Program (NSTP) Fourth Year Taskforce Report**  
**June 22, 2017**

**1.0 Executive Summary and Recommendations**

The UC Health Sciences have long utilized a compensation plan that allows faculty to supplement their UC salary by drawing on funds generated from a variety of external sources. These sources include clinical activities, grants and contracts. Based on its experience with this salary structure, the University sought to determine whether a similar compensation plan on the main campuses would help in recruiting and retaining faculty whose salary offers from other institutions could not be matched using the University's state funds. In the development of such a program several concerns were raised. These included whether this pay structure would increase salary inequities, reduce attention to teaching, and motivate faculty members to reduce support of graduate students in order to supplement their own salaries. In recognition of these concerns, the University decided to launch a pilot program on three campuses, the Negotiated Salary Trial Program (NSTP — known at UC San Diego as the General Campus Compensation Plan, or GCCP), whose goal was to create a salary structure that addresses the need to recruit and retain highly compensated faculty, without producing unintended negative side effects.

The NSTP Fourth Year Review Taskforce was charged with examining the benefits and costs of the program in order to make recommendations on whether this general campus compensation plan should become part of UC policy. The Taskforce members have undertaken a careful review of data obtained during the first three years of the pilot salary compensation program to determine whether the program should be: (1) discontinued, (2) continued as an extended and/or expanded trial, or (3) made permanent. The Taskforce analyzed three sets of annual reports from the initial participating campuses (UC Irvine, UCLA, and UC San Diego) that provided data on faculty participation, external grant, contract and gift support, graduate student support, and teaching effort. The Taskforce considered survey results from questionnaires sent to all faculty in participating departments. In addition, the Taskforce gathered new information from surveys of chairs of participating departments and from administrative databases.

In brief, we found that while the percentage of faculty enrolled in the program was small across the three campuses (14-16% of faculty in the participating departments), the faculty who utilize NSTP were very positive about the program. In addition, department chairs and upper level administrators who had experience with the program considered it to be a useful tool in both recruitment and retention. We found no evidence that NSTP faculty support for graduate students or teaching effort was reduced during their enrollment in the program. While yearly surveys indicate that some faculty continue to have concerns about potential negative consequences of the program, in the most recent survey (2015-16), most participants and many non-participants consider the program to be an asset for the University.

A primary limitation of the data presently available is its ability to address two of the main reasons for establishing the program, specifically whether the program strengthens faculty recruitment and retention. Although department chairs and administrators endorse the program on these grounds, there is currently little direct evidence of this effect. It may be that the short, three-year duration of the pilot phase for which data were collected made this information difficult to obtain.

Given these limitations, the Taskforce concluded on balance that the benefits are sufficient to recommend an additional term and expansion of the program to include all interested campuses in order to evaluate the impact of the program system-wide.

The Taskforce makes this overall recommendation contingent on the following caveats about the role of the program in the UC salary structure:

- The program does not supplant the regular merit review process. Faculty performance will continue to be assessed on the quality of scholarly contributions, teaching, and service, rather than on external funding.
- The program is not a tool to address the UC-wide responsibility to eliminate the lag in UC faculty salaries compared to those of its peer institutions.

With the above preface, by consensus, the Taskforce makes the following specific recommendations:

- The NSTP should be continued for four more years (AY2018-19 through AY2021-22), with a review in the third year to determine whether Academic Personnel Manual (APM) policy should be established.
- The program should be expanded beyond the current three campuses (UC Irvine, UCLA, and UC San Diego) to other campuses where the administration and faculty agree to its use on a term basis.
- The program should be renamed, and the Taskforce suggests the working title used at UC San Diego—General Campus Compensation Plan.
- A determinative evaluation of the program will require more and better efforts to collect data, in particular to measure the impact of the program on faculty recruitment and retention. The Taskforce recommends that UC Irvine's application form be streamlined to generate a focused template to be used on all participating campuses for the uniform collection of the additional necessary data.
- Each campus should have an expanded role in program review and evaluation, using standardized data collection, with a balance between collecting informative data and minimizing administrative burden.
- The UC Office of the President should continue to compile an annual report for all participating campuses.

## **2.0 Background**

### **2.1 History of a general campus negotiated salary program at UC**

#### **2.1.1 Discussions and development of the program**

Discussions of a possible negotiated salary program for general campus faculty have occurred at UC for over 20 years, at both the campus and systemwide levels. Often drawing from the plans for negotiated salary used by schools in the health sciences, these discussions have promoted various mechanisms and funding sources, and generally been targeted at specific disciplines. In the 1990s, the Council of Vice Chancellors (COVC) circulated a proposal developed at UCLA that was structured on a three-part salary component system with ranges at each salary step. COVC members were divided in their views about the plan with 3 in favor, 2 opposed, and 4 not commenting. Around the same time, UC San Diego drafted a pilot compensation plan for the biological sciences but it was never put in operation. In the first decade of the new century, discussions of a general campus negotiated salary plan continued. This included a COVC discussion in 2003, and continuing campus-level discussions, particularly at UC San Diego and UCLA. Throughout these various proposals, the conversation has included issues of non-state funding, discipline-based needs, definition of covered compensation, summer income, and outside professional activities.

The most recent discussions, which culminated in the Negotiated Salary Trial Program (NSTP), stem from a June 2010 report to then UC Provost Lawrence Pitts. A Joint Senate-Administration Compensation Plan Steering Committee, chaired by UC Irvine Executive Vice Chancellor and Provost Mike Gottfredson, delivered a report noting that “new approaches to funding faculty salaries are critical to sustaining a superior faculty, and to maintaining the superior public education that exemplifies the University of California.” The report proposed development of APM policy characterizing such policy “as a relief valve on the pressures otherwise mounting through reliance on ad hoc use of retention requests, which would further consume constrained state funds and impinge on the UCRP.” A working group of Senate faculty and campuses academic personnel representatives put together a draft policy; the proposed policy, APM — 668, was circulated for both management review (review limited to systemwide senate committees and some academic administrators) and systemwide review in 2011. Response to the policy was mixed, with strong objections as well as strong support among reviewers. Provost Pitts determined that concerns about the policy were so strong that the best alternative was to meet the salary needs by charging a taskforce to develop “possible paths forward” and generate a report by June 15, 2012. The Taskforce endorsed the idea of instituting a General Campus Negotiated Salary Trial Program and proposed components of the program for review. These documents were subsequently reviewed by the Academic Council as well as the COVC in the fall of 2012.

In February of 2013, Provost Aimée Dorr decided to accept the Taskforce recommendations for a trial program to begin on July 1, 2013, on three campuses, assuming that the campus Senate leaders and the administration could each demonstrate that the conditions were right for a successful program. In specific, she asked that each campus provide her with documentation of the campus consultations on the trial program, involving both Senate members and administration. She asked each campus to

develop campus-based implementation procedures, based on a common template, and extended the length of the trial from 4 to 5 years. She also asked Vice Provost Carlson to work with the three campuses (UC Irvine, UC Los Angeles, and UC San Diego) and Senate members to further refine metrics, reporting, and assessment.

Three campuses decided to take part in the program and put together campus implementation documents that were approved by the Office of the President. UC Irvine, UC Los Angeles, and UC San Diego all began a trial program on their campuses effective July 1, 2013.

### **2.1.1 The Program in the context of other UC faculty compensation plans**

It is important to recognize that the idea of the NSTP draws, in part, from the example of the Health Sciences Compensation Plan (HSCP), used by health sciences schools on seven UC campuses (UC Berkeley, UC Davis, UC Irvine, UCLA, UC Riverside, UC San Diego, and UC San Francisco). The HSCP is authorized through APM 670 and 671, and implemented through school-based plans, approved by the UC Provost. The plan provides a range of salary components to allow schools to use various non-state funds in salary programs and provides certain incentives for faculty to be active in clinical work and/or in securing research contracts and grants. The three salary components include the following:

- X and X' (X prime), which together comprise the base salary. X is based on the Fiscal Year salary scale rate for the faculty member's rank and step, while X' is determined by the faculty member's assignment to an APU (academic planning unit), based on sub-discipline and work responsibilities. Base salary rates for HSCP faculty are published in scales 0 through 9 of Table 5 of the Academic Salary Scales. While X can be covered by state funds, X' cannot.
- Y, which is negotiated annually between the faculty member and the department chair, based on the income the faculty member is expected to receive through clinical income and external sources.
- Z, which provides for incentive pay for certain activities, usually clinical work.

Neither Y nor Z is UCRP covered compensation.

The HSCP is used in some but not all health sciences disciplines; those schools that do not use it generally do not have the capacity to generate sufficient external funds for the negotiated salary components. HSCP has proven successful in many health science disciplines in providing competitive salaries to recruit and retain top faculty. It also allows for calibration of salary components from year to year, depending on department revenues.

UC has other salary scales that tie compensation to specific disciplines, including law, veterinary medicine, management, economics, and engineering (see Tables 3, 4, 7, and 8 of the Academic Salary Scales). NSTP is distinct in that it is not tied to discipline. While the trial program has shown that it is most attractive in certain disciplines such as biological sciences, physical sciences, and engineering, faculty from arts, humanities, and social sciences have also enrolled in the trial program. The NSTP Program Document (see Appendix B) specifies that HSCP members are not eligible for participation in the NSTP.



## **2.2 Negotiated Salary Trial Program, July 1, 2013 through fall 2016**

### **2.2.1. The Metrics Working Group for a Negotiated Salary Program**

The Metrics Working Group for a Negotiated Salary Program, requested by Provost Dorr in her February 2013 letter, included one representative from each of the three campuses (UC Irvine, UCLA, UC San Diego), appointed by the Administration, and three Senate representatives appointed by Academic Council Chair Robert Powell. The Working Group delivered a report to Provost Dorr on June 25, 2013. The report focused on providing “details for data collection, assessment, and analysis” and delivered two documents: 1) a Goals and Metrics document and 2) a table of quantitative and qualitative data to collect for review of NSTP. Both of these documents have guided the operation of and reporting on the trial program for the last four years. Two of the members of the Working Group filed a “Dissent” from the report, dated June 21, 2013, noting that “although the current Metrics work group identified many parameters to be measured, by not specifying the standards or values that the parameters should achieve, we believe that the work group failed to address adequately how the data should be assessed and interpreted.” One of the Senate members of the Working Group also agreed to help design the survey that would be administered annually to all faculty members of departments in which the trial program was operational and to all administrators and staff who had responsibilities for administration of the program.

### **2.2.2 Staff working group implementing collection of qualitative and quantitative data for evaluating the efficacy of the NSTP**

As recommended by the Metrics Working Group, a group of staff members on the three campuses and at UCOP was engaged, beginning July 2013 and meeting twice a month, to put in place ways to collect the qualitative and quantitative data for evaluating the efficacy of the NSTP. They helped to develop and review both the Interim Report (February 2014) and the Annual Report for Year One (January 2015). On August 8, 2014, Vice Provost Carlson—on behalf of the Working Group—wrote to Provost Dorr and to the Academic Council Chair Jacob and Vice Chair Gilly with an update on data collection. The memo clarified a few details of the data collection, including certain data that were not available, by faculty member on the campuses, including indirect cost return and TA/RA support. The memo also noted that certain information would be collected through the campus Provost and Executive Vice President.<sup>1</sup>

### **2.2.3 NSTP reports**

The original program document dated June 15, 2012 and approved by Provost Dorr to guide the trial program specified that there would be annual reports on the trial program, based on data provided by the three campuses as well as on the annual survey of faculty and administrators. It also specified that there would be an interim report to be submitted as soon as possible after the trial program began on

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<sup>1</sup> Some of the information that was seen as inaccessible has subsequently been collected at UC Irvine and, partially, at UCLA and UC San Diego and is included in this Taskforce report.

July 1, 2013. To date, there have been four reports on the program, distributed to campus administration as well as to the Academic Senate:

- Interim Report, February 2014
- Annual Report for Year One (July 2013-June 2014)
- Annual Report for Year Two (July 2014-June 2015)
- Annual Report for Year Three (July 2015-June 2016)

Each of the three annual reports included detail on faculty participation, on the negotiated salary component of pay, on program fund sources, on summer pay, on enrolled/non-enrolled faculty workload, and on enrolled/non-enrolled faculty support of students and postdoctoral scholars. These reports also include detail from the two surveys: one survey of faculty in departments where the NSTP has been used and a second survey of administrators and staff who have had a role in administration of the NSTP. Finally, each included the campus response to 13 questions posed about the impact of the program on the campus.

Due to their large size, these reports are not appended to this report; they are, however, the basis for much of the detailed information to follow in this report. They may be obtained from Vice Provost Carlson ([susan.carlson@ucop.edu](mailto:susan.carlson@ucop.edu)).

### **2.3 Negotiated Salary Trial Program fourth-year Taskforce**

In September of 2016, Provost Dorr appointed a Taskforce to review the NSTP and to advise her on next steps for the program. As outlined in the original program document, the Provost—with evaluative information and analysis from a fourth year report in hand and with input from the Academic Council as well as the Council of Vice Chancellors—will recommend to the President “whether the Trial Program should be 1) reviewed for including in the APM, 2) maintained for an additional trial period, perhaps on additional campuses, or 3) be terminated.” The Taskforce was encouraged to consult widely during its review and to gather new data, as necessary, to do its work. Members of the Taskforce included three members appointed by each of the three campus Provosts, an additional administrative appointee from a non-participating campus, and four Academic Senate members. An additional Senate member was appointed in fall 2016, when the Taskforce Chair sought broader representation of disciplines that were not taking part in the NSTP; Professor Susan Gillman was added at that time.

Mary Gauvain, Professor of Psychology (UC Riverside), Taskforce Chair

Susan Gillman, Professor of Literature (UC Santa Cruz)

William Hodgkiss, Senior Associate Vice Chancellor (UC San Diego)

Pamela Ling, Professor of Medicine (UC San Francisco)

Diane O’Dowd, Vice Provost for Academic Personnel (UC Irvine)

Donald Senear, Professor of Molecular Biology and Biochemistry (UC Irvine)

Victoria Sork, Dean of Life Sciences (UCLA)

Lisa Tauxe, Professor of Marine Geology and Geophysics (UC San Diego)

Ameae Walker, Vice Provost for Academic Personnel (UC Riverside)

The Taskforce met 11 times, with 9 conference calls and two in-person meetings, in November 2016 and April 2017.

The Taskforce has not had time to distribute its report to various stakeholders before submission to Provost Dorr in June 2017. The Taskforce has assumed that she or her successor would distribute it for review by faculty and administration during 2017.

### **2.3.1 Taskforce approaches to its charge**

The Taskforce took seriously its charge to review data generated in the first three years of the program and to put together additional information and data that would assist it in conducting a thorough review. Consistently during Taskforce conversations, it was clear that both the data in hand and the data that could reasonably be collected during the Taskforce's tenure still did not allow for definitive conclusions about the NSTP's successes and/or failures. In the course of its work, the Taskforce reviewed all of the prior reports — reports from year 1 (including both the preliminary and final report), year 2, and year 3. This included scores of pages of narrative comments from both faculty and academic administrators who were in units taking part in the program. The Taskforce also reviewed the history of NSTP development, including prior expressions of the need for such a program and the range of recommendations and opinions of prior work groups and policy review. While all of this information is not appended to this report, it is available from Academic Personnel and Programs at UCOP. Key components of the analysis provided in this report are as follows:

- Most of the data attached to the report focuses on the program level (e.g., all three campuses) and not on the campus level. The Taskforce determined that this was reasonable, since it did not find evidence of any significant outliers among the units participating.
- In its analysis and recommendations, the Taskforce was cognizant of the limitations of the data it had. It did collect two additional sets of data:
  - Enrolled faculty data based on the UC Irvine application process. The Taskforce used the UC Irvine NSTP application form as a template to collect additional information from all three trial campuses. This allowed important new understanding of patterns of participation, of the use of split appointments with the health sciences, of support for graduate students and research groups, and of research expenditures of enrolled faculty over more than a single year. (Summary and analysis in section 4.3.)
  - Department Chair Survey. In spring 2017, the Taskforce surveyed the chairs of all 59 departments that had participated in the program over years 1-3. The survey focused on the impact of the program on faculty recruitment and retention. (Summary and analysis in section 4.4.)
- The Taskforce determined that some of the data collection recommended in 2013 by the Metrics Working Group for a Negotiated Salary Program would not be useful. Thus, they did not conduct surveys of campus CAP chairs and they did not conduct an analysis of service loads of enrolled and non-enrolled faculty in participating units.
- In this report, most of the data tables are included in the appendices with analysis in the report text.

### 3.0. Program Goals and Metrics for Evaluation

#### 3.1 Program goals

The NSTP Metrics Working Group developed program goals in fulfilling its charge in 2013. These goals continued to direct the review and analysis conducted by the Taskforce.

- Meet immediate recruitment and retention needs on three campuses, including more competitive salaries for participating faculty.
- Collect information on the use and effectiveness of the program.
- Position University faculty leaders and academic administrators to make a decision about the program after the four-year review.

#### 3.2 Metrics for evaluation

The Metrics Working Group defined both goals for the trial or pilot program on the three campuses (listed above) and characteristics that would distinguish a successful negotiated faculty salary program in the long run. Questions derived from these goals, listed below, were used to guide the work of the Taskforce in assessing the program.

- *Faculty retention:* Was there an effect on faculty retention cases, in number and successful outcome, and/or in the number of faculty seeking split appointments in departments with HSCP?
- *Graduate student and postdoc experience:* What was the effect on total research funding and on graduate student and postdoc support? Was there an increase in overall funding among program participants with concomitant increase in graduate student and postdoc support, or conversely was research funding diverted from student and postdoc support to faculty salaries?
- *Teaching:* Were there changes in the quality of teaching and research by participants, e.g., one concern is that the program prioritizes raising money over the quality of research and teaching?
- *Faculty workload:* Was there a change in teaching workload by participants? Was there a shift in faculty teaching and service workload to non-participants?
- *Faculty and administrative support:* What is the level of faculty and administrative support for the program?
- *Administrative costs:* Are the administrative costs in line with the size of the program?

In Section 5.0 we provide our responses to these questions based on the data available, a summary of our findings, and commentary on the program at this stage of assessment and in relation to its overall contribution to the current situation regarding UC faculty salary. To provide guidance on future evaluation of the program, the Taskforce suggests data to be collected going forward. A full list of the data to be collected recommended by the Taskforce can be found in Appendix F.

#### **4.0. Analyzing Quantitative and Qualitative data to assess the Program**

Guided by the goals and metrics, the Taskforce reviewed the data, both quantitative and qualitative, that had been collected over the first three years of the program and also collected new information to inform its program review. In the following sections, these data are summarized and analyzed. The appendices to the report contain much of the data referenced here, but additional data are available in the reports from the first three years of the trial program.

#### **4.1 Data collected over the first three years of the NSTP**

As mentioned above, each year during the NSTP, Academic Personnel and Programs at UCOP has worked with UC Irvine, UCLA, and UC San Diego to gather key information about participation rates as well as the discipline, rank, gender, and race/ethnicity of those enrolled. Comprehensive data have also been collected about the salary of those enrolled, including the base salary, the negotiated salary increment, and fund sources for the increment. Teaching responsibilities of enrolled faculty have also been compared to that of faculty department peers not enrolled in the program. This information has been shared with faculty and administrators across the campuses during the trial: there have been four reports on the program — an Interim report for the first year, in February 2014, as well as 3 annual reports, one for each year of the program (2013-14, 2014-15, and 2015-16). A selection of that data is summarized in Appendix C; the Taskforce felt that the twelve tables in Appendix C contain key data and indicators that help to clarify the operations of the program in the last three years.

##### **4.1.1 Headcount of enrolled faculty, participating departments, and enrollment by campus, discipline, gender, race/ethnicity, and rank**

Table 1 of Appendix C provides the total number of faculty enrolled on each campus and shows an increase in each year of the trial. However, the number of enrolled faculty, 57 (UC Irvine), 92 (UCLA) and 111 (UC San Diego), in year 4 still represents a small fraction of the total faculty in participating departments. While these numbers represent only 12-19 % of the total faculty in all the participating departments at each participating campus (Table 2), approximately 80% of those that participate in one year also enroll in the following year. This indicates that the majority of faculty who elect to enroll find the benefits outweigh any negatives.

Tables 2a, 2b, 2c, and 2d contain detailed information, by campus and department, of participation in the NSTP. Two of the campuses, UC Irvine and UC San Diego, made the decision to invite faculty in all schools to take part. At UCLA, initial participation was in two schools, and additional schools have decided to participate after the first year. In the discussion below, “participating departments” refers to departments that have at least at least one faculty member participating. “Enrolled faculty” refers to those faculty members in the participating departments who have applied for and been approved for a negotiated salary increment.

Between 2013 and 2016, participation varied between 13 and 59% of departments across the three campuses, with minor differences between campuses due to variations in administrative structure or implementation. At UC Irvine, 12-16/50 (24-32%) departments participated; at UCLA, participation

increased from 9/68 (13%) to 20/66 (30%) after initial limits on participation were lifted; and at UC San Diego, 19/32 (59%) participated in year one, decreasing to 15-16/32 (50%) in the latter two years. At UC Irvine, approximately 12% of faculty in the participating departments were enrolled over the three years (48/387 faculty in year 3), with higher rates in the Biological Sciences and Public Health. At UCLA the number of enrolled faculty increased to approximately 16-19% of faculty in participating departments, with higher participation in Public Health and Engineering. At UC San Diego, between 13-18% of faculty participated, with higher participation among Engineering and the School of Management. Across the three campuses 14-16% of faculty participated overall. Across the three campuses, 5-10% of potentially eligible faculty (all Professorial, Acting, or in Residence series faculty who are not in the Health Sciences Compensation Plan) enrolled overall. (Some data in this paragraph comes from Annual reports for years 1, 2, and 3.)

Tables 3 and 4 of Appendix C summarize gender and race/ethnicity among enrolled faculty compared to faculty in the participating departments. Enrolled faculty did not appear to differ significantly by gender or race/ethnicity compared to the overall faculty composition in participating departments. It will be important to continue to monitor participation by under-represented minority faculty carefully. In the first year, 23% of enrolled faculty were female (women made up 22% of faculty in participating departments), decreasing slightly to 20% in years 2 and 3. In the first year, 75% of faculty were White (74% of faculty in participating departments were White), with slightly lower enrollment among African American faculty (about 1% enrolled, with about 2% presence on the faculty) and Hispanic/Latino faculty (about 3% enrolled vs. 6.5% of faculty in participating units), while enrollment was higher among Asian faculty (22% of enrolled faculty were Asian compared to 17% presence on the faculty). Over the three years, the percentage of White enrolled faculty decreased to 65%, African American and Hispanic/Latino enrollment stayed roughly stable (1.3% and 3% respectively, compared to 1.4% and 5% of faculty in participating departments), while Asian enrollment continued to increase. While these initial numbers do not suggest large differences between enrolled faculty and faculty in participating units, the trend of a lower percentage of women participating over time and lower participation by African American and Hispanic/Latino faculty compared to their representation on the faculty warrants continued monitoring. These enrollments likely reflect differences in participation by disciplines; for example, the addition of the School of Engineering at UCLA after year 1 altered the demographics of their enrolled faculty and participating departments.

As detailed in Table 5 of Appendix C, by academic rank, the percentage of Associate Professors among those enrolled has decreased over time, from 27.9% in year one to 21.9% in year 3. In all three years, Professors were the largest group of enrolled faculty. Their share of enrollment (63.6% in year 1, 69.3% in year 2, and 67% in year 3) was within a percentage or two of their representation in participating departments. Assistant Professor enrollment increased slightly from 8.4 to 11.2% but remained lower than the proportion of Assistant Professor faculty in participating departments (~15% for all three years).

#### **4.1.2 Salary of those enrolled in NSTP, including the base salary, the negotiated salary increment, and fund sources for the increment**

Tables 6 through 10 in Appendix C contain information on the salary increment itself and the Tables highlight information presented in additional detail in the Annual reports from years 1, 2, and 3. The amount of negotiated salary increments was \$3.7M in Year 1, \$6.7M in year 2 and \$7.9M in year three (see Table 6 in Appendix C). In year 3, most of the negotiated salary increment was in the range of 21-30% of base salary across all three participating campuses. In contrast, in year 1, the largest number of enrolled faculty had an increment of 10% or less of base salary (see Table 7 in Appendix C). Additional analysis drawing from these tables shows that the average salary increment increased over the first three years of the trial, in the range of \$14-23K for Assistant Professors, \$20-29K for Associate Professors, and \$27-38K for full Professors. Overall, about half of the funds for incremental salary increases came from federal contracts and grants, followed by private contracts and grants and gift funds (see Tables 9 and 10 in Appendix C for additional detail). As is recorded in the annual reports, nearly all of the enrolled faculty also drew three months of summer salary, supported by their contracts and grants.

#### **4.1.3 Teaching load for enrolled faculty and for non-enrolled faculty in participating departments**

Table 11 in Appendix C provides summary data on the student credit hours (SCH) per faculty FTE for faculty enrolled in the NSTP. The Table provides the average SCH per faculty FTE in the two years prior to the program and compares this to the SCH per faculty FTE during the first three years of the program. Table 12 in Appendix C provides similar information for non-enrolled faculty in participating units. Overall, enrolled faculty reported lower SCH per faculty FTE than non-enrolled faculty (average 176 SCH per FTE for enrolled faculty vs. 282 SCH per faculty FTE for non-enrolled faculty in participating departments in the first year). It is important to note that the enrolled faculty had lower SCH per FTE before the program and that those numbers remained constant when the unit joined the NSTP. In other words, while the enrolled faculty recorded lower SCH per FTE than non-enrolled faculty prior to the NSTP, those differences remained relatively constant after the program began. The SCH among enrolled faculty increased over the course of the three years to an average of 213 SCH in the third year, the average of non-enrolled faculty decreased slightly, from 277.6 SCH to 240.6 FTE. Since a variety of factors are at work in these averages, the Taskforce is conservative in drawing conclusions from the differences.

#### **4.2 Data from faculty surveys from years 1, 2 and 3**

In each of the three years of the program, two surveys were administered: 1) all faculty in participating departments (both those enrolled in the NSTP and those not enrolled) were surveyed about their satisfaction and experience with the program and 2) academic staff and administrators who had a part in implementation of the program were surveyed about their roles in program implementation. Detailed summaries of the three years of survey administration are included in the annual reports from years 1, 2, and 3. There were hundreds of comments, both positive and negative, which were summarized in

each of the first three annual reports. In its analysis of the NSTP, the Taskforce found that an analysis of the faculty responses was the most instructive, and thus has chosen to focus on those responses here.

In this section, the summary focuses on faculty opinions of the NSTP, as assessed by responses to survey questions in years 1-3 of the program. In departments where some faculty members were enrolled, both non-enrolled and enrolled faculty were surveyed.

#### **4.2.1 Response rates**

The response rates to the survey were similar for enrolled faculty over the 3 years (~67%), whereas the response rates for non-enrolled faculty fell from 37% in 2013-14 to 19% in 2015-16, despite the fact that 46% more faculty were surveyed in 2015-16 versus 2013-14. On the basis that survey respondents are usually those most highly motivated, either positively or negatively, reduced responses by non-participants may suggest a growing acceptance of the NSTP as more faculty members understand the intent and rules of participation and/or have reduced concern about the potential negative impact of the program.

#### **4.2.2 Relative acceptance of program**

To determine whether there has been growing acceptance of the program, comments in response to “Explain why you did not participate in the program” on the part of non-participants were scored as positive (e.g., would have if I had the funds), negative (e.g., object on moral/fairness grounds) or neutral (e.g., deadline too early) and the Taskforce examined the change over time for negative comments per campus. For UC Irvine, 63% of comments were considered negative in 2013-14, 47% in 2014-15, and 30% in 2015-16. For UCLA, the numbers were 50%, 40% and 9%, respectively. For UC San Diego, the numbers showed a different trend: 5%, 39% and 40%. The low percentage in 2013-14 at UC San Diego largely reflects lack of knowledge about the program. So, for two campuses, there is some evidence that negative feelings may have been reduced with increasing knowledge about, and experience with, the program; and on one campus there is more expression of concern. However, one cannot eliminate the possibility that faculty with concerns about the program have merely given up hope of having any impact through responses to the survey.

#### **4.2.3 Year 3 responses**

Because the third-year responses represent a better-informed group (there were fewer respondents among non-enrollees who made incorrect statements about the rules of participation such as assuming enrollees had a reduced teaching load), most further comments in this brief overview are based on the 2015-16 responses. Ninety-seven per cent of the enrolled faculty and 63% of the non-enrollees considered the program to be an asset for the University. While the first figure is not surprising, the second indicates a growing appreciation of the value of the NSTP. There are a variety of reasons for participation, but those of benefit to the institution rather than solely the individual faculty member include “to make it possible for me to turn down an outside offer (34%), “to allow me to reduce outside consulting” (32%) and “to be recruited” (7%).



With these perceived benefits to the University, what are the concerns of non-enrolled faculty in Year 3? There are five major concerns: first, the NSTP allows the University to avoid its responsibility to pay a competitive salary to all faculty; second, the program increases salary disparities across campus; third, this is the first step on a slippery slope towards all faculty in some disciplines being on soft money, which would be a condition not aligned with the educational mission and *raison d'être* of the University; fourth, the NSTP will lead to reduced support for graduate students and postdocs; and fifth, the program will result in faculty choosing areas of research for their fundability rather than their intrinsic importance. These concerns are addressed in section 5.

#### **4.3 Additional data requested by the 4<sup>th</sup>-Year Taskforce**

Over the three years of its trial program, UC Irvine has developed a detailed application and reporting form that has allowed the campus to gather useful information about enrolled faculty and about program effectiveness. The Taskforce asked that, where possible, similar information be collected from UCLA and UC San Diego as well, so that information on all three campuses could guide analysis of the NSTP across all three campuses. Appendix D contains the aggregated information and will be referenced in the analysis below. Note that in some cases this appendix contains information from UC Irvine only; the Taskforce determined that this single campus information — which could not be replicated quickly on the other participating campuses — was important enough to include in this report.

##### **4.3.1 HSCP/General Campus split appointments**

A key program goal was to reduce the number of faculty opting for a joint/split appointment between the General Campus and Health Science Schools with HSCP (Health Sciences Compensation Plan), many of which were put in place for the primary purpose of allowing faculty to have access to the HSCP. The combined number of joint/split appointments starting during the NSTP years (2103-2016) at the three campuses is lower than in any previous 3-year period since 1998 (see Chart 2 in Appendix D). The decrease in total number represents an even larger decrease in percentage given the growth in number of faculty over this same time period. This decrease is consistent with the suggestion that having NSTP on the main campus is reducing the motivation for new split/joint appointments associated with simply gaining access to a salary enhancing program (HSCP). Interestingly when the data are broken out for UC Irvine and UCLA, the decrease in split appointments during the NSTP period is even more pronounced (see Chart 1 in Appendix D). At UC San Diego there was an increase in the number of joint appointments between 2013-16, but this period happened to coincide with a campus program instituted to encourage cross-disciplinary and cross-divisional appointments among the general campus, Health Sciences, and Scripps Institution of Oceanography. Three of the eight joint appointments at UC San Diego that began during the NSTP period are new hires whose distribution of effort is directly connected to the Chancellor's joint FTE program. In addition, two of the remaining five joint appointments were faculty who initially held full-time appointments in health sciences departments and later split their effort, with a partial FTE in a general campus department.

#### **4.3.2 Research expenditures for multiple-year faculty enrollees**

When the program was established, a prediction was that it would create an incentive for enrolled faculty to increase their research expenditures. Table 2 in Appendix D displays information on a subset of faculty who enrolled in the program in 2015-16 and 2016-17. While the numbers of faculty who fit this profile are limited, the numbers indicate that the average expenditures per faculty member increased. Table 3 of Appendix D presents details of the percentage of total research expenditures allocated to the negotiated increment. The average percentage ranged from 1.8% to 4.3%. The information in Tables 2 and 3 was difficult to assemble, but the Taskforce will recommend below that such data continue to be collected if the program continues and expands.

#### **4.3.3 UC Irvine data on faculty recruitment**

One of the goals of NSTP program was to support recruitment of new faculty. The Chair survey indicates this is the case (see Section 4.4). To evaluate this recruitment issue further, UC Irvine examined how many newly hired faculty participated in NSTP. During the first 4 years, only 8 out of 130 faculty members (6%) hired in the participating schools elected to enroll in NSTP in their first full year at UC Irvine (see Table 3 in Appendix D). The enrolled faculty were distributed across all three professorial ranks (assistant, associate and full). These data, in conjunction with the Chair survey, suggest that some new faculty — when considering an offer — view participating in NSTP an attractive option.

#### **4.3.4 UC Irvine data on graduate student and research group support**

There was a concern expressed at the inception of this program that faculty participating in NSTP would use money for their salary at the expense of supporting graduate students. All campuses found these data relevant to this issue difficult to collect centrally since graduate student supervision and funding information is departmentally based. Therefore, at UC Irvine, the faculty application form in 2015-16 was modified to collect data on graduate students supervised by participating faculty and the data were supplied/verified by the financial analyst in the Department (see Table 5 in Appendix D). These data were from 42 faculty in the program who provided information on graduate students in 2013-14, 2014-15 and 2015-16. The data indicate that the total number of graduate student quarters supervised increased over the three years from 616 to 740 to 756, assuming a full time graduate student = 4 quarters/yr. The number of quarters these students were supported on PI funds went from 400 to 430 to 460, an increase slightly higher than the increase in number of student quarters. The number of quarters these students were supported as a TA/reader also went up from 91 to 106 in the first year and then down slightly to 104 in year 3. However, the number of quarters students had outside fellowships increased more than predicted based on the number of students, from 125 to 204 in the subsequent first year and to 192 in the next year. These data indicate that faculty participating in NSTP at UC Irvine are slightly increasing, not decreasing, their support of graduate students.

UC Irvine reviewed the PI support of research groups as well, since there was also interest in determining if there was a reduction in the size of the research group being supervised by the PI. Therefore, at UC Irvine the 2015-16 faculty application form also required information on total research

group size and this information came from the same 42 faculty who provided data on lab size from 2013-14, 2014-15, and 2015-16. In this case the data includes graduate students and anyone else who was directly supervised by the PI (researchers, technicians, etc.). Data were supplied/verified by the department financial analyst. FTE equivalent was determined by adding up the percent time of each individual's appointment. As displayed in Table 6 (Appendix D), the number increased from 170 FTE in 2013-14 to 204 in 2014-15 and 210 in 2015-16. This indicates that the total funding that the average PI at UC Irvine used to support their research group, in general, for the enrolled faculty increased by ~20% during the trial period. This is consistent with these being very productive faculty who are expanding the size of their research groups even while using grant funds to supplement their salaries.

#### **4.4 Department chair survey developed for this Taskforce review**

As part of the NSTP 4<sup>th</sup> year review, the Taskforce developed a survey to be sent to chairs of participating departments at UC Irvine, UCLA, and UC San Diego. The interest was to hear directly from department chairs regarding the impact of the program on faculty recruitment and retention, departmental morale, and several measures of faculty activity (teaching, research, and departmental/campus service). Of the 59 department chairs contacted (or deans of schools that have a single department), 55 (93%) responded. This section summarizes the results of the survey; a detailed analysis along with detailed data and chair comments is included in Appendix E.

##### **4.4.1 Impact on recruitment and retention**

In general, department chairs reported that the program was used more in retentions than recruitments. Comments suggest that this may, in part, be because most recruitments are for junior faculty who do not yet have grant or contract funding in hand that would allow them to participate in the program.

- The program played a role in 31% of the 475 recruitment negotiations for which respondents provided information. Department chairs also reported that recruitments were more likely to be successful when the program was involved.
- The program played a role in 45% of the 123 retention negotiations for which respondents provided detail. Furthermore, the chairs reported that retentions were more likely to be successful when the program was involved.

##### **4.4.2 Impact of the program on department morale**

A majority (62%) of department chairs reported that the program had a positive effect on departmental morale. Another 31% reported that the effect was neutral. Approximately 4% reported a minor negative effect, and none reported a major negative effect.

##### **4.4.3 Impact on faculty responsibilities**

- *Teaching.* The vast majority (86%) of respondents reported that the program had no impact on teaching. A small number indicated that the teaching somewhat increased (4%) or decreased

(6%), and a minor number reported that the teaching substantially increased (2%) or decreased (2%). This was consistent with the information supplied by enrolled faculty in the survey data collected in years 1, 2, and 3.

- *Research / creative activities.* A majority (56%) of the respondents reported that the research/creative activities of participants in the program increased while approximately a third (35%) indicated no change. No respondents indicated reduced research/creative activities.
- *Departmental and campus service.* The majority of respondents reported no change in departmental (73%) or campus (76%) service for enrolled faculty. A modest number indicated increased departmental (15%) or campus (13%) service with approximately half that number indicating decreased departmental (9%) or campus (8%) service. This was consistent with the information supplied by enrolled faculty in the survey data collected in years 1, 2, and 3.
- *Grant submissions and awards.* The majority of respondents (71%) reported an increase in grant activity for program participants. A modest number (18%) indicated no change and none of the respondents indicated a reduced level of grant activity.

#### **4.4.4 Impact on the level of interest in requesting split or joint appointments in a Health Sciences Compensation Plan (HSCP) department**

A little more than half of the department chairs (51%) reported that there were no faculty in their department with split/joint appointments with health sciences. Approximately one quarter (26%) indicated interest stayed the same in split appointments and a modest number of respondents (15%) indicated that interest decreased. See also the analysis in 4.3.1 above.

### **5.0. Summary Analysis**

The Taskforce found data about the program from the 3-year pilot phase to be helpful in our discussions and for developing its recommendations. However, the data are from only three campuses. Therefore, we believe that it is important to expand the program to the other campuses in order to gather additional data before considering making the program a permanent systemwide academic policy.

This report describes the data available to the Taskforce to evaluate the program as well as new data we were able to obtain during our work period to hone in on some key issues. These include how the program affects faculty and graduate students, both those who are in and not in the program, and the administrative burden of implementation. A consistent theme is that quantitative data regarding key issues including recruitment, retention, and graduate student support is limited by the relatively small number of participants and the data collection tools that were applied. Here we summarize the main points we have derived from the information regarding the success of the program and recommend use of online application forms, based on UC Irvine's current process, as a mechanism to gather additional quantitative data that will be useful in evaluating an expanded program.

In evaluating the program, we looked closely at the following issues that were defined by the Metrics Working Group as characteristics that distinguish a successful from a failed program. We describe for each what was learned from the data available.

- (1) *Faculty recruitment and retention:* Department chairs and other administrators characterize the program as helpful or even extremely helpful in faculty recruitments and retentions based on surveys, and faculty being recruited showed enthusiasm about its availability. However, we found little quantitative evidence that the program impacts either faculty recruitment or retention, two of the primary reasons for the program. A relatively small number of newly recruited or retained faculty members, based on data from UC Irvine, actually participated in the program. Most participants were current faculty and while their participation might reasonably be seen as avoiding possible retentions, we cannot state this for certain based on the information we have. We recommend: (a) yearly tracking of whether the availability of the Compensation Plan plays a role in recruitment or retention of faculty; and (b) after three years, a follow-up chair survey on the impact of the program for recruitment and retention and morale of the department, especially among non-enrolled faculty.
- (2) *Graduate student support and research group size:* Based on data obtained from the online application forms at UC Irvine in the last 2 years, there was an increase in student support and total research group size during the years of participation as compared to the year immediately prior to participation. There was no change during the years of participation. Data on this issue were not available for the other campus. We recommend that these data be collected annually on all participating campuses for the next four years.
- (3) *Average total research expenditures:* There was an increase in total research expenditures of faculty during the first year of participation compared to the immediate prior year at all three campuses. In addition, funds spent on additional salary were less than 5% of the total research fund expenditure of this group of faculty. These data were obtained from the Office of Research at UCLA and UC San Diego at the end of the trial period and from the online application form, verified by department analysts, at UC Irvine. Recommend: Inclusion of total research expenditures the year prior to and during participation in NSTP in online application forms.
- (4) *Teaching and service:* The teaching load of enrolled faculty as measured by student credit hours (SCH) was less than that of non-enrolled faculty in the same department; however, there was no difference in teaching workload of enrolled faculty before and during their participation in the program (see Appendix C, Tables 11 & 12). Self-reports from department chairs indicate no perceived effect on service workload. Recommend: continue to monitor SCH data for enrolled and non-enrolled faculty in the same participating Departments, before and during unit participation in NSTP as well as service by faculty in participating departments.
- (5) *Faculty and administrative support:* Reports from the department chairs, other administrators and enrolled faculty show substantial support for the program. Some concern was expressed by faculty members in eligible units who were not enrolled but this waned with time. Information on this count from chairs and faculty in units that did not participate in the program was limited or non-existent. Recommend: after three years, we recommend a short

survey to all faculty in participating departments about their attitudes about the availability of the Compensation Plan for faculty in their department and to ask specific questions about positive or negative impacts.

- (6) *Administrative costs:* There was no attempt to account for the cost of administering the program. The annual surveys indicated some negative reaction from staff due to added administrative burden. Recommendation: add a question to the chairs' survey about administrative costs of administering this program.
- (7) *Evaluation:* There is need for better evaluation of the program in the future. A full list of the data recommended by the Taskforce is in Appendix F.

To summarize our findings, the evidence we had available is a combination of quantitative and qualitative data that does not always answer the questions raised by the original Metrics Taskforce. The enrolled faculty are positive and their department chairs are also positive. However, much of the quantitative evidence is neutral in terms of evaluating the program. It shows the program to be relatively modest in scale (i.e., there are few enrolled faculty overall) and supports the conclusion that it does no harm to individuals who might be directly affected (e.g., faculty in participating departments who are not enrolled). However, the quantitative evidence also provides little indication that key proposed benefits of the program, such as its value in faculty recruitment and retention, have been realized in this time frame. Moreover, these data conflict in places with the self-reported data from department chairs who find the availability of the NSTP to be a useful tool for recruitment and retention whether or not faculty use it.

In the future, the Taskforce advocates that more information be collected on the effects of participation at the departmental or college/school level, such as the data from UC Irvine. Major shortcomings of the objective data derive from the modest scale of the pilot program, its relatively brief period in effect and that parameters that we now find to be key were collected on only one campus. Additional years of trial implementation will be necessary to observe time-dependent trends. Therefore, going forward, data from the three pilot campuses should be compared with data from other campuses that opt to implement the program to provide a basis for evaluating implementation and impact on the new campuses.

It is a long time since the State of California fully supported the University in its educational, research and service roles. In the absence of a major change in the political climate and an appreciation of the importance of the University as a driver of innovation and State prosperity, the only practical solution is to find additional ways to increase revenues and remain competitive in terms of faculty salaries; the NSTP is one approach. If fewer dollars are spent on faculty salaries, especially in response to competing offers (at recruitment or retention), then more is available centrally to fund other activities, including faculty salaries in disciplines where it is difficult to participate in the NSTP. Given the teaching and service as well as research role of the University and the current funding climate, it does not seem likely that UC ladder-rank faculty positions will become completely supported by soft money. Perspectives may vary dependent upon how the NSTP is viewed, for example as to whether the 30% from NSTP

creates an increase to 130% of salary or requires 23% of your 100% competitive salary be obtained from soft money sources. Data described in section 4.3.4 overcome concern about graduate student support because they demonstrate there has been no reduction in graduate student (or postdoc) support by participating faculty. It appears that this has been achieved by increased grant funding to participating faculty (see Appendix D, Table 2). In regard to the last major concern of non-participating faculty, which is that faculty will tailor their research to fundable areas, the practical reality is that faculty already have to tailor their research endeavors to what is fundable.

To provide guidance on how to evaluate the program in the future, we have a section in the report (Appendix F) that lists the data that need to be collected going forward. The Taskforce stresses that information collected about the program, henceforth, be substantive and objective, which is essential to evaluating and determining the future of the program.

#### Appendices

- Appendix A: Provost Dorr's letter establishing the NSTP (2013)
- Appendix B: Program document (2012)
- Appendix C: NSTP/GCCP 3 Year Compilation of Key Indicators (2017)
- Appendix D: Negotiated Salary Trial Program — Campus Data Analysis (2017)
- Appendix E: NSTP 4<sup>th</sup> Year Chair/Leader Survey (2017)
- Appendix F: Data to collect during Program Expansion Period (2017)

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OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT

OFFICE OF THE PRESIDENT  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

February 5, 2013

CHANCELLOR GENE D. BLOCK, UCLA  
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INTERIM EXECUTIVE VICE CHANCELLOR AND PROVOST SUSAN BRYANT, UCI  
EXECUTIVE VICE CHANCELLOR SURESH SUBRAMANI, UCSD  
EXECUTIVE VICE CHANCELLOR SCOTT WAUGH, UCLA

RE: General Campus Negotiated Salary Trial Program

Dear Colleagues:

I have had input now from both the Council of Vice Chancellors and the Academic Council about the option for a General Campus Negotiated Salary Trial Program. This input was in response to then Provost and Executive Vice President Lawrence H. Pitts' memo of June 25, 2012 seeking review of the final report from the joint Senate-Administration Taskforce on a negotiated salary plan.

The members of the Council of Vice Chancellors (COVC) remain supportive about moving ahead with a Trial program, one that can be used to measure the effectiveness and impact of such salary practices. I understand that the Executive Vice Chancellors/Provosts of the Irvine, Los Angeles, and San Diego campuses are interested in participating in such a Trial program.

In contrast to the COVC, the Academic Council has deep and continuing concerns about the details of the Trial program as developed by the joint Senate-Administration Taskforce and is disappointed that most of the Senate's concerns with proposed APM 668 were not substantively addressed in the plans for the Trial program. The Senate, however, does not oppose moving ahead provided that individual campus participation is approved through a formal letter from the divisional Senate Chair to his/her EVC (see enclosed November 28, 2012 Council letter). I understand that the San Diego division supports participation in the Trial program but the Irvine and Los Angeles divisions do not support participation.

Before deciding how to proceed amid these conflicting views, I carried out several activities. I reviewed the June 15, 2012 Taskforce report to then Provost and Executive Vice President Lawrence Pitts. The Taskforce consisted of four representatives from systemwide Senate committees and the Academic Council and four campus administrators. According to the report, they recommended "adoption of a 'General Campus Negotiated Salary Trial Program' as outlined in the attached document." The report is not entirely specific about the extent to which campus Senate and administrative leaders must agree in order to proceed, but it is written as though Irvine, Los Angeles, and San Diego will participate.



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I also reviewed Standing Order (of the Regents) 105.2 Duties, Powers, and Privileges of the Academic Senate. It is clear that the Academic Senate has the right to express “its views on any matter pertaining to the conduct and welfare of the University.” The areas in which Academic Senate decisions are determinative, subject to approval of the Board, are clearly laid out. There is nothing that suggests that the issues addressed by the Trial program or by proposed APM 668 before it are ones where the Senate’s views are determinative.

Finally, I consulted briefly with former Provost and Executive Vice President Pitts and extensively with UC Vice Provost for Academic Personnel Susan Carlson, who served as convener for the Taskforce and was deeply involved in its work and the work surrounding proposed APM 668 before that. In addition, I discussed the various issues and options with the current systemwide Senate leaders, Chair Powell and Vice Chair Jacob, who in my experience are consistently strong advocates for Senate positions and certainly were such in this instance.

With some reluctance, given the extent of negative opinions among the faculty, I have decided to accept the Taskforce Recommendations (as outlined in the enclosed June 15, 2012 “General Campus Negotiated Salary Trial Program” document) to move ahead with a Trial program to take effect on July 1, 2013. As outlined in the Trial Program document, the Executive Vice Chancellor/Provost (EVC/P) on each of the campuses potentially interested in such a plan – Irvine, Los Angeles, and San Diego – may decide whether to participate in the Trial program and if so, to create implementation documents following the Template developed by the Taskforce (enclosed). San Diego, with the support of its Senate, decided some time ago to participate. Irvine and Los Angeles will need to decide.

I strongly encourage the campus administrative and Senate leaders on each participating campus, but particularly Irvine and Los Angeles where faculty are negative, to work closely together so that any Trial program that is undertaken is as responsive to campus conditions and sentiments as it can be – while still meeting the requirements for participation. In addition, I ask that each campus that submits a plan also provide statements from the EVC/P and the Senate divisional chair regarding the consultation process and the resulting plan itself. Both parties should prepare their own statements and have the opportunity to review and respond to the other party’s statement prior to sending everything to me.

After reviewing the recommendations of the Academic Council and other Senate bodies, I have decided to extend the trial from four to five years with the full review to occur during year four, that is in 2016. This will allow us to make a more informed determination about the program and whether it has met its goals. In particular, we need to know what success or failure would look like and gather appropriate information to make informed judgments.

I have asked Vice Provost Susan Carlson to be responsible for working with participating campuses to gather the necessary information. Since the various responses collected by the Academic Council contain continuing concerns that the “Metrics, Reporting, and Assessment” outlined in the Program document are not sufficient, I am asking that she work with a small group to refine the metrics, reporting, and assessment. Please send Vice Provost Carlson the name of the appropriate person from your campus to join this working group, preferably someone with expertise in program evaluation and assessment. I will ask Chair Powell to

General Campus Negotiated Salary Trial Program

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recommend a Senate member as well. Vice Provost Carlson will convene the working group quickly to ensure these details are worked out well before the July 1 start date.

I ask that the EVC/P on each participating campus send me potential Implementation Guidelines for your campus as early as you have them ready and no later than February 22, 2013 if possible. Because Irvine and Los Angeles learned only via this letter that the Trial program may be implemented on the campus if they so choose, they may have some difficulty meeting this deadline. If you anticipate delays, please contact me soon with a proposed timetable for your campus' completion of the activities described in this letter. San Diego has known since the end of November that it can develop a Trial program and has always intended to do so; therefore, submission of a plan by February 22, 2013 is expected.

The June 15, 2012 "DRAFT Implementation Procedures for a Trial Negotiated Salary Program" was designed by the Taskforce as a template that you can adapt to campus needs. You may not make substantive changes (for example, you could not change the eligibility requirements), but you will need to use terminology that suits your operations. In the section "evaluation of proposals" (p. 2), you will need to select Option A or Option B according to which suits the operation of your faculty committee on academic personnel. Please also list the schools/colleges participating in the Trial program on your campus. The Trial program document assumes that you will develop the plans "in partnership between faculty and administration," and I strongly encourage that. Please review the "Implementation" section of the Program document for further detail (p. 2).

I will review the individual campus implementation plans and the EVC/P's and divisional Chair's statements about the process and final plan with systemwide Academic Senate Chair Robert Powell, who may wish to have chairs of the appropriate systemwide Senate committees also engaged, and let you know quickly about any issues identified. Please consult with Vice Provost Carlson about issues that may arise in the development of your plan. In general you should not depart from the Implementation Guidelines. If you feel any deviation is necessary, the changes must be reviewed by the campus Senate, the EVC, and the systemwide Senate Chair before final approval by me (see June 15, 2012 report from the Taskforce).

I regret that there is much disagreement among faculty and administrators about the wisdom of embarking on a General Campus Negotiated Salary Trial Program. I expect that the participating campuses will be vigorous in their ongoing efforts to obtain information that will be useful to us all as we seek to understand whether a systemwide program can be a valuable component of our efforts to support UC faculty.

Cordially,

A handwritten signature in black ink, appearing to read "Aimée Dorr", written in a cursive style.

Aimée Dorr  
Provost and Executive Vice President  
Academic Affairs

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February 5, 2013

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Enclosures:

November 28, 2012 letter from Academic Council Chair Powell  
to Vice Provost Susan Carlson

June 15, 2012 Taskforce Report

June 15, 2012 Taskforce General Campus Negotiated Salary Trial Program

June 15, 2012 Taskforce Implementation Procedures  
for the Trial Negotiated Salary Program

cc: President Yudof  
Academic Council Chair Powell  
Vice Provost for Academic Personnel Carlson  
Division Chair Gilly (UCI)  
Division Chair Sarna (UCLA)  
Division Chair Masters (UCSD)  
Executive Director Winnacker

**General Campus Negotiated Salary Trial Program**

**June 15, 2012**

Since at least 1995, UC faculty and administrators have been working to design a negotiated salary plan for faculty on the general campus. Given the concerns about proposed APM – 668 (“Negotiated Salary Program”), a Taskforce of campus administrators and faculty met in the spring of 2012 to design a Trial Program to test the effectiveness of the concept on a few UC campuses. The Trial outlined below will respond to an immediate recruitment and retention need on three campuses (UC San Diego, UCLA, and UC Irvine) and will allow the University to collect valuable data on the use and effectiveness of the program. Subsequently and with the data generated and collected through the Trial, parties can have a more informed discussion of the need for a systemwide policy. This Trial would be operational on July 1, 2013.

**A. Program Components**

Overview:	The four-year Negotiated Salary Trial Program (Trial) will allow up to three UC campuses to test a negotiated salary process for general campus faculty. Eligible faculty will be able to voluntarily contribute external fund sources toward their total salary, with the negotiated salary amount funded through external sources. The amount of negotiated salary will have a cap of 30% of the base salary (academic or fiscal, including off-scale); and the Dean or designee will have responsibility for managing funding of the negotiated salary program. Merit review will continue according to campus policy, and each participating campus will determine the appropriate role for its Committee on Academic Personnel (CAP) or equivalent committee.
Scope:	Administrators and Divisional Senates on three campuses (UCI, UCLA, and UCSD) will consult on potential participation. Once a Trial Program has been approved, the EVC on each campus, with Senate input, will coordinate with divisions/schools/departments that will take part.
Eligibility:	Ladder-rank and in-residence faculty who have advanced in rank or step in their last academic review (or equivalent satisfactory review) are eligible, provided the faculty member’s campus and division/school/departments has opted to participate. HSCP members and full-time deans and faculty administrators (as defined in APM – 240 & 246) are not eligible.
Faculty responsibilities:	Participating faculty are expected to meet all teaching, research and service obligations and to be in compliance with all applicable University policies, procedures, and training requirements. The campus will ensure that policies about the buy-out of teaching are maintained.

## Appendix B: NSTP Basic Program Document

Fund management:	Only external funds will be used to support this program. "External funds" refers to any non-state-appropriated funds, such as (but not limited to) endowment or gift income, professional degree fees, self-supporting degree fees, and contract and grant support. The Dean or his/her designee will have responsibility for managing program funds, reviewing the availability of F&A, and for covering any unforeseen shortfalls. General Funds cannot be substituted for external funds in support of the program.
Salary:	The total negotiated salary will be comprised of the salary covered under the University of California Retirement Plan (UCRP) (scale base plus off-scale components) and a negotiated salary component. <sup>1</sup> Negotiations will be conducted annually to determine an individual's total negotiated salary for the following year. The total negotiated salary must be effective for one full year, corresponding with the University fiscal cycle of July 1 – June 30 and may not be changed during that year. The faculty member's salary (scale plus off-scale) will not be permanently affected (neither increased nor decreased) as a result of participating in this program.
Process:	As outlined in the Implementation Procedures, eligible faculty will work with the department chair and department business officer to develop a proposal for a negotiated salary, with proposals approved by the dean.
Reporting/Review:	At the end of each fiscal year, the systemwide Provost will gather (from each EVC whose campus is participating) data on the program, compile it, and share with the COVC and the Academic Senate. A comprehensive review will be undertaken during year three. Trend data will be provided in year two and after. Details of the report elements are listed below in section B. An interim report on participation will be submitted as soon as possible after the Trial begins on July 1, 2013.
Implementation:	This document will serve as the Program Policy document with all items outlined here to be constant among all participating campuses. The systemwide Provost will also develop "Implementation Procedures for a Trial Negotiated Salary Program" with details about the procedural details of running the program on campus. Each campus will adapt this template to its own approval and review structures. Departures from this Program document and the "Implementation Procedures" must be approved by the systemwide Provost with input from the Chair of the Senate.

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<sup>1</sup> Faculty will remain on pre-existing appointments (either academic or fiscal); those on academic year appointments remain eligible for summer ninths which will continue to be processed under pre-existing guidelines.

Compliance:	<p>When Federal projects are involved, the program must be compliant with Office of Management and Budget (OMB) Circular A-21.</p> <p>Participating faculty retain their obligation to abide by University policy including Conflict of Interest, Conflict of Commitment, the Faculty Code of Conduct, and the policy on the requirement to submit proposals and receive awards for grants and contracts through the University.</p>
Duration and termination:	<p>The program will run for four years, beginning July 1, 2013, with a full review during the third year. At that time, the Provost and Academic Senate will determine the advisability of adding policy language to the APM, continuing the Trial, or terminating the Trial. The systemwide Provost may suspend the Trial effective June 30 of any year should the program be deemed to put the University at risk; an individual campus EVC may suspend the campus participation effective June 30 of any year.</p>

### **B. Metrics, Reporting, and Assessment**

An interim report on participation will be submitted as soon as possible after the Trial begins on July 1, 2013, including prospective information provided in the faculty applications for 2013-14. In addition, annually at the end of the fiscal year, the Office of the President will collect information on the operation of the program from each participating campus. The goal of the data collection will be to identify any positive or negative impacts of the Trial Program; i.e., was faculty retention positively/negatively impacted? was teaching positively/negatively impacted? was graduate student and postdoc support adequate? etc. The systemwide Provost will distribute a combined report to COVC and the Academic Council for review and feedback. The following information will be collected:

#### **Funding**

- Information on external funding utilized in connection with Trial: track funding by type (endowment funds, contracts and grants [by agency], gifts, fees, etc.).
- Development and use of the program funds.

#### **Demographic information on faculty, teaching, and research support in participating units**

- Collection of information on all faculty in participating departments : a) department and school or division, rank and step, gender, race/ethnicity, b) salary, including off-scale, summer ninths, negotiated amount, c) teaching loads, including those who bought out a teaching assignment during the year (data both before and during Trial period) and indication of teaching done on-load or as overload.
- Data on graduate student and post-doc support by department and individual (data both before and during Trial period).

### Surveys

Faculty and administrators with expertise in survey design and administration will develop surveys for faculty and administrators involved to assess effectiveness of the program on Trial campuses. The surveys will allow for assessments of conflicts of interest and commitment as well as morale. They will be used to ascertain the extent to which this program has successfully helped with hiring and retention and has not been detrimental.

In addition, each annual report by the campus EVC will include an administrative assessment of relevant issues, including a review of the personnel process at various stages: CAP, department chairs, and deans.

A comprehensive three-year review will assess whether the Trial Program has helped UC meet University goals effectively. After the three-year reports are reviewed by the Academic Council and the COVC, the systemwide Provost will recommend to the President whether the Trial Program should be 1) reviewed for inclusion in the APM, 2) maintained for an additional trial period, perhaps on additional campuses, or 3) terminated.

# Appendix C: 3-Year Compilation of Key Indicators

**Table 1**  
**Headcount of NSTP/GCCP Enrolled Faculty**  
**Count and Percentage of Faculty who Continued in the Program from Year to Year**  
**By Campus, by Year**

Year	UC Irvine	UCLA	UC San Diego	Total
<b>2013-14</b>	<b>38</b>	<b>34</b>	<b>82</b>	<b>154</b>
<i>continued in 2014-15</i>	31	27	63	121
<i>% continuing</i>	82%	79%	77%	79%
<b>2014-15</b>	<b>45</b>	<b>80</b>	<b>100</b>	<b>225</b>
<i>continued in 2015-16</i>	34	71	73	178
<i>% continuing</i>	76%	89%	73%	79%
<b>2015-16</b>	<b>48</b>	<b>90</b>	<b>95</b>	<b>233</b>
<i>continued in 2016-17</i>	44	70	76	190
<i>% continuing</i>	92%	78%	80%	82%
<b>2016-17*</b>	<b>57</b>	<b>92</b>	<b>111</b>	<b>260</b>

\*2016-17 preliminary count of enrolled faculty as of February 2017

Additional data on 2016-17 enrolled faculty will be published in the fourth annual report



# Appendix C: 3-Year Compilation of Key Indicators

Table 2a

Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments

UC Irvine

Campus	School/Division/College	Participating Department Name	2013-14			2014-15			2015-16		
			Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
Irvine	BIOLOGICAL SCIENCES	Developmental & Cell Biology	3	22	13.6%	5	21	23.8%	7	22	31.8%
		Ecology & Evolutionary Biology	3	28	10.7%	1	32	3.1%	1	30	3.3%
		Neurobiology & Behavior	4	20	20.0%	6	20	30.0%	8	22	36.4%
	EDUCATION	Education				1	22	4.5%	1	24	4.2%
		Biomedical Engineering				2	16	12.5%	2	16	12.5%
	ENGINEERING	Civil & Environmental Engineering							2	23	8.7%
		Electrical Engr & Computer Science	4	31	12.9%	4	32	12.5%	6	32	18.8%
		Mechanical & Aerospace Engineering				2	23	8.7%	2	24	8.3%
	INFORMATION AND COMPUTER SCIENCE	Computer Science	9	37	24.3%	8	36	22.2%	6	39	15.4%
		Informatics							3	17	17.6%
	PHYSICAL SCIENCES	Chemistry	2	38	5.3%	2	39				
		Earth System Science				1	21	4.8%	1	22	4.5%
		Mathematics	3	30	10.0%	3	33	9.1%	2	32	6.3%
		Physics & Astronomy	3	45	6.7%	3	39	7.7%	2	41	4.9%
	PUBLIC HEALTH*	Public Health	2	10	20.0%	3	13	23.1%	3	13	23.1%
	SOCIAL ECOLOGY	Criminology Law & Society	2	19	10.5%	1	18	5.6%			
		Psychology & Social Behavior	1	19	5.3%	1	22	4.5%	1	20	5.0%
	SOCIAL SCIENCES	Cognitive Science	2	23	8.7%	2	25	8.0%			
	HEALTH SCIENCES	Pharmaceutical Sciences							1	10	10.0%
<b>Total</b>			<b>38</b>	<b>322</b>	<b>11.8%</b>	<b>45</b>	<b>412</b>	<b>10.9%</b>	<b>48</b>	<b>387</b>	<b>12.4%</b>

\*The Public Health program is not yet officially a school at UC Irvine, but is listed separately for this report.

Note: blank cells indicate that the department did not participate during the year indicated.

## Headcount of Enrolled Faculty

Compared to Total General Campus and Health Sciences Compensation Plan Faculty

UC Irvine

	2013-14	2014-15	2015-16
UC Irvine NSTP Enrolled Faculty Headcount	38	45	48
Total Professorial and In Residence General Campus Faculty	912	941	966
Enrolled Faculty as a Percent of Total General Campus Faculty	4.2%	4.8%	5.0%
Health Sciences Comp Plan Faculty (Professorial and In Residence)	187	180	191
*Total Professorial and In Residence General Campus Faculty " Includes Professorial (excluding Recalls), Acting, and In Residence series faculty not in the Health Sciences Compensation Plan (HCOMP).			

# Appendix C: 3-Year Compilation of Key Indicators

Table 2b

Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments  
UCLA

Campus	School/Division/College	Participating Department Name	2013-14			2014-15			2015-16		
			Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
UCLA	ENGINEERING	Bioengineering Department				2	10	20.0%	3	10	30.0%
		Chemical Engineering				5	12	41.7%	6	14	42.9%
		Civil & Environmental Engineering				2	17	11.8%	2	17	11.8%
		Computer Science				9	28	32.1%	9	31	29.0%
		Electrical Engineering				16	42	38.1%	16	42	38.1%
		Materials Sci. & Engineering				1	14	7.1%			
		Mechanical & Aerospace Engineering				9	33	27.3%	9	33	27.3%
		Asian Languages & Cultures							1	20	5.0%
		Integrative Biology & Physiology	3	17	17.6%	3	16	18.8%	3	18	16.7%
		Molecular, Cell & Developmental Biology	3	22	13.6%	3	22	13.6%	4	22	18.2%
	LIFE SCIENCES	Psychology	5	65	7.7%	7	58	12.1%	8	56	14.3%
		Atmospheric & Oceanic Sciences							1	14	7.1%
		Chemistry & Biochemistry				1	47	2.1%	2	47	4.3%
		Earth, Planetary & Space Sciences				1	26	3.8%	1	25	4.0%
	PHYSICAL SCIENCES	Physics & Astronomy				1	59	1.7%	3	58	5.2%
		Statistics				1	58	1.7%	1	10	10.0%
		Biostatistics	8	12	66.7%	6	12	50.0%	7	13	53.8%
		Community Health Sciences	2	18	11.1%	2	15	13.3%	2	14	14.3%
	PUBLIC HEALTH	Center for Occupational & Environmental Health	3	4	75.0%	1	4	25.0%			
		Environmental Health Sciences	1	9	11.1%	2	7	28.6%	3	7	42.9%
		Epidemiology	6	12	50.0%	4	8	50.0%	5	8	62.5%
		Health Policy & Management	3	15	20.0%	4	14	28.6%	4	16	25.0%
			34	174	19.5%	80	502	15.9%	90	475	18.9%
<b>Total</b>											

Note: blank cells indicate that the department did not participate during the year indicated.

Headcount of Enrolled Faculty  
Compared to Total General Campus and Health Sciences Compensation Plan Faculty  
UCLA

	2013-14	2014-15	2015-16
<b>UCLA NSTP Enrolled Faculty Headcount</b>	<b>34</b>	<b>80</b>	<b>90</b>
<b>Total Professorial and In-Residence General Campus Faculty</b>	<b>1,372</b>	<b>1,391</b>	<b>1,397</b>
<b>Enrolled Faculty as a Percentage of Total General Campus Faculty</b>	<b>2.5%</b>	<b>5.8%</b>	<b>6.4%</b>
<b>Health Sciences Comp Plan Faculty (Professorial and In Residence)</b>	<b>682</b>	<b>674</b>	<b>661</b>
"Total Professorial and In Residence General Campus Faculty " includes Professorial (excluding Recalls), Acting, and In Residence series faculty not in the Health Sciences Compensation Plan (HCOMP).			

# Appendix C: 3-Year Compilation of Key Indicators

Table 2c

## Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments

UC San Diego

Campus	School/Division/College	Participating Department Name	2013-14			2014-15			2015-16		
			Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
San Diego	ARTS & HUMANITIES	Visual Arts	1	28	3.6%	1	22	4.5%	1	24	4.2%
	BIOLOGICAL SCIENCES	Biological Sciences	13	67	19.4%	13	71	18.3%	14	73	19.2%
	ENGINEERING	Bioengineering	8	19	42.1%	10	23	43.5%	8	23	34.8%
		Computer Science	9	42	21.4%	16	41	39.0%	15	41	36.6%
		Electrical & Computer Engineering	12	44	27.3%	11	44	25.0%	12	43	27.9%
		Mechanical & Aerospace Engineering	5	41	12.2%	7	42	16.7%	7	40	17.5%
		Nanoengineering	2	13	15.4%	1	16	6.3%	3	19	15.8%
		Structural Engineering	1	21	4.8%	5	22	22.7%	3	22	13.6%
	GLOBAL POLICY & STRATEGY**	School of Global Policy & Strategy	2	25	8.0%	2	25	8.0%	3	26	11.5%
	RADY SCHOOL OF MANAGEMENT	Rady School of Management	2	25	8.0%	6	24	25.0%	7	26	26.9%
	SCRIPPS INSTITUTION OF OCEANOGRAPHY	SIO Department	8	87	9.2%	12	83	14.5%	7	89	7.9%
	PHYSICAL SCIENCES	Chemistry & Biochemistry	9	49	18.4%	8	52	15.4%	7	50	14.0%
		Mathematics	2	45	4.4%						
		Physics	5	40	12.5%	4	43	9.3%	5	48	10.4%
	SOCIAL SCIENCES	Cognitive Science	1	17	5.9%	2	21	9.5%	1	21	4.8%
		Political Science	1	36	2.8%				1	32	3.1%
		Psychology	1	27	3.7%	2	23	8.7%	1	23	4.3%
	<b>Total</b>		<b>82</b>	<b>626</b>	<b>13.1%</b>	<b>100</b>	<b>552</b>	<b>18.1%</b>	<b>95</b>	<b>600</b>	<b>15.8%</b>

Note: blank cells indicate that the department did not participate during the year indicated.

## Headcount of Enrolled Faculty

### Compared to Total General Campus and Health Sciences Compensation Plan Faculty

UC San Diego

	2013-14	2014-15	2015-16
UC San Diego GCCP Enrolled Faculty Headcount	82	100	95
Total Professorial and In-Residence General Campus Faculty	895	912	921
Enrolled Faculty as a Percentage of Total General Campus Faculty	9.2%	11.0%	10.3%
<b>Health Sciences Comp Plan Faculty (Professorial and In Residence)</b>	<b>399</b>	<b>387</b>	<b>393</b>

\*\* Prior to July 1, 2015 the School of Global Policy and Strategy was known as the School of International Relations and Pacific Studies.

"Total Professorial and In Residence General Campus Faculty " includes Professorial (excluding Recalls), Acting, and In Residence series faculty not in the Health Sciences Compensation Plan (HCOMP).

# Appendix C: 3-Year Compilation of Key Indicators

Table 2d

Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments

All Three Campuses

	2013-14			2014-15			2015-16		
	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
Three Campus Total	154	1,122	13.7%	225	1,466	15.3%	233	1,462	15.9%

Headcount of Enrolled Faculty

Compared to Total General Campus and Health Sciences Compensation Plan Faculty

All Three Campuses

	2013-14			2014-15			2015-16		
NSTP/GCCP Enrolled Faculty Headcount	154	154		225	225		233	233	
Total Professorial and In-Residence General Campus Faculty	3,179	3,179		3,244	3,244		3,284	3,284	
Enrolled Faculty as a Percentage of Total General Campus Faculty	4.8%	4.8%		6.9%	6.9%		7.1%	7.1%	
Health Sciences Comp Plan Faculty (Professorial and In Residence)	1,268	1,268		1,241	1,241		1,245	1,245	
"Total Professorial and In Residence General Campus Faculty " includes Professorial (excluding Recalls), Acting, and In Residence series faculty not in the Health Sciences Compensation Plan (HCOMP).									

**Table 3**  
Gender of Enrolled Faculty Compared to All Faculty in Participating Departments  
All Three Campuses

Gender	2013-14		2014-15		2015-16	
	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments
Female	22.7%	22.1%	20.4%	24.0%	20.6%	24.1%
Male	77.3%	77.9%	79.6%	76.0%	79.4%	75.9%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

**Table 4**  
Race/Ethnicity of Enrolled Faculty Compared to All Faculty in Participating Departments  
All Three Campuses

Race/Ethnicity	2013-14		2014-15		2015-16	
	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments
African/African American	0.7%	2.2%	1.3%	1.5%	1.3%	1.4%
Asian/Asian American	21.6%	16.9%	28.9%	21.4%	30.0%	22.0%
Chicano(a)/Latino(a)/Hispanic	2.6%	6.5%	3.1%	5.0%	3.4%	5.1%
Native American/American Indian*	0.0%	0.1%	0.0%	0.1%	0.0%	0.2%
White/Other	75.2%	74.3%	66.7%	72.0%	65.2%	71.4%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

\*There was a very small sample size for Native American/American Indian faculty; in 2015-16, there were three Native American/American Indian faculty in the participating departments.

# Appendix C: 3-Year Compilation of Key Indicators

**Table 5**  
**Headcount and Percentage of Enrolled Faculty by Rank**  
**Compared to Percentage of Faculty in Participating Departments by Rank**  
**All Three Campuses**

Rank	2013-14			2014-15			2015-16		
	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments
Assistant Professor	13	8.4%	14.8%	16	7.1%	14.8%	26	11.2%	15.1%
Associate Professor	43	27.9%	19.1%	53	23.6%	17.9%	51	21.9%	17.8%
Professor	98	63.6%	66.1%	156	69.3%	67.3%	156	67.0%	67.1%
	<b>154</b>	<b>100.0%</b>	<b>100.0%</b>	<b>225</b>	<b>100.0%</b>	<b>100.0%</b>	<b>233</b>	<b>100.0%</b>	<b>100.0%</b>

# Appendix C: 3-Year Compilation of Key Indicators

**Table 6**  
**Base Salary\*, Negotiated Salary Increment and Total Annual Salary**  
**Enrolled Faculty, by Rank**  
**All Three Campuses**

Rank	2013-14				2014-15				2015-16			
	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment
Assistant Professor	13	\$1,157,470	\$187,346	\$1,344,816	16	\$1,511,300	\$345,148	\$1,856,448	26	\$2,585,500	\$611,156	\$3,196,656
Associate Professor	43	\$4,496,600	\$844,285	\$5,340,885	53	\$6,336,100	\$1,273,781	\$7,609,881	51	\$6,368,200	\$1,473,111	\$7,841,311
Professor	98	\$15,438,250	\$2,662,271	\$18,100,521	156	\$25,823,744	\$5,054,534	\$30,878,278	156	\$27,033,570	\$5,857,557	\$32,891,127
<b>Total</b>	<b>154</b>	<b>\$21,092,320</b>	<b>\$3,693,902</b>	<b>\$24,786,222</b>	<b>225</b>	<b>\$33,671,144</b>	<b>\$6,673,463</b>	<b>\$40,344,607</b>	<b>233</b>	<b>\$35,987,270</b>	<b>\$7,941,824</b>	<b>\$43,929,094</b>

\*Base Salary includes scale rate and any off-scale or the above scale rate.

# Appendix C: 3-Year Compilation of Key Indicators

**Table 7**  
**Headcount by Percent of Negotiated Salary Increment to Base Salary\* by Rank**  
**All Three Campuses**

Rank	2013-14				2014-15				2015-16			
	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total
Assistant Professor	8	1	4	13	3	4	9	16	4	5	17	26
Associate Professor	17	10	16	43	8	27	18	53	7	10	34	51
Professor	46	14	38	98	34	62	60	156	29	48	79	156
<b>Total</b>	<b>71</b>	<b>25</b>	<b>58</b>	<b>154</b>	<b>45</b>	<b>93</b>	<b>87</b>	<b>225</b>	<b>40</b>	<b>63</b>	<b>130</b>	<b>233</b>

\*Base Salary includes scale rate and any off-scale or the above scale rate.



# Appendix C: 3-Year Compilation of Key Indicators

**Table 8**  
**Minimum, Average and Maximum of Negotiated Salary Increment**  
**Enrolled Faculty by Discipline**  
**All Three Campuses**

Disciplinary Group	2013-14				2014-15				2015-16			
	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Biological Sciences	34	\$7,056	\$28,879	\$61,200	38	\$6,159	\$28,359	\$63,000	45	\$7,000	\$29,046	\$66,900
Engineering	41	\$7,500	\$15,400	\$39,300	102	\$7,700	\$31,471	\$64,900	105	\$8,600	\$38,837	\$80,100
Information and Computer Science	9	\$19,330	\$36,728	\$54,750	8	\$27,766	\$45,143	\$58,268	9	\$14,209	\$41,324	\$63,001
Management	2	\$13,500	\$16,100	\$18,700	6	\$13,800	\$18,950	\$27,800	7	\$15,000	\$23,214	\$37,500
Marine Sciences	8	\$7,100	\$14,850	\$26,100	12	\$9,400	\$17,075	\$26,900	7	\$14,100	\$20,771	\$28,300
Other*	6	\$12,260	\$27,459	\$55,000	6	\$13,407	\$30,245	\$55,000	8	\$14,397	\$27,754	\$58,000
Physical Sciences	24	\$8,300	\$27,777	\$58,900	25	\$9,300	\$31,527	\$60,700	25	\$12,200	\$37,106	\$79,100
Public Health	25	\$8,910	\$28,307	\$43,950	22	\$9,180	\$29,613	\$49,020	24	\$10,000	\$30,519	\$51,100
Social Sciences	5	\$10,000	\$15,451	\$26,775	6	\$8,707	\$14,160	\$22,100	3	\$6,100	\$11,167	\$19,300
<b>Total</b>	<b>154</b>				<b>225</b>				<b>233</b>			

\* "Other" includes Asian Languages and Cultures, Criminology, Education, Global Policy and Strategy/International Relations, Pharmaceutical Sciences, Psychology & Social Behavior, and \

In the 2013-14 and 2014-15 Annual Reports, the UCLA divisions of Biological Sciences and Physical Sciences were reported in the discipline category "Letters and Sciences".

In the table above, these Divisions were reported in Biological Sciences and Physical Sciences, respectively.

In the 2013-14 and 2014-15 annual reports, Management was included in the "Other" disciplinary category, rather than separately as shown here.

# Appendix C: 3-Year Compilation of Key Indicators

**Table 9**  
**Negotiated Salary Increment Source by Fund Type**  
**All Three Campuses**

Fund Type	2013-14		2014-15		2015-16	
	Amount	% of Total	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$3,133	0.1%	\$28,000	0.4%	\$42,500	0.5%
Federal C&G Funds	\$1,788,098	48.8%	\$3,525,595	52.8%	\$3,758,122	47.3%
Federal Indirect Cost Recovery Funds	\$11,534	0.3%	\$2,166	0.0%	\$0	0.0%
Gift Funds	\$302,904	8.3%	\$1,199,594	18.0%	\$1,353,225	17.0%
Opportunity Funds	\$181,973	5.0%	\$86,672	1.3%	\$0	0.0%
Patent Funds	\$0	0.0%	\$0	0.0%	\$21,223	0.3%
Private C&G Funds	\$906,674	24.7%	\$729,327	10.9%	\$1,685,394	21.2%
Self-Supporting and Professional Degree Fees	\$79,423	2.2%	\$159,800	2.4%	\$237,300	3.0%
State C&G funds	\$166,129	4.5%	\$112,500	1.7%	\$105,174	1.3%
Summer Session Fees	\$7,842	0.2%	\$8,742	0.1%	\$8,601	0.1%
Other Allowable Funds	\$217,814	5.9%	\$821,066	12.3%	\$730,286	9.2%
<b>Total</b>	<b>\$3,665,524</b>	<b>100.0%</b>	<b>\$6,673,462</b>	<b>100.0%</b>	<b>\$7,941,825</b>	<b>100.0%</b>

# Appendix C: 3-Year Compilation of Key Indicators

**Table 10**  
Negotiated Salary Increment Source by Fund Type by Broad Discipline  
All Campuses

2013-14

Disciplinary Group	External Start-up Funds	Federal C&G Funds	Federal Indirect Cost Recovery Funds	Gift Funds	Opportunity Funds	Patent Funds	Private C&G Funds	Self-Supporting and Prof. Degree Fees	State C&G funds	Summer Session Fees	Other Allowable Funds	Grand Total
Biological Sciences	\$0	\$549,703	\$0	\$83,576	\$118,693	\$0	\$108,696	\$0	\$52,800	\$0	\$61,809	\$975,277
Engineering	\$3,133	\$241,696	\$0	\$167,850	\$0	\$0	\$216,889	\$0	\$0	\$0	\$0	\$629,568
Information and Computer Science	\$0	\$60,078	\$0	\$0	\$0	\$0	\$258,582	\$0	\$0	\$399	\$4,354	\$323,413
Management	\$0	\$0	\$0	\$0	\$0	\$0	\$18,700	\$13,500	\$0	\$0	\$0	\$32,200
Marine Sciences	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$110,050	\$110,050
Other*	\$0	\$34,500	\$0	\$0	\$31,620	\$0	\$30,659	\$65,923	\$0	\$0	\$0	\$162,702
Physical Sciences	\$0	\$434,469	\$0	\$46,900	\$31,660	\$0	\$70,424	\$0	\$54,900	\$0	\$26,011	\$664,364
Public Health	\$0	\$413,165	\$11,534	\$4,578	\$0	\$0	\$196,024	\$0	\$58,429	\$0	\$3,589	\$687,320
Social Sciences	\$0	\$54,487	\$0	\$0	\$0	\$0	\$6,700	\$0	\$0	\$7,443	\$12,000	\$80,630
<b>Total</b>	<b>\$3,133</b>	<b>\$1,788,098</b>	<b>\$11,534</b>	<b>\$302,904</b>	<b>\$181,973</b>	<b>\$0</b>	<b>\$906,674</b>	<b>\$79,423</b>	<b>\$166,129</b>	<b>\$7,842</b>	<b>\$217,814</b>	<b>\$3,665,524</b>

2014-15

Disciplinary Group	External Start-up Funds	Federal C&G Funds	Federal Indirect Cost Recovery Funds	Gift Funds	Opportunity Funds	Patent Funds	Private C&G Funds	Self-Supporting and Prof. Degree Fees	State C&G funds	Summer Session Fees	Other Allowable Funds	Grand Total
Biological Sciences	\$0	\$746,006	\$850	\$101,169	\$10,211	\$0	\$101,064	\$0	\$33,600	\$2,720	\$82,026	\$1,077,646
Engineering	\$28,000	\$1,528,497	\$0	\$944,446	\$0	\$0	\$342,040	\$0	\$28,755	\$0	\$338,255	\$3,209,992
Information and Computer Science	\$0	\$167,614	\$1,316	\$60,229	\$22,550	\$0	\$109,432	\$0	\$0	\$0	\$0	\$361,141
Management	\$0	\$15,300	\$0	\$12,500	\$0	\$0	\$19,100	\$66,800	\$0	\$0	\$0	\$113,700
Marine Sciences	\$0	\$16,300	\$0	\$950	\$0	\$0	\$0	\$0	\$0	\$0	\$187,650	\$204,900
Other*	\$0	\$35,855	\$0	\$0	\$15,005	\$0	\$0	\$93,000	\$0	\$0	\$37,607	\$181,467
Physical Sciences	\$0	\$586,634	\$0	\$80,300	\$38,906	\$0	\$54,143	\$0	\$0	\$0	\$28,195	\$788,178
Public Health	\$0	\$350,454	\$0	\$0	\$0	\$0	\$103,548	\$0	\$50,145	\$0	\$147,334	\$651,481
Social Sciences	\$0	\$78,935	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$6,022	\$0	\$84,957
<b>Total</b>	<b>\$28,000</b>	<b>\$3,525,595</b>	<b>\$2,166</b>	<b>\$1,199,594</b>	<b>\$86,672</b>	<b>\$0</b>	<b>\$729,327</b>	<b>\$159,800</b>	<b>\$112,500</b>	<b>\$8,742</b>	<b>\$821,066</b>	<b>\$6,673,463</b>

# Appendix C: 3-Year Compilation of Key Indicators

**Table 10**  
Negotiated Salary Increment Source by Fund Type by Broad Discipline  
All Campuses

2015-16

Disciplinary Group	External Start-up Funds	Federal C&G Funds	Federal Indirect Cost Recovery Funds	Gift Funds	Opportunity Funds	Patent Funds	Private C&G Funds	Self-Supporting and Prof. Degree Fees	State C&G funds	Summer Session Fees	Other Allowable Funds	Grand Total
Biological Sciences	\$25,000	\$940,800	\$0	\$56,994	\$0	\$0	\$217,541	\$0	\$11,400	\$7,546	\$47,800	\$1,307,081
Engineering	\$17,500	\$1,826,548	\$0	\$979,243	\$0	\$0	\$958,616	\$0	\$44,200	\$0	\$228,870	\$4,054,977
Information and Computer Science	\$0	\$22,917	\$0	\$152,058	\$0	\$21,223	\$175,721	\$0	\$0	\$0	\$0	\$371,919
Management	\$0	\$19,800	\$0	\$17,700	\$0	\$0	\$0	\$123,700	\$0	\$0	\$0	\$161,200
Marine Sciences	\$0	\$0	\$0	\$2,300	\$0	\$0	\$0	\$0	\$0	\$0	\$133,500	\$135,800
Other*	\$0	\$51,242	\$0	\$0	\$0	\$0	\$0	\$113,600	\$0	\$0	\$57,191	\$222,033
Physical Sciences	\$0	\$458,007	\$0	\$130,731	\$0	\$0	\$237,398	\$0	\$16,800	\$0	\$84,722	\$927,658
Public Health	\$0	\$424,308	\$0	\$0	\$0	\$0	\$96,117	\$0	\$32,774	\$1,055	\$178,203	\$732,457
Social Sciences	\$0	\$14,500	\$0	\$14,200	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$28,700
<b>Total</b>	<b>\$42,500</b>	<b>\$3,758,122</b>	<b>\$0</b>	<b>\$1,353,225</b>	<b>\$0</b>	<b>\$21,223</b>	<b>\$1,685,394</b>	<b>\$237,300</b>	<b>\$105,174</b>	<b>\$8,601</b>	<b>\$730,286</b>	<b>\$7,941,825</b>

\* "Other" includes Asian Languages and Cultures, Criminology, Education, Global Policy and Strategy/International Relations, Pharmaceutical Sciences, Psychology & Social Behavior, and Visual Arts.

In the 2013-14 and 2014-15 annual reports, the UCLA divisions of Biological Sciences and Physical Sciences were reported in the discipline category "Letters and Sciences."

In the table above, these Divisions were reported in Biological Sciences and Physical Sciences, respectively.

In the 2013-14 and 2014-15 annual reports, Management was included in the "Other" disciplinary category, rather than separately as shown here.

# Appendix C: 3-Year Compilation of Key Indicators

**Table 11**  
**NSTP/GCCP Enrolled Faculty**  
**Teaching Workload, Graduate and Undergraduate**  
**Average of Fall, Winter and Spring Quarters**  
**All Three Campuses**

Discipline	Two Years Prior to Program: Average of 2011-12 and 2012-13			2013-14		2014-15		2015-16	
	FTE of 2013-14 Enrolled Faculty*	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	30.9	219.1	32.2	175.2		30.1	309.7	37.1	321.9
Engineering	37.9	168.0	40.3	202.6		85.2	233.8	90.2	205.3
Information and Computer Science	8.9	149.9	9.0	195.4		8.0	171.7	9.0	224.7
Management	2.0	85.6	2.0	94.0		5.1	143.1	6.3	174.6
Marine Sciences	5.5	51.6	5.8	86.7		4.4	111.0	0.7	225.4
Other*	5.5	161.0	5.8	174.2		5.7	176.1	7.0	175.0
Physical Sciences	22.0	181.2	24.0	197.9		21.8	268.2	21.4	185.8
Public Health	18.8	100.9	19.0	88.1		19.0	61.2	23.0	93.8
Social Sciences	4.9	291.1	4.5	309.1		4.2	492.2	2.1	425.3
<b>All NSTP/GCCP Enrolled Faculty</b>	<b>136.3</b>	<b>169.5</b>	<b>142.5</b>	<b>175.8</b>		<b>183.6</b>	<b>228.4</b>	<b>196.8</b>	<b>213.4</b>

\* FTE associated with Instructional Function of the faculty who participated in 2013-14, averaged over the two years 2011-12 and 2012-13.

# Appendix C: 3-Year Compilation of Key Indicators

**Table 12**  
**NSTP/GCCP Non-Enrolled Faculty in Participating Units**  
**Teaching Workload, Graduate and Undergraduate**  
**Average of Fall, Winter, and Spring Quarters**  
**All Three Campuses**

Discipline	Two Years Prior to Program: Average of 2011-12 and 2012-13			2013-14		2014-15		2015-16	
	FTE of 2013-14 Non-Enrolled Faculty*	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	176.5	308.3	178.3	297.7		175.9	266.2	166.6	254.0
Engineering	141.5	233.2	142.4	260.9		280.4	239.6	290.5	258.0
Information and Computer Science	28.7	209.8	27.6	250.0		28.5	337.5	46.2	266.3
Management	10.9	202.5	12.8	170.5		10.2	204.5	9.7	231.5
Marine Sciences	12.5	272.8	17.1	227.2		14.7	272.6	18.3	244.4
Other*	66.8	322.8	61.7	339.2		83.1	331.8	95.1	253.4
Physical Sciences	202.5	282.8	205.2	300.3		303.0	252.6	291.6	206.9
Public Health	43.7	134.4	41.7	129.6		38.5	95.9	45.2	86.8
Social Sciences	70.4	361.0	72.5	315.2		50.7	256.4	46.7	392.4
<b>All Non-Enrolled Faculty, Participating Departments</b>	<b>753.6</b>	<b>277.6</b>	<b>759.2</b>	<b>281.9</b>		<b>985.1</b>	<b>254.3</b>	<b>1,009.9</b>	<b>240.6</b>

\* FTE associated with Instructional Function of non-enrolled faculty in departments that participated in 2013-14, averaged over the two years 2011-12 and 2012-13.

## Notes:

"Other" includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian Languages and Cultures, and Visual Arts.

The distribution of faculty by discipline changed notably in 2014-15 with the addition of the School of Engineering and the Division of Physical Sciences at UCLA.

## Negotiated Salary Trial Program (NSTP) / General Campus Compensation Plan (GCCP) Additional Data Requested by Fourth Year Taskforce

UC Irvine, UCLA and UC San Diego

Table 1: General Campus/ Health Sciences Compensation Plan (HSCP)  
Split/Joint Appointments

When Appointment Began	Number of split/joint appointments			
	UCI	UCLA	UCSD	Total
Prior to NSTP (1979 through 2012)	13	46	16	75
Since NSTP started (2013 through 2016)	1	3	8*	12
<b>Total</b>	<b>14</b>	<b>49</b>	<b>24</b>	<b>87</b>

\* At UC San Diego, the period covered by the GCCP overlapped with a Chancellor's program encouraging cross-disciplinary appointments, which had the effect of increasing the number of HSCP joint appointments; three of the eight joint appointments initiated during this period were new hires whose distribution of effort is directly connected to the Chancellor's joint FTE program. Two of the remaining five were initially in health sciences and during this period became joint with general campus departments.

Chart 1: Current Split/Joint Appointments by Year Started, by Campus

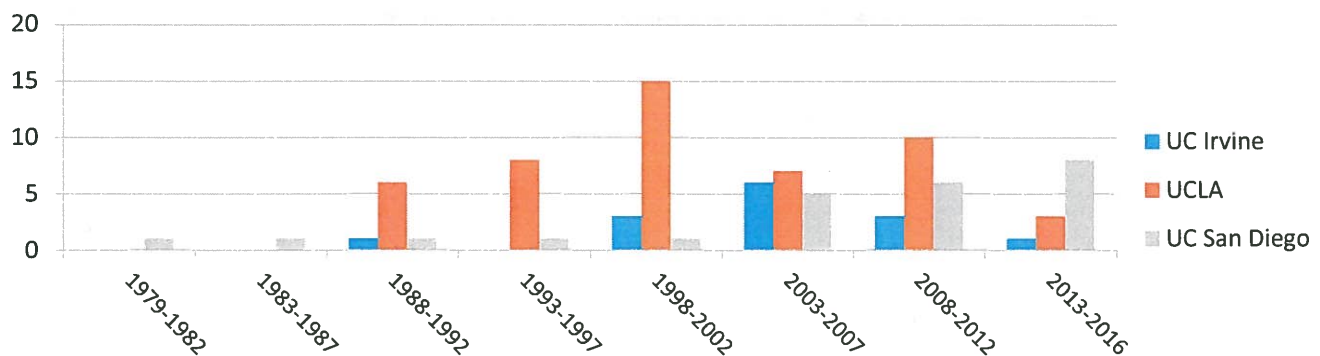
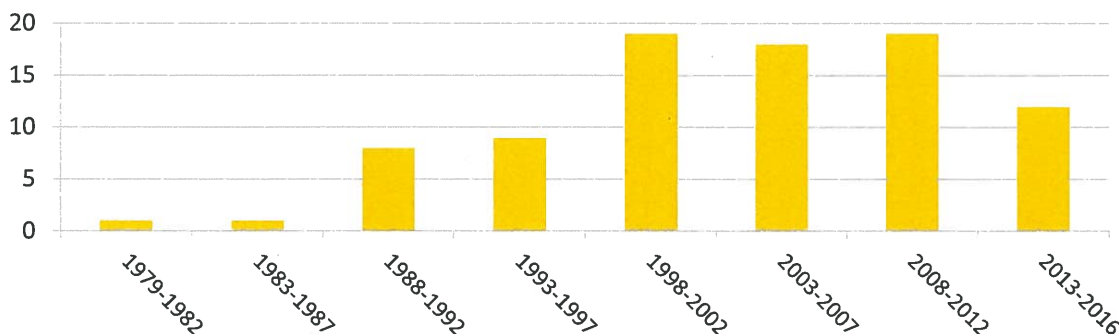


Chart 2: Current Split/Joint Appointments by Year Started, all Three Campuses



**Table 2: Research Expenditures in 2013-14 and 2014-15**  
**Faculty Enrolled in Both 2015-16 and 2016-17**

Analysis of the research expenditures in 2013-14 and 2014-15 for the subset of enrolled faculty who participated in both 2015-16 and 2016-17. Research expenditure data are from prior years due to lags in data collection.

Campus		2013-14	2014-15
<b>Irvine</b> 40 faculty members	Total Research Expenditures	\$23,231,222	\$33,662,627
	Average Expenditures per faculty member	\$580,781	\$841,566
<b>UCLA</b> 65 faculty members	Total Research Expenditures	\$61,461,825	\$67,328,662
	Average Expenditures per faculty member	\$945,567	\$1,035,826
<b>San Diego</b> 68 faculty members	Total Research Expenditures	\$67,464,875	\$76,748,590
	Average Expenditures per faculty member	\$992,131	\$1,128,656

Sources: **Irvine:** Total research expense data reported by faculty on their applications for participation in 2015-16 (2013-14 data) and 2016-17 (2014-15 data).

**UCLA and San Diego:** Data from financial system on research expenditures; includes 2013-14 and 2014-15 research expenditures recorded for faculty who were enrolled in both 2015-16 and 2016-17 and for whom research expenditures were reported in campus systems in both 2013-14 and 2014-15.



**Table 3: Negotiated Salary as a Proportion of Research Expenditures:  
Faculty Enrolled in Both 2013-14 and 2014-15**

Analysis of the research expenditures in 2013-14 and 2014-15 for the subset of enrolled faculty who participated in both 2013-14 and 2014-15, compared to the total negotiated increment. At UC Irvine, these research expenditure data were collected from faculty who applied to participate in 2015-16 and 2016-17; data from UCLA and UC San Diego are from campus financial systems.

Campus		2013-14	2014-15
<b>Irvine</b> 18 faculty members	Total Negotiated Increment	\$539,023	\$623,154
	Total Research Expenditures	\$12,671,114	\$16,154,052
	% of Total Research Expenditures spent on Negotiated Increment	4.3%	3.9%
<b>UCLA</b> 26 faculty members	Total Negotiated Increment	\$810,510	\$817,357
	Total Research Expenditures	\$26,740,874	\$24,430,368
	% of Total Research Expenditures spent on Negotiated Increment	3.0%	3.3%
<b>San Diego</b> 61 faculty members	Total Negotiated Increment	\$1,155,183	\$1,647,100
	Total Research Expenditures	\$63,190,207	\$61,448,273
	% of Total Research Expenditures spent on Negotiated Increment	1.8%	2.7%

Sources: **UC Irvine:** Total research expense data reported by faculty on their applications for participation in 2015-16 (2013-14 data) and 2016-17 (2014-15 data); data include only the 18 enrolled faculty who reported total research expenses for 2013-14 and 2014-15 AND participated in the NSTP for both years.

**UCLA and UC San Diego:** Total research expenditures data from campus financial systems; includes faculty who were enrolled in both 2013-14 and 2014-15 and had research expenditures for both years that were associated with them in the financial system.

## Negotiated Salary Trial Program (NSTP) / General Campus Compensation Plan (GCCP)

### Additional Data Requested by Fourth Year Taskforce

Data Tables for UC Irvine Only

Table 4: New Hires: UC Irvine

Year	Rank	Total # of new hires in participating schools*	Number of enrolled new hires	Percentage of new hires enrolled
2013-14	Assistant	20	0	0%
	Associate	5	0	0%
	Full	2	1	50%
<b>subtotal</b>		<b>27</b>	<b>1</b>	<b>4%</b>
2014-15	Assistant	32	1	3%
	Associate	5	0	0%
	Full	4	0	0%
<b>subtotal</b>		<b>41</b>	<b>1</b>	<b>2%</b>
2015-16	Assistant	22	3	14%
	Associate	2	1	50%
	Full	6	0	0%
<b>subtotal</b>		<b>30</b>	<b>4</b>	<b>13%</b>
2016-17	Assistant	17	0	0%
	Associate	9	1	11%
	Full	6	1	17%
<b>subtotal</b>		<b>32</b>	<b>2</b>	<b>6%</b>
<b>Total:</b>		<b>130</b>	<b>8</b>	<b>6%</b>

\* Hires in schools where there were faculty enrolled in the NSTP in that year. Faculty who were hired mid-academic year and did not enroll until the following academic year are counted in the year of their enrollment.

**Table 5: GSR Analysis: UC Irvine**

Analysis on the GSR and TAs supported by the 42 individuals at UC Irvine who enrolled in both 2015-16 and 2016-17 (those who used the new forms that captured this information).

	2013-14	2014-15	2015-16
Graduate Students - Quarters Supervised (4 quarters per student)	616	740	756
Quarters of PI support (assuming a full time graduate student=4 quarters)	400	430	460
Quarters of TA/Reader support	91	106	104
Quarters with Outside Fellowship Support	125	204	192

**Table 6: Research Group Analysis: UC Irvine**

Analysis on the entire research group of the 42 enrolled faculty who participated in both 2015-16 and 2016-17. Includes the graduate student data from the table above. FTE equivalent was determined by adding up the percent time of each individual's appointment percent which was reported on the application forms (e.g. a 45 percent Graduate Student, was only counted as a 0.45 FTE).

Year	Total FTE Equivalent
2013-14	170.88
2014-15	204.85
2015-16	210.63

## **NSTP Fourth Year Chair/Leader Survey**

### **NSTP Fourth Year Report Chair/Leader Survey Development**

The NSTP Fourth Year Taskforce identified a need to survey department chairs about the General Campus Negotiated Salary Trial Program (NSTP) on the three campuses participating in the trial (UC Irvine, UCLA, and UC San Diego). The plan is known at UC San Diego as the General Campus Compensation Plan (GCCP). The taskforce desired more detail, specifically from department chairs, to assess whether the program successfully helped with faculty recruitment and retention, and to gauge the effect the program has had on department morale and faculty activity.

The Taskforce Chair, Professor Mary Gauvain, drafted the questions for the survey, and staff at the UC Office of the President worked with Professor Gauvain and other members of the taskforce to refine the questions and format them for an online survey.

### **Survey Administration**

The survey was administered online through SurveyGizmo in February and March 2017. On February 27, 2017, a link to the web-based survey was sent to 59 department chairs (and to deans of schools with only one department – schools of education and business schools, for example) of units that participated in the first, second, or third year of the program on the Irvine, Los Angeles, and San Diego campuses. A reminder was sent to chairs on March 10, and members of the Taskforce personally contacted chairs on their respective campuses. Fifty-five chairs completed the survey, yielding an overall response rate of approximately 93 percent. Response rates varied slightly among the different campuses. At UC Irvine, 100 percent of the chairs surveyed completed the survey. At UC San Diego and UCLA, the response rates were 91 percent and 90 percent, respectively.

The departments surveyed are listed in the survey instrument, reproduced at the end of this analysis. Department leaders responded to items about the program's impact on recruitment and retention; the replacement cost of a failed retention; the effect of the program on department morale and faculty contributions to teaching, research/creative activities, departmental and campus service, grant submissions and awards, and outside consulting. The survey also asked how the program affected the number of requests for split or joint appointments in a Health Sciences Compensation Plan department.

To assist in the administration of the survey and to provide a means to contact respondents in case follow-up was needed, respondents were asked to identify their department. To maintain confidentiality, this identifying information is excluded from the comments that are quoted in the following summary.

## NSTP Fourth Year Chair/Leader Survey Response Summary

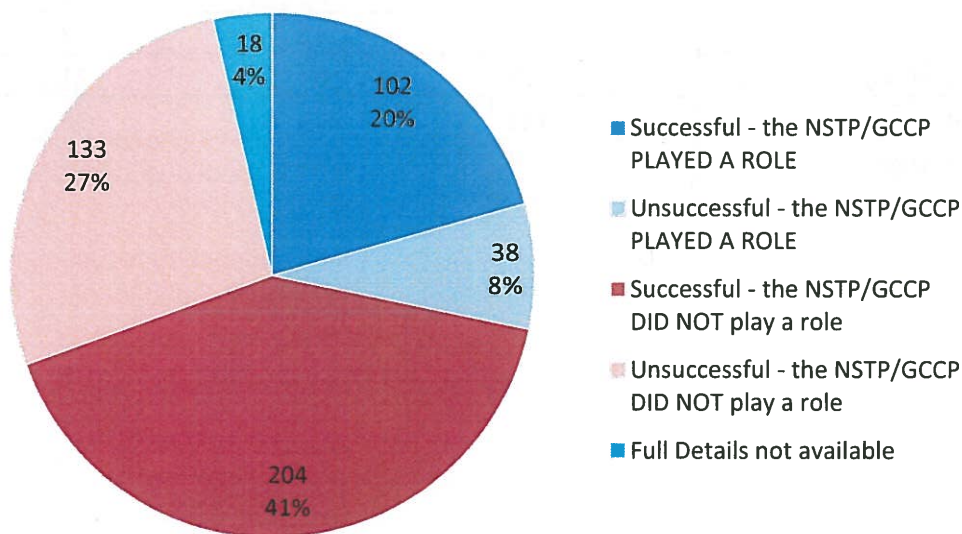
In general, respondents reported that the program was used more in retentions than recruitments. Comments suggest that this may in part be because most recruitments are of junior faculty who do not yet have the grant funding in hand that would allow them to participate in the program.

### Analysis of Recruitments

Responses indicate that the NSTP played a role in 140 out of 495 recruitments. In some cases, a respondent reported the number of recruitments but did not provide further detail. Follow-up with respondents revealed different reasons for this: for example the chair may not have asked faculty directly whether the program was a factor in the success or failure of the recruitment, and so could not offer more detail. In some cases respondents provided full detail on the effect of the program on more recruitments than they reported in their response to the first question. To address these discrepancies, analysis of recruitments in Figures 2 through 7 is based on the final results from only those questions for which respondents provided full detail.

**Chart 1. The Use of the NSTP/GCCP in Faculty Recruitments**

- How many formal RECRUITMENT negotiations has your department been involved with since June 2013, when the NSTP/GCCP began? (If you are unsure of the exact number, please enter a total as close to the actual number as possible.)
  - How many of these RECRUITMENTS were
    - Successful (the faculty member joined the department) or
    - Unsuccessful (the faculty member did not join the department)
- And in how many of each did the NSTP/GCCP play a role (e.g., the program was discussed or offered as an incentive or option as part of recruitment negotiations)?



**NSTP/GCCP as a factor in the success of faculty recruitments**

The NSTP/GCCP played a role in 31 percent of the 475 recruitment negotiations for which respondents provided information. Recruitments were more likely to be successful when the NSTP/GCCP was involved: 74 percent of recruitments where the program played a role were successful, compared to 61 percent of recruitments where the program did not play a role.

**Table 1: Successful and unsuccessful recruitments where NSTP/GCCP played or did not play a role**

	NSTP/GCCP played a role		NSTP/GCCP did not play a role		Total
	Successful	Unsuccessful	Successful	Unsuccessful	
UC Irvine	19	10	80	30	139
UCLA	56	7	40	14	117
UC San Diego	36	21	80	82	219
<b>Total</b>	<b>111</b>	<b>38</b>	<b>200</b>	<b>126</b>	<b>475</b>
<i>% of Category</i>	74%	26%	61%	39%	
<i>% of Total Recruitments</i>	23%	8%	42%	27%	100%

Viewed in another way, responses suggest that successful recruitments were more likely to have involved the NSTP/GCCP than unsuccessful ones: In 36 percent of successful recruitments, the NSTP played a role, compared to 23 percent of unsuccessful recruitments.

**Table 2: The role of the NSTP/GCCP in successful and unsuccessful recruitments**

	Successful		Unsuccessful		Total
	NSTP/GCCP played a role	NSTP/GCCP did not play a role	NSTP/GCCP played a role	NSTP/GCCP did not play a role	
UC Irvine	19	80	10	30	139
UCLA	56	40	7	14	117
UC San Diego	36	80	21	82	219
<b>Total</b>	<b>111</b>	<b>200</b>	<b>38</b>	<b>126</b>	<b>475</b>
<i>Percentage</i>	36%	64%	23%	77%	

**NSTP/GCCP as a Factor in Successful Recruitments**

In successful recruitments where the NSTP/GCCP played a role, chairs responded that in 97 percent of cases the program contributed, at least in part, to the success of the retention. Eighty-one percent reported that the program was an "Important" or "Very Important" factor in the success of the recruitment.

**Table 3: Successful Recruitments in which the NSTP/GCCP Played a Role:**

<b>Campus</b>	<b>The NSTP/GCCP was not a factor</b>	<b>A minor factor</b>	<b>Some contribution</b>	<b>Important factor</b>	<b>Very important factor</b>	<b>Total</b>
UC Irvine	0	0	3	4	12	19
UCLA	0	0	10	15	31	56
UC San Diego	3	0	5	9	19	36
<b>Total</b>	<b>0</b>	<b>0</b>	<b>18</b>	<b>28</b>	<b>62</b>	<b>111</b>
<i>Percentage</i>	3%	0%	16%	25%	56%	

**Comments\*:**

- Allowed match to salary at private institution
- As a relatively new [school], we require every method to compete with Top 25 schools, and [NSTP/GCCP] has helped in almost 1/2 of our recent recruitment.
- Every one of my department's hires had competing offers that were significantly higher than what we can offer at [this campus]. However, we were able to compete with regard to salary because of [NSTP/GCCP].
- For the two folks, the ability to earn extra salary to come to [this campus] from other institutions played a very significant role. Both are using NSTP \$\$, in year 1 of their employment and now in year 2.
- [NSTP/GCCP] was very important factor in the success of the recruitment keeping us more competitive with the best schools allowing hiring top candidates.
- Helped provide a competitive package
- I am a new chair and am only first hand familiar with one case. I am making my best guess about the others.
- In general, our recruits had other opportunities at universities that offered higher salaries.
- The most important selling point for [this department].
- The other recruitments are in process; the applicants are very enthusiastic about the possibility of the [NSTP/GCCP].
- We would not have been able to match offers without [NSTP/GCCP]
- When negotiating salary, we always indicate what the maximum possible salary is with [NSTP/GCCP]. That always catches the attention of those we try to recruit and in one case was notably important in showing the potential for a significant salary increase over their existing salary rate where they did not have a comparable program.
- Would have been a larger factor if it wasn't a temporary pilot project

\*Identifying information within the text of comments has been redacted. All comments are verbatim as they appear in the survey.

In successful recruitments where the NSTP/GCCP did not play a role, the most common response (34 percent) was "Other." In their comments, chairs indicate that junior faculty are not likely to have the funds available to participate. In 28 percent of cases, the faculty member was not eligible, and in another 28 percent of cases, there was no discussion of the program during the recruitment negotiations.

**Table 4: Successful Recruitments in which the NSTP/GCCP Did Not Play a Role:**

Campus	The faculty member was not eligible	Faculty member was eligible, but there was no discussion of the NSTP/GCCP	Not sure why NSTP/GCCP did not play a role	Other - please explain	Total
UC Irvine	31	20	9	20	80
UCLA	15	15	5	5	40
UC San Diego	10	21	7	42	80
<b>Total</b>	<b>56</b>	<b>56</b>	<b>21</b>	<b>67</b>	<b>204</b>
<i>Percentage</i>	28%	28%	11%	34%	

**Comments:**

- The issue was raised but it wasn't clear the faculty members would ever use it
- 7/8 are junior faculty. We explained the program but it loomed like a distant future possibility in their minds. 1/8 was a sr hire, program interesting but had other reasons to join the faculty here (appointed new Dean)
- All 5 successful offers not including [NSTP/GCCP] within eligible LRF titles were in [specific disciplines]. These offers were calibrated to [discipline-based] salary surveys that justified competitive offers OR we had a competing offer that allowed [this department] to offer a 10-15% inducement to join us.
- All three were new assistant professors, and starting salary was not a major issue because we were able to offer a competitive amount.
- For "Other", candidate did not seem interested in program.
- [NSTP/GCCP] played some role, but not heavily - faculty members too junior (postdocs, recent PhDs, etc.), with little to no funding to benefit immediately from [NSTP/GCCP].
- I have never heard of NSTP/GCCP prior to receiving this survey. I assume that it must NOT be applicable to my department. But since I have not heard of it, I cannot be 100% certain.\*
- In all the cases I was involved in we were able to meet the expectations in terms of salary without including this program
- Mainly junior hires
- Not generally relevant to recruiting assistant professors, who do not yet have research contracts
- Not needed
- Not one of the candidates did the math play a role.
- NSTP/GCCP does not play much of a role for [this field's] faculty, especially for junior people.
- One eligible, [NSTP/GCCP] was discussed but candidate not interested.
- [This department] doesn't allow startup to be used for [NSTP/GCCP] as it is in some other divisions.
- These 12 recruitments were for very junior faculty who were not eligible only in the sense that they did not have current or pending funding sources at the time that would have made them eligible. The Dean does routinely mention the NSTP program in all offer letters, so all candidates are aware of it.



- Three of our seven searches involved assistant professors fresh out of graduate school. NSTP did not play a role for them. Two of our seven searches involved mid-career folks. They took notice of NSTP, and are likely to make use of it in future, but it did not play a role in the big yes/no decision.
- Two Assistant Professor faculty without sufficient research resources for NSTP. The program probably created a more positive attitude toward the school and potential salary.

\*This response was from a chair of a department that only had one enrolled faculty member, and only in the third year of the program (2015-16).

### NSTP/GCCP as a Factor in Unsuccessful Recruitments

When asked about unsuccessful recruitments where the NSTP/GCCP played a role (e.g., the program was discussed or offered as an incentive or option as part of recruitment negotiations), in 92 percent of instances the chairs reported that the program was not a factor (74 percent) or only a minor factor (18 percent) in the failure of the recruitment. For the remaining cases (8 percent), chairs indicated that it contributed somewhat or was an "important factor;" none reported that it was a "very important factor."

**Table 5: Unsuccessful Recruitments in which the NSTP/GCCP Played a Role**

Campus	Not a factor in why the recruitment failed	A minor factor	Some contribution	Important factor	Very important factor	Total
UC Irvine	6	2	1	1	0	10
UCLA	6	0	1	0	0	7
UC San Diego	16	5	0	0	0	21
<b>Total</b>	<b>28</b>	<b>7</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>38</b>
<i>Percentage</i>	74%	18%	5%	3%	0%	

#### Comments:

- Being able to offer the [NSTP/GCCP] is a very important aspect of our offers and I would highly encourage the continuation of this program. The "trial" in the [NSTP/GCCP] did make some of our candidates hesitate as they wanted assurances that this would continue
- Between salary and [NSTP/GCCP], we were not able to overcome compensation thresholds required to recruit faculty to join us, including 2 [faculty] to found the new [ ] program.
- Family move was the issue
- NSTP/GCCP was a positive factor, the candidate found appealing. Recruitment failed for other reasons
- The candidate was looking for a very high salary around \$400k and [NSTP/GCCP] was used to try and hit that number.
- The recruit discounted it because this was a temporary pilot project
- We lost a senior faculty recruitment over salary, which was low at [this campus] relative to the salary [the candidate is] currently receiving and higher cost of living in [this city]. We used the [NSTP/GCCP] and potential for higher salary to try to mitigate the effect of low UC salaries, and the candidate appreciated the program, but its potential gains in salary were not enough to offset the sure reduction in salary even with a generous offscale in the offer.

In unsuccessful recruitments where the NSTP/GCCP did not play a role, the most common reason (37 percent) was "Other". Among the other cases, in 21 percent of cases the program was not discussed; in 31 percent of cases the respondent was not sure, and in 12 percent of cases the faculty member was not eligible. Comments include that in a number of cases the candidates received other offers that were higher than the campus could match.

**Table 6: Unsuccessful Recruitments in which the NSTP/GCCP Did Not Play a Role**

<b>Campus</b>	<b>The faculty member was not eligible</b>	<b>Faculty member was eligible, but there was no discussion of the NSTP/GCCP</b>	<b>Not sure why NSTP/GCCP did not play a role</b>	<b>Other - please explain</b>	<b>Total</b>
UC Irvine	9	5	1	15	30
UCLA	5	5	3	1	14
UC San Diego	0	17	35	30	82
<b>Total</b>	<b>14</b>	<b>27</b>	<b>39</b>	<b>46</b>	<b>126</b>
<i>Percentage</i>	<i>12%</i>	<i>21%</i>	<i>31%</i>	<i>37%</i>	

#### Comments

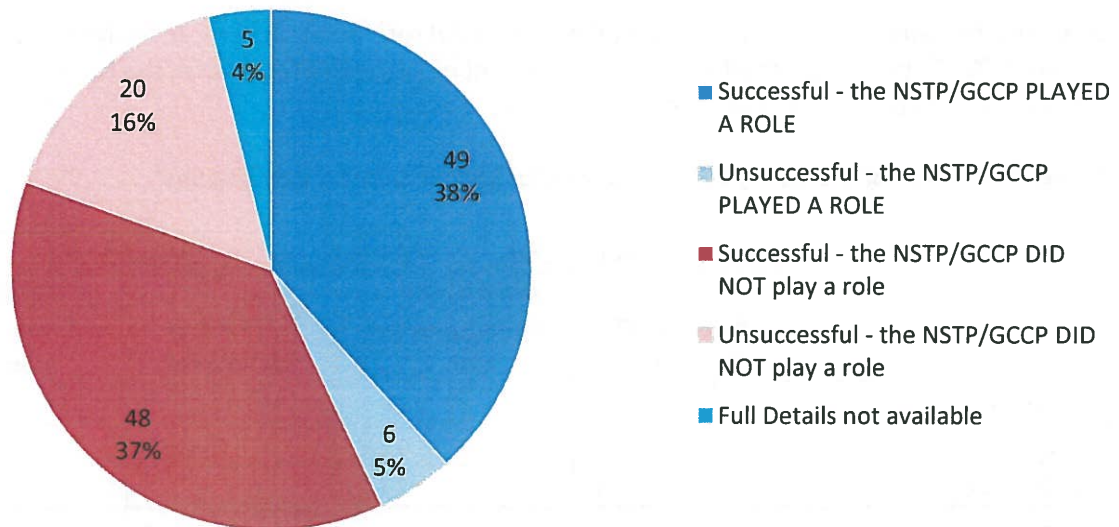
- As a new [ ] school, we are at a competitive disadvantage vis a vis Top 25 [ ] schools. The more established schools have greater infrastructure, professional networks, and endowment. Joining [this department] requires a more significant commitment to build a new school and programs in the face of stiff competition.
- Candidate had insufficient external funding to matter
- Chose another institution due to spousal hire issues
- Even with [NSTP/GCCP] [this campus] was not competitive with offers (2) from Stanford and Northwestern Universities (1).
- Junior faculty. We explained the program but it loomed like a distant future possibility in their minds
- No offer made, thus, no discussion with candidate
- Not needed
- NSTP/GCCP does not play much of a role for [this field's] faculty, especially for junior people.
- This does not have any impact on recruitments
- Three candidates chose, in the end, to stay at their home institutions, having received attractive retention offers. Their true level of interest in relocating to [this campus] may have been modest all along. The fourth candidate (a [specialist faculty]) received a start-up offer from another institution that we could not come close to matching, unfortunately.

## Analysis of Retentions

The NSTP was reported as having played a role in 55 out of 128 retentions. In a small number of cases (5), a respondent reported the number of retentions but did not provide further detail. Further analysis of retentions below excludes these five cases.

**Chart 2. The Use of the NSTP/GCCP in Faculty Retentions**

- How many RETENTION negotiations has your department been involved with since June 2013, when the NSTP/GCCP began? (If you are unsure of the exact number, please enter a total as close to the actual number as possible.)
- How many of these RETENTIONS were
  - Successful (the faculty member joined the department) or
  - Unsuccessful (the faculty member did not join the department)
 And in how many of each did the NSTP/GCCP play a role (e.g., the program was discussed or offered as an incentive or option as part of retention negotiations)?



**NSTP/GCCP as a factor in the success of faculty retentions**

The NSTP/GCCP played a role in 45 percent of the 123 retention negotiations for which respondents provided detail. Retentions were more likely to be successful when the NSTP/GCCP was involved: 89 percent of retentions where the program played a role were successful, compared to 71 percent of retentions where the program did not play a role.

**Table 7: Successful and unsuccessful retentions where NSTP/GCCP played or did not play a role**

	NSTP/GCCP played a role		NSTP/GCCP did not play a role		Total
	Successful	Unsuccessful	Successful	Unsuccessful	
UC Irvine	9	2	24	5	40
UCLA	14	0	11	7	32
UC San Diego	26	4	13	8	51
<b>Total</b>	<b>49</b>	<b>6</b>	<b>48</b>	<b>20</b>	<b>123</b>
<i>% of Category</i>	<i>89%</i>	<i>11%</i>	<i>71%</i>	<i>29%</i>	
<i>% of Total Retentions</i>	<i>40%</i>	<i>5%</i>	<i>39%</i>	<i>16%</i>	<i>100%</i>

Seen another way, the responses suggest that successful retentions were more likely to have involved the NSTP/GCCP than unsuccessful ones: In 51 percent of successful retentions, the NSTP played a role, compared to 23 percent of unsuccessful retentions.

**Table 8: The role of the NSTP/GCCP in successful and unsuccessful retentions**

	Successful		Unsuccessful		Total
	NSTP/GCCP played a role	NSTP/GCCP did not play a role	NSTP/GCCP played a role	NSTP/GCCP did not play a role	
UC Irvine	9	24	2	5	40
UCLA	14	11	0	7	32
UC San Diego	26	13	4	8	51
<b>Total</b>	<b>49</b>	<b>48</b>	<b>6</b>	<b>20</b>	<b>123</b>
<i>Percentage</i>	<i>51%</i>	<i>49%</i>	<i>23%</i>	<i>77%</i>	

**NSTP/GCCP as a Factor in Successful Retentions**

In successful retentions where the NSTP/GCCP played a role, chairs responded that in 100 percent of cases the program provided at least some contribution to the success of the retention; 76 percent reported that the program was an "Important" or a "Very Important" factor in the success of the retention.

**Table 9: Successful Retentions in which the NSTP/GCCP Played a Role:**

<b>Campus</b>	<b>The NSTP/GCCP was not a factor</b>	<b>A minor factor</b>	<b>Some contribution</b>	<b>Important factor</b>	<b>Very important factor</b>	<b>Total</b>
UC Irvine	0	0	4	3	2	9
UCLA	0	0	5	2	7	14
UC San Diego	0	0	3	3	20	26
<b>Total</b>	<b>0</b>	<b>0</b>	<b>12</b>	<b>8</b>	<b>29</b>	<b>49</b>
<i>Percentage</i>	0%	0%	24%	16%	59%	

**Comments:**

- Again this retention case is in play now; certainly we would not have a chance at retention without the [NSTP/GCCP] - I expect we will be successful in the retention
- Again, putting the potential salary with [NSTP/GCCP] is an important part of developing counter offers, especially since the competing offer often requires some grant/contract support and so we can show that if they generate enough external funding it can raise their salary above the equivalent at the competing institution.
- Helped us retain two highly productive faculty being recruited by private institutions with much higher salaries.
- In both cases, [NSTP/GCCP] was critically important. Again, it is the only way [this campus] can compete with private university salaries.
- It was very new at this point.
- It would be very difficult to negotiate a successful retention and provide compensation competitive with offer from top schools without [NSTP/GCCP].
- Makes salary more than competitive with external offer
- The Dean played a major role in negotiations so difficult for me to assess
- Without the program we would have lost 4 high performing faculty members!

In successful retentions where the NSTP/GCCP did not play a role, the most common response was that the chair was not sure why the program did not play a role. The second most common reason was "Other." In 25 percent of cases, the faculty member was not eligible.

**Table 10: Successful Retentions in which the NSTP/GCCP Did Not Play a Role:**

<b>Campus</b>	<b>The faculty member was not eligible</b>	<b>Faculty member was eligible, but the retention was not primarily about salary</b>	<b>Not sure why NSTP/GCCP did not play a role</b>	<b>Other - please explain</b>	<b>Total</b>
UC Irvine	2	2	7	13	24
UCLA	7	2	2	0	11
UC San Diego	3	1	8	1	13
<b>Total</b>	<b>12</b>	<b>5</b>	<b>17</b>	<b>14</b>	<b>48</b>
<i>Percentage</i>	<i>25%</i>	<i>10%</i>	<i>35%</i>	<i>29%</i>	

**Comments:**

- Faculty are most interested in their regular salary.
- Faculty were well aware of [NSTP/GCCP]. They were interested in raising their base salary as even w/[NSTP/GCCP] we were barely competitive.
- I have never heard of NSTP/GCCP prior to this survey. I assume that it does not apply to my department, but I cannot be 100% certain.\*
- I was not involved
- In all cases the retention was primarily about unrestricted research funding, for two faculty the [NSTP/GCCP] program also played a role. One retention is still on-going
- Market O/S increased.
- No impact
- Not needed
- NSTP/GCCP does not play much of a role for faculty [in this discipline], especially for junior people.
- Salary was an important, but base salary not [NSTP/GCCP] was the focus
- The faculty member did not have enough current or pending funding to be eligible at the time of the retention negotiations.
- The retention was much more about base salary.

\*This response was from a chair of a department that only had one enrolled faculty member; it is possible that the faculty member has a split appointment with another department that accounts for their participation in the program.

**NSTP/GCCP as a Factor in Unsuccessful Retentions**

When responding to the question about unsuccessful retentions where the NSTP/GCCP played a role, in all cases the chairs reported that the program was not a factor (83 percent) or only a minor factor (17 percent) in the failure of the retention.

**Table 11: Unsuccessful Retentions in which the NSTP/GCCP Played a Role**

Campus	Not a factor in why the retention failed	A minor factor	Some contribution	An important factor	Very important factor	Total
UC Irvine	2	0	0	0	0	2
UCLA	0	0	0	0	0	0
UC San Diego	3	1	0	0	0	4
<b>Total</b>	<b>5</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6</b>
<i>Percentage</i>	<i>83%</i>	<i>17%</i>	<i>0%</i>	<i>0%</i>	<i>0%</i>	

**Comments:**

- Both were due to outstanding scientific opportunities elsewhere (e.g brand new research institute) as well as personal reasons.
- Faculty does use NSTP/GCCP, to its maximum allowed extent, and this allowed salary to still compete with IVY. Retention failed for other reasons (chancellor's unwillingness to match research funds)

In 20 unsuccessful retentions where the NSTP/GCCP did not play a role, the most common reason (12 instances, or 60 percent) was that the retention was not primarily about salary. Among the other cases, in 20 percent of cases the faculty member was not eligible and in 20 percent there was another reason.

**Table 12: Unsuccessful Recruitments in which the NSTP/GCCP Did Not Play a Role**

Campus	The faculty member was not eligible	Faculty member was eligible, but the retention was not primarily about salary	Not sure why NSTP/GCCP did not play a role	Other - please explain	Total
UC Irvine	2	2	0	1	5
UCLA	2	3	0	2	7
UC San Diego	0	7	0	1	8
<b>Total</b>	<b>4</b>	<b>12</b>	<b>0</b>	<b>4</b>	<b>20</b>
<i>Percentage</i>	<i>20%</i>	<i>60%</i>	<i>0%</i>	<i>20%</i>	

**Comments**

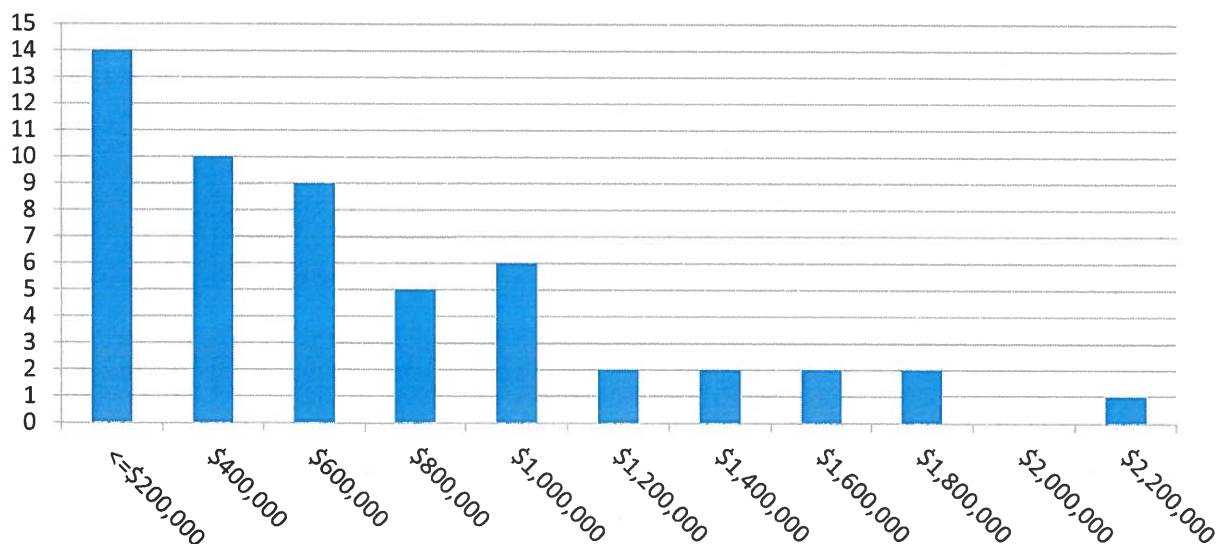
- Both of these faculty members very much wanted to stay at [this campus], but they ultimately left because we were unable to secure career partner positions for their spouse/partner.
- He did not want to move and he could not find a school for his children.
- I have never heard of NSTP/GCCP prior to this survey. I assume that it does not apply to my department, but I cannot be 100% certain.
- Joint appointment. Campus not able to satisfy other demands of faculty member.
- The outside offer was exceptional and nothing would have helped with this retention
- [This campus] did not provide a competitive offer and administration took a long time to respond to this case.

### The Replacement Cost of a Failed Retention

Chairs were asked to “Please estimate the one-time costs of replacing a faculty member at each of the main levels of appointment if a retention fails. Replacement costs would include recruitment expenses; start-up; etc.” Fifty-three of the 55 respondents provided estimates.

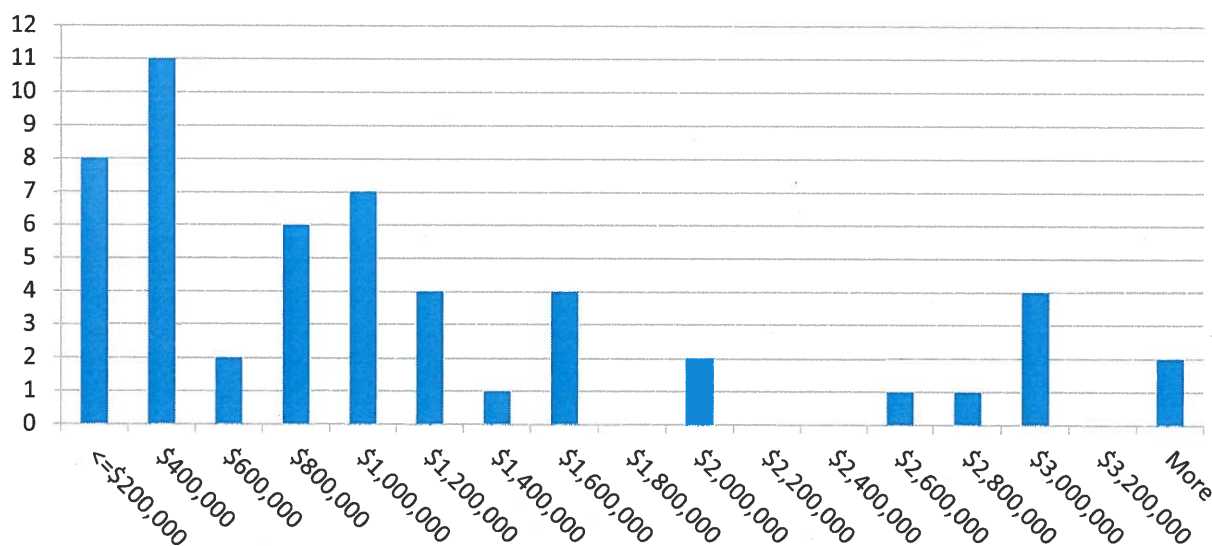
Estimates for a failed retention at the Assistant Professor level ranged from \$50,000 to \$2,200,000, with the largest number (14) at less than \$200,000. The average was \$604,981 and the median was \$500,000.

**Chart 3: Replacement Cost Estimates, Assistant Professor**



Estimates at the Associate or Full Professor level ranged much more widely, from \$100,000 to \$16 million, (one respondent; the next highest estimate was \$3.3 million) with the largest number (19) less than or equal to \$400,000. Excluding the \$16 million outlier, the average was just over \$1 million. The median was \$800,000.

**Chart 4: Replacement Cost Estimates, Associate or Full Professor**





### The Effect of the NSTP/GCCP on Department Morale

**In your view, to what extent has morale in your department been affected by the NSTP/GCCP?**

A majority (62 percent) of respondents found that the NSTP/GCCP had a minor or major positive effect on department morale. Another 31 percent found that the effect was neutral. About 4 percent found a minor negative effect, and 4 percent were not sure.

**Table 13: Effect of NSTP/GCCP on Departmental Morale**

	Major negative effect	Minor negative effect	Neutral (not positive or negative)	Minor positive effect	Major positive effect	Not sure	Total
<b>Count</b>	0	2	17	14	19	2	<b>55</b>
<i>Percentage</i>	0.0%	3.6%	30.9%	27.3%	34.5%	3.6%	<b>100.0%</b>

**Comments:**

- 1. Participants have been highly active grant writers to generate the income necessary to participate in [NSTP/GCCP]. 2. Faculty are happier because they get better salary.
- A few of our faculty who would have sought out a joint appointment in the [School of Medicine] have either not done so, returned to the department fully or will likely do so.
- For the couple of faculty who use it, it is important
- For those who have been extremely successful in grant funding it has been appreciated as an option for compensating their efforts.
- I believe the program would have a major positive impact if more faculty had the requisite funding to meet eligibility requirements. The program would have a major positive impact, I believe, if more faculty were eligible to participate.
- I have 41 faculty in my department and at least 1/3 use [NSTP/GCCP]. I fear to think what would happen without this program.
- Increased value recognition for the faculty by the institution.
- It is good to have this option for retention and to attract mid-level faculty.
- It works for the ones that can use it. The ones that don't are not offended. To the extent that some use it and are happy, invigorated and more active, this helps the overall morale in the department
- No effect. No one in my department has ever heard of NSTP/GCCP.
- [NSTP/GCCP] can be a very useful recruitment tool though in my experience it's been of limited value to date. It can also have a negative impact on faculty who for one reason or another are not eligible but that too is limited.
- On any given year we have had faculty come in and out of the program. It is not the same people that participate every year. The faculty appreciate having the program as an option for additional compensation. For the faculty who have large extramural funding portfolios, this program also provides another option to meet effort requirements on federal awards.
- Quite important for those relatively few faculty who participate
- Since it is not widely used it has not had a broad impact, but it has had a significant impact on those who use it and those where it was involved in recruitment/retention.
- Some faculty are principally against. Others, however, are actively using [NSTP/GCCP].
- The cost of living is very high in [this city], and not matched by salaries that lag market, causing serious stress among junior faculty, particularly those with families.

- The effect was very positive for those who took advantage of the program, but other faculty were not really affected either way.
- The people who use it are happy; the rest of the faculty don't know who takes advantage and don't talk about their feelings if they have any
- Those who can and do use it like it. Those who cannot or choose not to don't mind that it is there.
- Two faculty were impacted by [NSTP/GCCP], but without it there would have been no negative effect.
- Very positive effect but for 5-8 faculty.
- We have not had a disaster such as sudden reduction in funding requiring department support of grad students while PI is still drawing salary

### The Effect of the NSTP/GCCP on Faculty Contributions/Participation

For faculty in your department who have been enrolled in the NSTP/GCCP, how would you evaluate their contributions or participation in the following categories while they were enrolled in the program?

**Table 14: Effect of NSTP/GCCP on TEACHING**

	Reduced a great deal	Reduced somewhat	No change	Increased somewhat	Increased a great deal	Not sure	Total
<b>Count</b>	1	3	47	2	1	1	<b>55</b>
<i>Percentage</i>	1.8%	5.5%	85.5%	3.6%	1.8%	1.8%	100.0%

**Comments:**

- Each one of our [NSTP/GCCP] faculty are majorly involved in the department both with regard to teaching above a full teaching load for our department and significant service!
- Faculty often make a decision between [NSTP/GCCP] versus buying out of courses. Without [NSTP/GCCP], faculty with lots of grant support would be more tempted to use excess salary support to buy out of teaching since they could not use those funds for salary support.
- I have not looked into this, and would do a study if I had the time and some incentive to do so
- In the department [NSTP/GCCP] did not affect the teaching load of corresponding faculty.
- No faculty in my department are enrolled in NSTP/GCCP.

**Table 15: Effect of NSTP/GCCP on RESEARCH OR CREATIVE ACTIVITIES**

	Reduced a great deal	Reduced somewhat	No change	Increased somewhat	Increased a great deal	Not sure	Total
<b>Count</b>	0	0	19	20	11	5	<b>55</b>
<i>Percentage</i>	0.0%	0.0%	34.5%	36.4%	20.0%	9.1%	100.0%

**Comments:**

- Creates stronger incentive for expanding external funding
- For the one faculty who has been on this program the longest there has been a shift of activities to more commercially motivated projects. The two more recent to join the program are both extremely productive in research
- I would imagine "increased somewhat" to "increased a great deal" but again I have not studied this quantitatively
- No faculty in my department are enrolled in NSTP/GCCP.
- Possibly increased motivation to apply for grants
- The increased funding required to participate supported additional trainees and projects.
- There is definitely additional incentive to secure more funding to support research and participate in NSTP.
- This is for faculty who are research active; we have several faculty who do not do research anymore, so they are unaffected.

**Table 16: Effect of NSTP/GCCP on DEPARTMENTAL SERVICE**

	Reduced a great deal	Reduced somewhat	No change	Increased somewhat	Increased a great deal	Not sure	Total
<b>Count</b>	<b>1</b>	<b>4</b>	<b>40</b>	<b>5</b>	<b>3</b>	<b>2</b>	<b>55</b>
<i>Percentage</i>	<i>1.8%</i>	<i>7.3%</i>	<i>72.7%</i>	<i>9.1%</i>	<i>5.6%</i>	<i>3.6%</i>	<i>100.0%</i>

**Comments:**

- As mentioned above, all of our [NSTP/GCCP] participating faculty are significantly involved in service activities.
- [NSTP/GCCP] has been leveraged to compensate faculty involved in the start-up of new self-supporting programs.
- I have not looked into this, and would do a study if I had the time and some incentive to do so
- No faculty in my department are enrolled in NSTP/GCCP.
- The same individual works mostly from home so is not as available as before

**Table 17: Effect of NSTP/GCCP on CAMPUS SERVICE**

	Reduced a great deal	Reduced somewhat	No change	Increased somewhat	Increased a great deal	Not sure	Total
<b>Count</b>	<b>1</b>	<b>3</b>	<b>42</b>	<b>6</b>	<b>1</b>	<b>2</b>	<b>55</b>
<i>Percentage</i>	<i>1.8%</i>	<i>5.5%</i>	<i>76.4%</i>	<i>10.9%</i>	<i>1.8%</i>	<i>3.6%</i>	<i>100.0%</i>

**Comments:**

- I have not looked into this, and would do a study if I had the time and some incentive to do so
- No faculty in my department are enrolled in NSTP/GCCP.
- Same as above
- See above

**Table 18: Effect of NSTP/GCCP on GRANTS (SUBMISSIONS AND AWARDS)**

	Reduced a great deal	Reduced somewhat	No change	Increased somewhat	Increased a great deal	Not sure	Total
<b>Count</b>	<b>0</b>	<b>0</b>	<b>10</b>	<b>29</b>	<b>10</b>	<b>6</b>	<b>55</b>
<i>Percentage</i>	<i>0.0%</i>	<i>0.0%</i>	<i>18.2%</i>	<i>52.7%</i>	<i>18.2%</i>	<i>10.9%</i>	<i>100.0%</i>

**Comments:**

- All of our faculty who use the [NSTP/GCCP] use grant funds and so it provides an incentive for them to increase their funded portfolio.
- [NSTP/GCCP] greatly incentivized submission of grants in order to participate in the program.
- I have not looked into this, and would do a study if I had the time and some incentive to do so
- Increased momentum and interest by faculty to pursue grant opportunities by new faculty recruits. Continuation of [NSTP/GCCP] program is a strategic need,
- No faculty in my department are enrolled in NSTP/GCCP.
- See above
- Several of our faculty increased grant submissions in order to participate in [NSTP/GCCP].

**Table 19: Effect of NSTP/GCCP on OUTSIDE CONSULTING**

	Reduced a great deal	Reduced somewhat	No change	Increased somewhat	Increased a great deal	Not sure	Total
<b>Count</b>	0	1	31	1	0	22	<b>55</b>
<i>Percentage</i>	0.0%	1.8%	56.4%	1.8%	0.0%	40.0%	100.0%

**Comments:**

- I have not looked into this, and would do a study if I had the time and some incentive to do so
- NA.
- No faculty in my department are enrolled in NSTP/GCCP.
- Of our NSTP participating faculty only a few are involved in consulting, but I doubt that [NSTP/GCCP] had much to do with that. However, I'm not entirely sure.

**The Effect of the NSTP/GCCP on Interest in General Campus/HSCP Split/Joint Appointments**

Respondents were reminded that **"Part of the motivation for developing the NSTP/GCCP was to reduce the number of faculty appointments that are split or joint between a General Campus department and a Health Sciences department in order to allow the faculty member to participate in the Health Sciences Compensation Plan (HSCP)."**

They were then asked:

**"In your observation, how has the NSTP/GCCP affected the level of interest of faculty in your department in requesting split/joint appointments in a Health Sciences Compensation Plan (HSCP) department since 2013?"**

**Table 20: The level of interest in General Campus/HSCP split/joint appointments has:**

	Decreased	Stayed the same	Increased	I don't know	There are no faculty in my department with this kind of split or joint appointment	Total
<b>Count</b>	8	14	1	4	28	<b>55</b>
<i>Percentage</i>	14.5%	25.5%	1.8%	7.3%	50.9%	100.0%

**Please explain why:**

- Although we don't have numbers, our impression is that our well funded faculty are less likely to seek a [split/joint] appt. where they can supplement their salary.
- But I anticipate that this will be a very important option in the future now that our department has returned to Health Sciences.
- During the trial period, no faculty have sought appointments with the Health Sciences or Engineering in order to raise their salaries.
- [Faculty in this field] prefer to be in [this field],
- HSCP is still a more lucrative Plan than [NSTP/GCCP]. Two new recruits negotiated [split/joint] appointments with Health Sciences Division in order to participate in HSCP.
- NA.
- No existing faculty have requested [split/joint] appointments. New faculty have requested [split/joint] appointments.
- No faculty in my department are involved in anything related to Health Sciences.
- None are eligible

- Note: Our faculty remain interested in such [split/joint] appointments for other reasons.
- Only applies to 1 faculty member
- [This department's] faculty have not expressed interest in [split/joint] appointments with Health Science Department. [Our] faculty do participate in Health Science grants. [NSTP/GCCP] compensation flows to [our] faculty from this source.
- Small numbers and participants in GCCP have not been in the biomed field.
- There is generally little interest for these types of [split/joint] appointments.
- We have had faculty who initially did not have a [split/joint] appointment with Health Sciences and b/c of the HSCP they asked for an appointment that would allow them to participate. I have heard no such requests since this program was piloted.
- We only have 3 [split/joint] appointments with the School of Medicine. No new [split/joint] SoM faculty have joined the department since [NSTP/GCCP] began. [Split/joint] appointments in our department are courtesy only.

## Additional Comments/Information

A majority of respondents (58 percent) took advantage of the opportunity to offer additional comments or information on the NSTP/GCCP.

**Table 21: Additional Comments, by Campus**

Campus	Additional Comments	Total Response	Percent
UC Irvine	12	19	63%
UCLA	12	19	63%
UC San Diego	8	17	47%
<b>Total</b>	<b>32</b>	<b>55</b>	<b>58%</b>

- A small but important number of faculty very much appreciate the [NSTP/GCCP]. The others are indifferent. Seems like there would be a high cost to losing the program.
- Although the NSTP/GCCP has not affected the performance of the few faculty that take advantage of it, I believe that the higher salaries prevent poaching from other institutions.
- As Chair of the Department of [ ] I can firmly say that [NSTP/GCCP] is a critically important component of my ability to negotiate with prospective faculty and recruit them to [this campus]. [NSTP/GCCP] is also one reason I myself stayed at [this campus], rather than joining [an Ivy] this year. At least 1/3 of my department participates in [NSTP/GCCP] and I would have a huge problem on my hands should this program disappear both with regard to recruitment of new faculty, retention of current stars in the department, and those who would lose their [NSTP/GCCP]. I strongly urge the Taskforce members to support continuing this program.
- I believe that the NSTP/GCCP program is an extremely valuable tool for attracting outstanding /high performing candidates to [this campus]. Aside from the in campus housing opportunities, NSTP/GCCP is the other incentive that we can provide to bring compensation in line with that of other highly ranked private universities
- I believe this is a highly valuable program. The positive effects of the programs would be greatly enhanced by making this permanent. The major problem with it currently is the uncertainty about whether this program will continue.
- I have seen not any downside to the program, and I would like to see it remain an option even if used by a relatively small number of faculty members.

- I think the issue of student funding is not monitored and this is a problem with this program. I think there needs to be a requirement of documented funding of students concurrent with the [NSTP/GCCP]
- I think this is a good program and is very popular among the faculty who have been able to participate.
- It has a minor, but positive effect for us. It does not appear to have a downside for us.
- It is a strong, positive program and should be retained. The lack of retention efforts required in the department are in part because of the positive effects of the [NSTP/GCCP]. UC salaries are low relative to our peers, even with offscals, and this is an additional tool to make salaries in a funded research environment competitive.
- It is useful for 2 very successful faculty with large funding. Otherwise it does not play a role.
- It would help if you first introduced NSTP/GCCP to my department before insisting that I respond to a survey about it.
- Must keep the program to be competitive in recruitment and retention with other major universities, especially private ones. Also, if you now take it away, faculty will be MORE likely to leave than they were before [NSTP/GCCP] was introduced.
- [NSTP/GCCP] has not had any significant impact on our department except for a seemingly increased desire to reduce teaching and service loads to focus on research funding.
- [NSTP/GCCP] is currently a \*huge\* factor in the ongoing recruitment of two distinguished mid-career faculty to the department. Without it, the recruitments would simply be no-gos. Both folks simply earn too much at their current institutions. One of the two called [NSTP/GCCP] brilliant, and fully understood why it existed. The other is very concerned about the cost of living in southern california, and sees [NSTP/GCCP] as a way of making that happen. Overall, [NSTP/GCCP] has helped me, as department chair, build an entirely new group of faculty in a brand new area. It has helped recruit 2 mid-career faculty successfully, and I expect at least one of the two current recruits, if not both, to join. Our department would not be where it is now without. I am happy to speak to anyone in more detail about my experience.
- [NSTP/GCCP] is quite important in retaining some top faculty
- Seems to be working well with a seamless transition and no objections from faculty. I recommend this program be implemented as policy.
- Staff have found the paperwork to be particularly burdensome (e.g., due to re-calculation of salaries due to changes that are announced after July 1.)
- Supposedly the program does not negatively impact the number of students and postdocs supported by research grants. However, based on the applications I have reviewed, it's really difficult to know as you go through the review process. It seems to me that faculty would be more likely to take on more students if funds weren't used to increase their own salary, but I do not have the data to know for a fact. On the other hand, the argument is made that the program incentivizes faculty to go after even more funding than they would without the program, and in turn support even more students and postdocs. If this is the case then the program should continue because it's a win-win.
- The [NSTP/GCCP] is a nice tool to have in our arsenal. Its existence has no negative effects that I know of. The program seems to be very low overhead. I'd strongly favor continuing it.
- The [NSTP/GCCP] has been an important aspect of all discussions with potential new recruitments and is viewed as a very positive component.
- The [NSTP/GCCP] program is highly beneficial in encouraging highly active faculty to being in additional funding. It rewards them for the added work this requires.
- The NSTP/GCCP program has had little impact in my Department. Out of 49.5 FTEs, only two faculty members participated in this program, only one of whom is currently participating. Neither individual participated because of retention or recruitment issues. Although we now

put a paragraph in our start up memos to new faculty regarding the availability of the [NSTP/GCCP] program, none of our newly recruited faculty have participated in the program.

- The NSTP/GCCP program is an essential instrument for recruiting and retaining [our] faculty. Continuation is important for achieving [our] academic and research objectives. It may be beneficial if this program could be extended to other senate and non-senate classifications.
- The program has worked for some in my department, and it does not offend those that cannot use it. Overall a plus
- There is a strong interest in [NSTP/GCCP] among junior faculty.
- This is the most important recruitment and retention tool in the history of [this campus].
- This program has had nothing but a positive impact on the faculty in the [ ] department. It would be a huge loss to have the program disappear.
- This program is absolutely critical to attracting and retaining faculty because the cost of living in [this city] has escalated much faster than any increases in our normal salary. In my case, I could not have come here without the [NSTP/GCCP] because I would not have been able to support my family.
- We feel this program should definitely be continued as it has a very positive affect on faculty recruitment, retention and morale. It probably is not, and will never be, the defining factor in someone's decision to be retained or to accept an offer, but it is by no means a negative. It is well worth the administrative efforts. In addition, going forward we feel the options for sources to supplement the NIH Cap Gap should be reevaluated in order for faculty at higher salary levels to benefit completely from this great program.
- We hope that [NSTP/GCCP] program will continue. It dramatically helps maintain a high quality of [this campus] faculty enhancing our competitiveness with top schools in the nation and abroad.
- Without the [NSTP/GCCP], we would have had to either make major investments to boost faculty salaries, or replaced productive mid career faculty with new assistant professors.



## NSTP/GCCP Department Chair/Leader Survey Instrument

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### INTRODUCTION

The responses to this survey will assist the NSTP 4th Year Taskforce in developing their recommendations on the future of the NSTP/GCCP. Your participation is very much appreciated.

Optional comment boxes are included with questions throughout the survey. You are encouraged to fill in these comment boxes; the taskforce is very interested in any additional or explanatory information you can provide about your department's experience with the NSTP/GCCP.

**Note: Questions marked with an asterisk \* are required**

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### Section 1: IDENTIFYING INFORMATION

Please provide the following information about your campus and department. In reporting on the results of this survey, identifying information will be kept confidential and will not be associated with specific responses to survey questions.

**1) What is your campus?\***

- ☐ UC Irvine
- ☐ UCLA
- ☐ UC San Diego

**2) UC Irvine: School and Department\***

- ☐ Biological Sciences - Developmental & Cell Bio.
- ☐ Biological Sciences - Ecology & Evolutionary Bio.
- ☐ Biological Sciences - Neurology & Behavior
- ☐ Health Sciences - Public Health
- ☐ Health Sciences - Pharmaceutical Sciences
- ☐ School of Education
- ☐ Engineering - Biomedical Engineering
- ☐ Engineering - Civil & Environmental Engineering
- ☐ Engineering - Electrical Engr. & Computer Sci.
- ☐ Engineering - Mechanical & Aerospace Engr.
- ☐ Information & Comp. Sci. - Computer Science
- ☐ Information & Comp. Sci. - Informatics
- ☐ Physical Sciences - Chemistry
- ☐ Physical Sciences - Earth System Science
- ☐ Physical Sciences - Mathematics
- ☐ Physical Sciences - Physics & Astronomy
- ☐ Social Ecology - Criminology Law & Society
- ☐ Social Ecology - Psychology & Social Behavior
- ☐ Social Sciences - Cognitive Science

**3) UCLA: School/Division and Department\***

- ☐ Engineering and Applied Sci. - Bioengineering
- ☐ Engineering and Applied Sci. - Chemical & Biomolecular Engr.
- ☐ Engineering and Applied Sci. - Civil & Environmental Engr.
- ☐ Engineering and Applied Sci. - Computer Science
- ☐ Engineering and Applied Sci. - Electrical Engineering
- ☐ Engineering and Applied Sci. - Materials Science & Engr.
- ☐ Engineering and Applied Sci. - Mechanical & Aerospace Engr.
- ☐ L&S Humanities - Asian Languages & Cultures
- ☐ L&S Life Sciences - Integrative Biology & Physiology
- ☐ L&S Life Sciences - Molecular, Cell & Develop. Biology
- ☐ L&S Life Sciences - Psychology
- ☐ L&S Physical Sciences - Atmospheric & Oceanic Sciences
- ☐ L&S Physical Sciences - Chemistry & Biochemistry
- ☐ L&S Physical Sciences - Earth, Planetary & Space Sciences
- ☐ L&S Physical Sciences - Physics & Astronomy
- ☐ L&S Physical Sciences - Statistics
- ☐ Public Health - Biostatistics
- ☐ Public Health - Community Health Sciences
- ☐ Public Health - Environmental Health Sciences
- ☐ Public Health - Epidemiology
- ☐ Public Health - Health Policy & Management

**4) UC San Diego: School/Division and Department\***

- ☐ Arts & Humanities - Visual Arts
  - ☐ Biological Sciences - Cell & Developmental Biology
  - ☐ Biological Sciences - Molecular Biology
  - ☐ Biological Sciences - Neurobiology
  - ☐ Engineering - Bioengineering
  - ☐ Engineering - Computer Science & Engr.
  - ☐ Engineering - Electrical & Computer Engr.
  - ☐ Engineering - Mechanical & Aerospace Engr.
  - ☐ Engineering - Nanoengineering
  - ☐ Engineering - Structural System Facility
  - ☐ Global Policy & Strategy
  - ☐ Rady School of Management
  - ☐ Scripps Institution of Oceanography - SIO Department
  - ☐ Physical Sciences - Chemistry & Biochemistry
  - ☐ Physical Sciences - Mathematics
  - ☐ Physical Sciences - Physics
  - ☐ Social Sciences - Cognitive Science
  - ☐ Social Sciences - Political Science
  - ☐ Social Sciences - Psychology
-

## Section 2: RECRUITMENTS

5) How many formal RECRUITMENT negotiations has your department been involved with since June 2013, when the NSTP/GCCP began? (If you are unsure of the exact number, please enter a total as close to the actual number as possible.)\*

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### Section 2: RECRUITMENTS - Successful vs. Unsuccessful Recruitments

6) How many of these RECRUITMENTS were

- Successful (the faculty member joined the department) or
- Unsuccessful (the faculty member did not join the department)

And in how many of each did the NSTP/GCCP play a role (e.g., the program was discussed or offered as an incentive or option as part of recruitment negotiations)?\*

\_\_\_\_\_ Successful - the NSTP/GCCP PLAYED A ROLE  
\_\_\_\_\_ Successful - the NSTP/GCCP DID NOT play a role  
\_\_\_\_\_ Unsuccessful - the NSTP/GCCP PLAYED A ROLE  
\_\_\_\_\_ Unsuccessful - the NSTP/GCCP DID NOT play a role

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### Section 2: RECRUITMENTS - Importance of the NSTP/GCCP in Recruitments

7) For the SUCCESSFUL recruitment(s) in which the NSTP/GCCP PLAYED A ROLE, please indicate the number of recruitments in which the NSTP/GCCP was or was not a factor in the success of the recruitment:\*

\_\_\_\_\_ The NSTP/GCCP was not a factor in the success of the recruitment  
\_\_\_\_\_ A minor factor  
\_\_\_\_\_ Some contribution  
\_\_\_\_\_ Important factor in the success of the recruitment  
\_\_\_\_\_ Very important factor in the success of the recruitment

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Comments:

8) For the SUCCESSFUL recruitment(s) in which the NSTP/GCCP DID NOT play a role, please indicate the number of recruitments in which the following reasons applied:\*

\_\_\_\_\_ The faculty member was not eligible for the NSTP/GCCP  
\_\_\_\_\_ The faculty member was eligible, but the recruitment did not include discussion of the NSTP/GCCP  
\_\_\_\_\_ Not sure why NSTP/GCCP did not play a role  
\_\_\_\_\_ Other - please explain

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Comments:

**9) For the UNSUCCESSFUL recruitment(s) in which the NSTP/GCCP PLAYED A ROLE, please indicate the number of recruitments in which the NSTP was or was not a factor in why the recruitment was unsuccessful:\***

- \_\_\_\_\_ The NSTP/GCCP was not a factor in why the recruitment failed  
\_\_\_\_\_ A minor factor  
\_\_\_\_\_ Some contribution  
\_\_\_\_\_ Important factor in why the recruitment failed  
\_\_\_\_\_ Very important factor in why the recruitment failed

**Comments:**

**10) For the UNSUCCESSFUL recruitment(s) in which the NSTP/GCCP DID NOT play a role, please indicate the number of recruitments in which each of the following reasons applied:\***

- \_\_\_\_\_ The faculty member was not eligible for the NSTP/GCCP  
\_\_\_\_\_ The faculty member was eligible, but the recruitment did not include discussion of the NSTP/GCCP  
\_\_\_\_\_ Not sure why NSTP/GCCP did not play a role  
\_\_\_\_\_ Other - please explain

**Comments:**

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### **Section 3: RETENTIONS**

**11) How many RETENTION negotiations has the department been involved with since June 2013, when the NSTP/GCCP began? (If you are unsure of the exact number, please enter a total as close to the actual number as possible.)\***

---

### **Section 3: RETENTIONS - Successful vs. Unsuccessful Retentions**

**12) How many of these RETENTIONS were**

- **Successful (the faculty member was retained in the department) or**
- **Unsuccessful (the faculty member left the department)**

**And in how many of each did the NSTP/GCCP play a role (e.g., the program was discussed or offered as an incentive or option as part of retention negotiations)?\***

- \_\_\_\_\_ Successful - the NSTP/GCCP PLAYED A ROLE  
\_\_\_\_\_ Successful - the NSTP/GCCP DID NOT play a role  
\_\_\_\_\_ Unsuccessful - the NSTP/GCCP PLAYED A ROLE  
\_\_\_\_\_ Unsuccessful - the NSTP/GCCP DID NOT play a role
-

**Section 3: RETENTIONS - Importance of the NSTP/GCCP in Retentions**

**13) For the SUCCESSFUL retention(s) in which the NSTP/GCCP PLAYED A ROLE, please indicate the number of retentions in which the NSTP/GCCP was or was not a factor in the success of the retention:\***

- \_\_\_\_\_ The NSTP/GCCP was not a factor in the success of the retention
- \_\_\_\_\_ A minor factor
- \_\_\_\_\_ Some contribution
- \_\_\_\_\_ Important factor in the success of the retention
- \_\_\_\_\_ Very important factor in the success of the retention

**Comments:**

**14) For the SUCCESSFUL retention(s) in which the NSTP/GCCP DID NOT play a role, please indicate the number of retentions in which the following reasons applied:\***

- \_\_\_\_\_ The faculty member was not eligible for the NSTP/GCCP
- \_\_\_\_\_ The faculty member was eligible, but the retention was not primarily about salary
- \_\_\_\_\_ Not sure why NSTP/GCCP did not play a role
- \_\_\_\_\_ Other - please explain

**Comments:**

**15) For the UNSUCCESSFUL retention(s) in which NSTP/GCCP PLAYED A ROLE, please indicate the number of retentions in which the NSTP/GCCP was or was not a factor in why the retention failed:\***

- \_\_\_\_\_ The NSTP/GCCP was not a factor in why the retention failed
- \_\_\_\_\_ A minor factor
- \_\_\_\_\_ Some contribution
- \_\_\_\_\_ Important factor in why the retention failed
- \_\_\_\_\_ Very important factor in why the retention failed

**Comments:**

**16) For the UNSUCCESSFUL retention(s) in which the NSTP/GCCP DID NOT play a role, please indicate the number of retentions in which each of the following reasons applied:\***

- \_\_\_\_\_ The faculty member was not eligible for the NSTP/GCCP
- \_\_\_\_\_ The faculty member was eligible, but the retention was not primarily about salary
- \_\_\_\_\_ Not sure why NSTP/GCCP did not play a role
- \_\_\_\_\_ Other - please explain

**Comments:**

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### Section 3: RETENTIONS - Replacement Cost of a Failed Retention

**17) Please estimate the one-time costs of replacing a faculty member at each of the main levels of appointment if a retention fails. Replacement costs would include recruitment expenses; start-up; etc.\***

Please enter numbers only (e.g., 1,250,000 rather than \$1.25 million)

Assistant Professor: \_\_\_\_\_

Associate or Full Professor: \_\_\_\_\_

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### Section 4: DEPARTMENTAL MORALE AND FACULTY CONTRIBUTIONS/ PARTICIPATION

**18) In your view, to what extent has morale in your department been affected by the NSTP/GCCP?\***

- ☐ major negative effect
- ☐ minor negative effect
- ☐ neutral (not positive or negative)
- ☐ minor positive effect
- ☐ major positive effect
- ☐ not sure

**Comments:**

**19) For faculty in your department who have been enrolled in the NSTP/GCCP, how would you evaluate their contributions or participation in the following categories while they were enrolled in the program?\***

#### **1. TEACHING**

- ☐ reduced a great deal   ☐ reduced somewhat   ☐ no change   ☐ increased somewhat   ☐ increased a great deal   ☐ not sure

**Comments:**

#### **2. RESEARCH OR CREATIVE ACTIVITIES**

- ☐ reduced a great deal   ☐ reduced somewhat   ☐ no change   ☐ increased somewhat   ☐ increased a great deal   ☐ not sure

**Comments:**

#### **3. DEPARTMENTAL SERVICE**

- ☐ reduced a great deal   ☐ reduced somewhat   ☐ no change   ☐ increased somewhat   ☐ increased a great deal   ☐ not sure

**Comments:**

**4. CAMPUS SERVICE**

☐ reduced a great deal   ☐ reduced somewhat   ☐ no change   ☐ increased somewhat   ☐ increased a great deal   ☐ not sure

**Comments:**

**5. GRANTS (SUBMISSIONS AND AWARDS)**

☐ reduced a great deal   ☐ reduced somewhat   ☐ no change   ☐ increased somewhat   ☐ increased a great deal   ☐ not sure

**Comments:**

**6. OUTSIDE CONSULTING**

☐ reduced a great deal   ☐ reduced somewhat   ☐ no change   ☐ increased somewhat   ☐ increased a great deal   ☐ not sure

**Comments:**

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**Section 5: GENERAL CAMPUS/HSCP SPLIT/JOINT APPOINTMENTS**

**Part of the motivation for developing the NSTP/GCCP was to reduce the number of faculty appointments that are split or joint between a General Campus department and a Health Sciences department in order to allow the faculty member to participate in the Health Sciences Compensation Plan (HSCP).**

**20) In your observation, how has the NSTP/GCCP affected the level of interest of faculty in your department in requesting split/joint appointments in a Health Sciences Compensation Plan (HSCP) department since 2013?**

**The level of interest in General Campus/HSCP split/joint appointments has:\***

- ☐ Decreased
- ☐ Stayed the same
- ☐ Increased
- ☐ I don't know
- ☐ There are no faculty in my department with this kind of split or joint appointment

**Please explain why:**

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**Section 6: ADDITIONAL COMMENTS/ INFORMATION**

**21) Please provide any additional information or comments about the NSTP/GCCP that you feel would be of use to the Taskforce.**

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### **Data to collect during NSTP/GCCP expansion period**

To provide guidance on how to evaluate the Negotiated Salary Trial Program/General Campus Compensation Plan (NSTP/GCCP) in the future, the Taskforce suggests that the following data be collected going forward. The Taskforce stresses that information collected about the program henceforth be substantive and objective, which is essential to evaluating and determining the future of the program.

1. Data currently collected from campuses and from the UC Corporate Personnel System for annual reports, as outlined in the metrics document: to be expanded to include new participating campuses
  - Basic Data on faculty participation and demographics
    - Those who participated and who did not. Divisions/schools/colleges participating: number and percentage of total campus
    - Those who participated and who did not. Departments participating: number and percentages of total campus
    - Faculty who enrolled and who did not. Faculty in participating departments, including both those who did and did not enroll: number and percentage of total campus
    - Gender and race/ethnicity of faculty in participating units
    - Rank of faculty in participating units
  - Salary data of enrolled faculty, including scale rate, above scale rate, off-scale, summer-ninths, negotiated amount, and stipends
  - Data on Funding
    - Funding of salary increments by type
    - Amount in the contingency fund and any use of these funds
  - Faculty Teaching Responsibilities
    - Teaching loads of enrollees compared to non-enrollees, including two years before program
  - Survey of faculty (enrolled and non-enrolled) in participating departments
  - Survey of administrators of participating departments
  - EVC administrative assessment (for new campuses only)
2. New data, or data to be collected more quantitatively than previously
  - Data to collect from faculty at the time of application (modeled after UC Irvine's data collection)
    - Support for graduate students before and during enrollment in the program



- Size of research group (graduate students, postdocs and staff) before and during enrollment in the program
  - Research expenditures (to be collected from faculty or from campus financial systems)
- New data to be collected from chairs and/or deans; most likely by adding targeted questions to the annual administrator survey
  - Recruitments and Retentions
    - Total annual recruitments and number where the NSTP/GCCP was a factor
    - Number of new faculty enrolled in the program in their first three years of appointment
    - Total annual retentions and number where the NSTP/GCCP was a factor
    - Number of retained faculty enrolled in the program
  - Health Sciences Compensation Plan split/joint appointments
    - Split/joint appointments initiated each year before and during the program

