

Annual Report for Year One (July 2013 - June 2014)

Negotiated Salary Trial Program (NSTP)

Executive Summary

In its first year, the Negotiated Salary Trial Program (NSTP) for general campus faculty was used by over 150 faculty members on three campuses. The negotiated salary component for these faculty members resulted in \$3.7M in additional salary. The program was most heavily used by faculty in public health, biological sciences, physical sciences, and engineering, although the faculty involved also came from a wide range of disciplines, including arts, social sciences, and marine sciences. In survey data, including comments from participating and non-participating faculty in the same departments and schools, participants offered favorable responses 80% of the time. Non-participating faculty offered comments that were two-thirds neutral or positive and one-third negative. Survey data also show that those doing the transactional work in administering the program were concerned about the additional administrative work, while campus faculty administrators were pleased with the positive impact on recruitment and retention. Initial data suggest no significant changes in teaching load for departments involved. The single year of the program does not allow for conclusions about the impact on the generation of external income or support of graduate students and post-docs.

I. Introduction

In February 2013, following consultation with the Academic Senate and Council of Vice Chancellors (COVC), Provost and Executive Vice President Aimée Dorr approved a five-year general campus Negotiated Salary Trial Program (NSTP) on three campuses (UC Irvine, UC Los Angeles, and UC San Diego¹). In addition, she created a joint Senate-Administration Taskforce, charged with designing metrics for evaluating the program's effectiveness. In June 2013, the Provost approved the recommendations for metrics from the Taskforce. The NSTP became operational on July 1, 2013 for the 2013-14 academic year. The basic documents for the systemwide program are appended; in addition, each campus has its own implementation document, based closely on the systemwide template (see appendices for the Basic Program Document [[Appendix A](#)], the goals and quantitative and qualitative metrics [[Appendix B](#)], and a memo clarifying the metrics [[Appendix C](#)]).

II. Interim Report and Additional Information on Participants

In Fall 2013, an implementation team, comprised of staff from the three NSTP campuses and UCOP Academic Personnel and Programs, began work on the interim report, guided by three Taskforce goals:

- 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 faculty administrators to make a decision about the program after the four-year review.

The preliminary report was issued February 13, 2014. It contains demographic information about 154 participants on the three campuses and about their departments/schools; the demographics include discipline, gender, race/ethnicity, and rank/step. The report also includes salary information, including on-scale/off-scale/above-scale salaries and negotiated salary increments; this salary information is presented by campus, rank, and discipline. The interim report is attached ([Appendix D](#)). Since this annual report builds on the same data set, some of the data in the interim report will be referenced, in part, in this report. Other portions of the annual data appear only in [Appendix D](#).

¹ UC San Diego calls its campus program the General Campus Compensation Program, GCCP. This document will refer to NSTP for all three campuses.

Final number of participants. Two of the 154 faculty participants reported in the interim report ended their participation during the course of the year; one because of his change in status to an ineligible category. One newly-hired faculty member was added upon his mid-year appointment. The final fund data and workload data below is based on the participation of 153 faculty members: 38 at UCI, 33 at UCLA, and 82 at UCSD². The data on summer salary and administrative stipends are based on 154 participants.

Sections III through VIII below contain new material on the first year of the NSTP, including both quantitative and qualitative data and a campus assessment by the three Executive Vice Chancellors/Provosts.

III. Program Fund Sources

A. Funding for Negotiated Components

The NSTP program document specifies the funds that can be used to support this program:

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, self-supporting and professional degree fees, and contract and grant support.

(See [Appendix A](#), p. 2)

Funds used for the salary increment awarded through the program are reported below in ten categories agreed to by the three participating campuses. [Tables 1a-d](#) display the expenditures on salary increments for all three campuses ([Table 1a](#)) and by campus ([Tables 1b, 1c, and 1d](#)). Campuses consulted closely with their Contracts and Grants offices to ensure all contract and grant funds were used in allowable ways and that effort reporting was handled appropriately. In the case of funds attributed to federal contracts and grants, allocations were made in compliance with OMB Circular A-21. Material on the UC Irvine NSTP web page offers detailed explanation of the ways in which available funds were used in the program (see <http://ap.uci.edu/salary/nstp/index.html>). The accounting of all fund sources was managed at the department or school level, in consultation with Academic Personnel offices on the campuses.

[Table 1a](#) provides detail on the NSTP salary increments by fund source, for all three campuses. Overall, federal contracts and grants accounted for 48.8% of the total funds used, with private contracts and grants accounting for 24.7%.

² Information was included on one participant who dropped out, since he was in the program long enough to benefit. Another participant who dropped out did not receive any increment, so is not included. Fund data on the faculty member who was added mid-year is not included.

Table 1a
NSTP Salary Increment Source by Fund Type 2013 - 14
All Campuses Combined

Fund Type	Amount	% of Total
External Start-Up Funds	\$3,133	0.1%
Federal C&G Funds	\$1,788,098	48.8%
Federal Indirect Cost Recovery Funds	\$11,534	0.3%
Gift Funds	\$302,904	8.3%
Opportunity Funds	\$181,973	5.0%
Other Allowable Funds	\$217,814	5.9%
Private C&G funds	\$906,674	24.7%
Self-Supporting and Professional Degree Fees	\$79,423	2.2%
State C&G Funds	\$166,129	4.5%
Summer Session Fees	\$7,842	0.2%
Grand Total	\$3,665,524	100.0%

Table 1b
NSTP Salary Increment Source by Fund Type 2013 - 14
Irvine Campus

Fund Type	Amount	% of Total
Federal C&G Funds	\$471,098	43.7%
Opportunity Funds	\$181,973	16.9%
Other Allowable Funds	\$11,127	1.0%
Private C&G Funds	\$395,282	36.7%
Self-Supporting and Professional Degree Fees	\$10,923	1.0%
Summer Session Fees	\$7,842	0.7%
Grand Total	\$1,078,245	100.0%

Table 1c
NSTP Salary Increment Source by Fund Type 2013 - 14
Los Angeles Campus

Fund Type	Amount	% of Total
Federal C&G Funds	\$603,780	64.1%
Federal Indirect Cost Recovery Funds	\$11,534	1.2%
Gift Funds	\$20,454	2.2%
Other Allowable Funds	\$60,237	6.4%
Private C&G Funds	\$187,362	19.9%
State C&G Funds	\$58,429	6.2%
Grand Total	\$941,796	100.0%

Table 1d
NSTP Salary Increment Source by Fund Type 2013 - 14
San Diego Campus

Fund Type	Amount	% of Total
External Start-Up Funds	\$3,133	0.2%
Federal C&G Funds	\$713,220	43.3%
Gift Funds	\$282,450	17.2%
Other Allowable Funds	\$146,450	8.9%
Private C&G Funds	\$324,030	19.7%
Self-Supporting and Professional Degree Fees	\$68,500	4.2%
State C&G Funds	\$107,700	6.5%
Grand Total	\$1,645,483	100.0%

Table 2 displays the same fund source information by disciplinary groups, using the disciplinary groups established in the interim report. Four disciplinary groups account for a significant share of the funding used for the program: public health, biological sciences, physical sciences, and engineering. The disciplinary information is not displayed by campus due to small cell size.

Table 2
NSTP Salary Increment Source by Broad Discipline by Fund Type
2013 - 14
All Campuses Combined

Disciplinary Group	Federal C&G Funds	Federal Indirect Cost Recovery Funds	Gift Funds	Opportunity Funds	Other Allowable Funds	Private C&G Funds	Self - Supporting and Prof. Degree Fees	External Start-Up Funds	State C&G Funds	Summer Session Fees	Grand Total
Biological Sciences	\$312,000		\$67,700	\$118,693	\$5,162	\$108,696			\$52,800		\$665,051
Engineering	\$241,696		\$167,850			\$216,889		\$3,133			\$629,568
Information and Computer Sciences	\$60,078				\$4,354	\$258,582				\$399	\$323,413
Letters and Sciences	\$241,003		\$15,876		\$56,647	\$6,700					\$320,226
Marine Sciences					\$110,050						\$110,050
Other*	\$81,588			\$31,620		\$58,021	\$79,423				\$250,652
Physical Sciences	\$434,469		\$46,900	\$31,660	\$26,011	\$70,424			\$54,900		\$664,364
Public Health	\$366,077	\$11,534	\$4,578		\$3,589	\$187,362			\$58,429		\$631,570
Social Sciences	\$51,187				\$12,000					\$7,443	\$70,630
Grand Total	\$1,788,098	\$11,534	\$302,904	\$181,973	\$217,814	\$906,674	\$79,423	\$3,133	\$166,129	\$7,842	\$3,665,524

*Other includes Criminology, International Relations, Management, Psychology, and Visual Arts.

B. Establishment of Contingency Funds

The 2012 Program Document (Appendix A) did not require a “contingency fund” but did specify that “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” (Appendix A, p. 2). Two of the campus programs (UCI, UCSD) chose to require that a contingency fund be created, and one of the campus programs (UCLA) dealt with the responsibility for shortfalls by tasking departments/schools to manage the issue. Details are provided below.

Campuses with a Contingency Fund

For UCI and UCSD, a key component of the NSTP is the development of a sufficient contingency fund to assure the campus does not incur unexpected costs due to the plan. Each faculty member with a negotiated salary increment is required to contribute an amount equal to 10% of the negotiated salary increment to the contingency fund. At UCSD, enrolled faculty replace a portion of their base salary with an external fund source(s), thereby releasing core funding (e.g., 19900A) used for the contingency amount. The department maintains and earmarks the pool of released salary for the contingency fund. At UCI, enrolled faculty have two options – they may either replace a portion of their base salary with an external fund source in the same fashion as UCSD enrolled faculty, or they may utilize available fund sources, such as unrestricted gift or start-up funds to be set aside as contingency funding. Each participating school maintains and earmarks the pool of funding for the contingency fund. Further detail on the management and use of the contingency funds are in the campus implementation documents.

Campuses Without a Contingency Fund

At UCLA, the campus implementation document provided guidelines on the contingency fund in section “X,” Financial Responsibility; it states that “the Dean may establish a contingency fund at a designated percentage rate to ensure coverage of TUCS obligations” and gives guidance on how such a fund could be managed. Within that flexibility, the two participating schools at UCLA have managed their financial responsibilities by requiring NSTP participants or their departments to provide an unrestricted FAU which would be used to fund any negotiated salary component, if necessary. Primarily, these unrestricted funds are gifts, indirect cost recovery, or other unrestricted sources belonging to the participant, but by negotiation with the Chair, departmental discretionary funds such as ICR or summer revenue may be identified as the source of the alternative contingency funding. Review by fund managers and by Chairs ensures that these sources are indeed eligible and available for this purpose. A faculty member who cannot provide a source, or alternatively gain the approval of the Chair to have the department backstop the main source of funding, will not be approved to participate in NSTP. It is also divisional policy that a faculty member who had to invoke the use of his or her contingency would not be allowed to participate in the following year.

IV. Summer Salary and Administrative Stipends

A. Summer Salary

When the NSTP was designed, it was assumed that faculty who already had sufficient support to fund three months of summer salary would be most likely to enroll because they had already maximized their compensation outside of the program. Although the ability to fund three ninths summer salary is not a program requirement, the data below suggests the vast majority of faculty elected to be paid 3/9ths at the Total UC Salary Rate, which includes the negotiated salary increment. Data show that during the first year, 92% of NSTP participants took the maximum of three months of summer salary (142 of 154 participants). [Table 3](#) shows the number of faculty taking three, two, one, or no months of summer salary.

Table 3
NSTP Participants with Amount of Summer Ninths by Campus
2013 - 2014*

Campus	Three Months	Two Months	One Month	No Summer Salary	Total
Irvine	36	1	1	0	38
Los Angeles	33	1	0	0	34
San Diego	73	2	3	4	82
Totals	142	4	4	4	154
% of Total	92.2%	2.6%	2.6%	2.6%	100.0%

* If the amount of total summer ninths was not a whole number it was rounded up. This data source contains the original 154 participants before any faculty dropped out of the program. This data source was used for developing all the tables in the interim report.

B. Administrative Stipends

Eligibility for the NSTP stipulated that Deans and full-time faculty administrators could not participate in the program. Faculty with partial administrative appointments were, however, eligible to participate. Data show that 19% of NSTP participants received some form of stipend for their duties as a department chair or vice chair, an associate or assistant dean or as a faculty administrator (program director, center director, etc.). Of those who received stipends, the average amount of an administrative stipend that a NSTP participant received was \$11,110.

V. Faculty Workload, NSTP Participants Compared to Non-participants

The metrics approved for the program specify that to analyze the impact of the program, it would be important to document the teaching workload of participants compared to non-participants in the same units. The original Taskforce also stipulated that the workload for the program year(s) needed to be compared with the workload in the prior two years (see [Table 4a](#)). The implementation working group designed a collection template to assess whether or not there were any changes to faculty teaching load as a result of participating in NSTP, comparing the first year of the program (2013-14) with the prior two years (2011-2012 and 2012-2013).

Each campus collected teaching data for all departments that had participants in the program. The measures collected were the FTE of participants and non-participants, the type of instruction (graduate and undergraduate), the number of courses taught, the number of students enrolled in courses, and student contact hours (enrollment multiplied by the number of units). The results by department/school were then aggregated into the following disciplinary categories: Biological Sciences, Engineering, Information and Computer Sciences, Letters and Science, Marine Sciences, Physical Sciences, Public Health, Social Sciences, and Other. The “Other” category includes Criminology, International Relations, Management, Psychology and Social Behavior, and Visual Arts.

Overall, for the 2013-14 year, NSTP participants taught an average of 180.3 student contact hours (SCH) versus 176.4 in the prior two-years (See [Table 4a](#)). By comparison, non-participating faculty also increased their teaching load slightly from an average of 281.4 SCH in 2011-12 and 2012-13 to 284.6 SCH in 2013-14 (See [Table 4b](#)). In absolute terms, SCH didn't decrease for participants and the gap between the SCH of participants and non-participants actually shrunk by a small percentage.

Table 4a
UCI, UCLA and UCSD
Teaching Workload, Graduate and Undergraduate
Includes Fall, Winter, and Spring Quarters Only
2011-12 to 2013-14
NSTP Participants

Disciplinary Groups	Two Year Average of Three Quarters Average 2011-12 to 2012-13		Three Quarters Average 2013-14		Percentage Change	
	Faculty FTE	Student Credit Hour (SCH) per Faculty FTE	Faculty FTE	Student Credit Hour (SCH) per Faculty FTE	Faculty FTE	Student Credit Hour (SCH) per Faculty FTE
Biological Sciences	21.0	212.4	22.0	171.4	5%	-24%
Engineering	29.7	173.0	31.2	197.0	5%	12%
Information and Computer Science	17.1	149.7	17.7	214.4	3%	30%
Letters and Science	10.9	238.9	11.2	203.0	3%	-18%
Marine Science	5.5	51.6	5.8	86.7	4%	40%
Other*	5.3	199.6	5.3	225.9	0%	12%
Physical Sciences	22.0	181.2	24.0	197.9	8%	8%
Public Health	18.8	100.9	19.0	88.1	1%	-15%
Social Sciences	3.4	333.0	3.0	329.2	-15%	-1%
NSTP Units Overall	133.6	176.4	139.0	180.3	4%	2%

Note: data is an aggregation of fall, winter and spring quarters and excludes summer session.

*Other includes Criminology, International Relations, Management, Psychology, Social Behavior, and Visual Arts.

Table 4b
UCI, UCLA and UCSD
Teaching Workload, Graduate and Undergraduate
Includes Fall, Winter, and Spring Quarters Only
2011-12 to 2013-14
NSTP Non-Participants

Two Year Average of Three Quarters Average 2011-12 to 2012-13			Three Quarters Average 2013-14		Percentage Change	
Disciplinary Groups	Faculty FTE	Student Credit Hour (SCH) per Faculty FTE	Faculty FTE	Student Credit Hour (SCH) per Faculty FTE	Faculty FTE	Student Credit Hour (SCH) per Faculty FTE
Biological Sciences	102.1	334.4	98.9	322.4	-3%	-4%
Engineering	116.7	228.2	121.0	239.5	4%	5%
Information and Computer Science	53.5	237.6	48.9	307.7	-9%	23%
Letters and Science	92.8	293.9	96.4	266.5	4%	-10%
Marine Science	12.5	246.0	17.1	227.2	27%	-8%
Other*	70.7	328.2	67.3	343.7	-5%	5%
Physical Sciences	202.5	285.3	205.2	300.3	1%	5%
Public Health	43.7	128.4	41.7	129.6	-5%	1%
Social Sciences	52.0	385.3	55.5	330.7	6%	-17%
NSTP Units Overall	746.5	281.4	751.9	284.6	1%	1%

Note: data is an aggregation of fall, winter and spring quarters and excludes summer session.
 *Other includes Criminology, International Relations, Management, Psychology, Social Behavior, and Visual Arts.

While the teaching load of participants differs substantially from that of non-participants, that variance pre-dated the NSTP and, at least in this first year of the program, there was not a notable change in teaching load for either group.

The original metrics established to evaluate the program and its impact on faculty responsibilities also outlined the need to measure any changes in the faculty participants' support of graduate students and post-docs as well as any changes in the number and amount of grants and indirect cost recovery. After a series of conversations with campus-based staff in Graduate Affairs, Research Affairs, Institutional Research, and Academic Personnel, the implementation group concluded that it would not be possible to collect useful data on these issues for the following reasons: a) support for graduate students and post-docs are recorded at the department level, and not by individual faculty member. Additionally, guarantees of support are usually in the form of TA allocations, fellowships, and grant funding that are cobbled together from multiple funding sources and not attributable to individual faculty members, b) information on the number and amounts of grants was also discussed with campus-based staff, who noted that putting together useable and accurate data would be intensely time-consuming. Existing databases, for example, do not account consistently for co-PI status.

The Executive Vice Chancellors/Provosts commented on these issues of faculty responsibilities in their reports, however, and noted that it's too early to tell if the NSTP program accounts for changes in the support of graduate students and post-docs or in the number and amount of grants. The response from EVC Waugh at UCLA does note that in the school of Public Health, which has had a similar program for years, such a program has had a positive impact on the school's grant funding.

VI. Faculty and Administrator Survey Summaries

The Taskforce metrics included the administration of annual surveys to collect participant, non-participant, and administrator/staff input on the program, in an effort to amplify the data above. The two surveys—one for faculty participants and non-participants, and one for administrators/staff—were designed with the help of Taskforce member Professor Elizabeth Deakin (UC Berkeley) and reviewed by the Taskforce members as well as the implementation team. The surveys were administered in June and July 2014. [Appendix E](#) contains full detail on the surveys.

Analysis of the faculty comments showed that attitudes to the program vary depending on status as participant or non-participant. The majority of participants are satisfied with the program and salary increment; they cited key reasons for participating as bringing salaries to market rates (78%), augmenting salary (66%), allowing the faculty member to spend more time on research (40%), and reducing outside consulting (37%). Two-thirds of the non-participants were positive or neutral; one third expressed a variety of concerns including the possibility that participants would reduce their support of graduate students, the potential negative effect of pay disparities on department climate, and the potential liability for the department if there were funding shortfalls. Fifteen percent of non-participants were concerned that the program could cause conflicts in their departments.

The survey of those administering the NSTP was distributed to a wide range of those involved in the implementation of the program, from Provosts and Deans to department CAOs and MSOs. Those at higher levels of authority—Deans for example—had the highest level of satisfaction, while those who dealt with the transactional details were concerned that the benefits to faculty might not outweigh administrative costs.

VII. Campus Reports from Executive Vice Presidents/Provosts

As a part of the standard annual reporting process, each campus Executive Vice President and Provost was asked to provide “an administrative assessment of relevant issues, including a review of the personnel process at all levels.” Vice Provost Susan Carlson emailed each campus a set of thirteen questions on the NSTP program, with questions drawn from the metrics table developed by the 2013 Taskforce. The questions covered the development and use of the contingency fund; the impact of NSTP on recruitment and retention of faculty; and the effect of the program on teaching, research productivity, research funding, postdoc and graduate student support, academic review, allocation of FTEs, and department climate. Each campus reported direct positive impact of the program in the departments and schools participating. In many cases, however, the campus noted that it was too early to assess impact on faculty performance or responsibilities, although one campus did report that they saw an unanticipated result—an increase in compliance rates for mandatory training programs. The campuses reported an increased staff load to administer the program and all suggested that the experience of the first year has led to improvements in the processes of application and evaluation in the second year. The overall assessments varied, with one campus reporting a “great success” and another reporting “the responses across campus have been mixed.”

Each of the three reports is attached in [Appendix F](#).

VIII. Next Steps

This report will be shared with faculty administrators and Senate leaders systemwide, as well as on the campuses. While the second year of the program is already underway, input on year 1 can be reviewed as the three campuses prepare for year 3. Any feedback should be sent to Vice Provost Susan Carlson at the Office of the President (susan.carlson@ucop.edu).

IX. Appendices

- A. Basic Program Document (June 2012)
- B. Goals and Quantitative and Qualitative Metrics Documents (June 25, 2013)
- C. Memo Clarifying Metrics (August 8, 2014)
- D. Interim Report: General Campus Negotiated Salary Trial Program (February 2014)
- E. Faculty and Administrator Survey Results Summary
- F. Executive Vice Chancellor Response Memos (UCI, UCLA, UCSD)

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/department 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.

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. ¹ 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.

¹ 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:	When Federal projects are involved, the program must be compliant with Office of Management and Budget (OMB) Circular A-21. 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.
Duration and termination:	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.

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.

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June 25, 2013

To: Aimée Dorr
Provost and Executive Vice President

From: Susan Carlson
Vice Provost for Academic Personnel
On behalf of the Working Group

Subject: Report from Metrics Working Group for Negotiated Salary Trial Program

A handwritten signature in cursive script that reads "Susan Carlson".

In a memo dated February 5, 2013, you announced your decision to move ahead with a Negotiated Salary Trial Program (NSTP), and at that time you asked me to work with representatives from the three participating campuses and with Senate representatives named by Chair Robert Powell to “refine the metrics, reporting, and assessment” for the program before the July 1, 2013 start date. We are attaching the materials we have developed. A short summary of our work is below.

Membership and meetings. You asked each of the three participating campuses (UCI, UCLA, UCSD) to appoint a representative and asked Council Chair Powell for representation as well. I chaired the meetings and the working group members were as follows:

Ryan Cherland, Assistant Vice Chancellor for Institutional Research and Decision Support (UCI)

Elizabeth Deakin, Professor of City and Regional Planning (UCB)

Dan Hare, Professor of Entomology (UCR) and Chair of UCFW

William Hodgkiss, Associate Vice Chancellor—Academic Personnel (UCSD)

Ari Kelman, Associate Professor, Department of History (UCD)

Tom Rice, Professor of Health Policy and Management (UCLA)

We met by phone four times (April 30, May 13, June 3, and June 17). Agendas and minutes for each meeting are available if you would like to review them.

Focus of working group discussions. The working group reviewed the key documents that led to the decision to move ahead with the trial program and had copies of the implementation documents from all three campuses. In keeping with our specific charge of developing metrics to assess the program, we focused on documents that would provide details for data collection, assessment, and analysis. We reviewed a UCSD document (“UCSD Metrics for Success Proposal, 4-1-13”) and decided to develop something similar for the systemwide trial program review. We developed two documents that we attach for your use:

Goals and metrics document. This one-page document restates the goals of the NSTP (taken from the original June 2012 program documents) and lists the questions the University needs to answer in assessment of the trial program. Since a consistent theme of Academic Council review materials was the difficulty of defining success or failure, we also included a provisional portrait of success and failure. While we discussed the possibility of developing particular indicators that would quantify success or failure (i.e. less than x% of faculty in a unit participated; graduate support was up/down x%; x% of faculty in participating units expressed satisfaction/dissatisfaction with the program), the majority of the group found that calibrating any more particular thresholds would not be meaningful at this time. This document also lists six reports to be produced during the trial period: one interim report in 2013, five annual reports, and one comprehensive year four report.

Table of quantitative and qualitative data to collect for review of NSTP. This table lists all of the data to be collected, both quantitative and qualitative. It also includes some commentary on ways in which the data will help us determine success and/or failure.

Remaining work. While the working group agreed to the need for survey data of participants and non-participants, it did not finalize the survey instruments. Professor Elizabeth Deakin has agreed to draft these instruments for review by the working group. The draft survey will be reviewed by the full working group as soon as it is available.

Next steps. My office will coordinate the collection of data on the NSTP, beginning with the interim report to be completed this fall. I look forward to any additional direction from you on our efforts in carrying out the metrics and assessment designed by the working group.

Attachments

cc: Academic Council Chair Powell
 Academic Council Vice Chair Jacob
 Executive Vice Chancellor Gillman (UCI)
 Executive Vice Chancellor Waugh (UCLA)
 Executive Vice Chancellor Subramani (UCSD)
 Vice Provost Killackey (UCI)
 Vice Provost Goldberg (UCLA)
 Vice Provost Hodgkiss (UCSD)
 Assistant Vice Chancellor Cherland (UCI)
 Professor Deakin (UCB)
 Professor Hare (UCR) and Chair of UCFW
 Professor Rice (UCLA)
 Associate Professor Kelman (UCD)
 Academic Personnel Director Tenma (UCI)
 Academic Personnel Director Fractor (UCLA)
 Academic Personnel Director Larsen (UCSD)
 Executive Director Tanaka
 Executive Director Winnacker

Negotiated Salary Trial Program (NSTP) Goals:

- 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.

Metrics to measure goals for the trial program

In the attached Table there are three types of data to be collected in the program: 1) “Basic Data” (people, funding, faculty responsibilities), 2) data on “Recruitment, Retention, and Review,” and 3) “Survey Satisfaction Data and Reports” involving queries to faculty, CAPs, and academic administrators on their experiences with the NSTP. The data to be collected will help to address the questions listed here; the numbers match the data collection specified in the table.

- Has faculty recruitment been positively/negatively impacted? (2.1.1, 2.1.2)
- Has faculty retention been positively/negatively impacted? (2.2.1, 2.2.2)
- Have department climate and functioning been positively/negatively impacted? (3.1, 3.2.1, 3.2.2, 3.3)
- Has department/school funding been positively/negatively impacted? (1.2.1, 1.2.2, 1.2.3, 1.2.4)
- Has research been positively/negatively impacted? (1.3.3, 1.3.4)
- Has teaching been positively/negatively impacted? (1.3.1, 1.3.2)
- Has graduate student and postdoc support been positively/negatively impacted? (1.3.3)
- Have faculty contributions to University and public service been positively/negatively impacted? (3.1, 3.2.1, 3.2.2)

The demographic data on people (1.0) will also help inform the questions above.

Final judgments about success and failure

In discussions leading up to the initiation of the NSTP, those involved consistently returned to the questions of “what would success look like?” and “what would failure look like?” The workgroup designing these metrics agreed that the NSTP is likely to result in mixed indicators, with some data indicating success and some pointing toward failure. However, we still felt it was important to provide a provisional portrait of success and failure:

A **successful** NSTP will result in the need for fewer retention offers or preemptive offers as well as fewer transfers to split appointments with Health Sciences. The generation of new external funding will lead to increased graduate student and post-doc support and to funding being freed for other uses across units. The quality of research and teaching will not diminish, and faculty workload in teaching and service will remain stable. Faculty and administrators on the campus will express support for the program.

A **failed** NSTP will not affect the need for retention or preemptive offers nor will it slow transfers to split appointments with the Health Sciences. Funding will be diverted from graduate student and post-doc support, and the administrative costs of the program will be oversized for the benefit. Faculty will prioritize the raising of funds for salary over maintaining the quality of their research and teaching and those not participating in the program will carry additional burdens in teaching and service. Faculty and administrators on the campus will express dissatisfaction with the program.

Required reporting

- **Interim report.** Includes prospective information provided in faculty applications for 2013-14. As soon as possible after July 1, 2013.
- **Annual report, years 1 through 5.** Each campus will provide information that can be rolled into one common three-campus report. EVC will include an administrative assessment of relevant issues, including a review of the personnel process at all levels. Due October 15, beginning in 2014.
- **Comprehensive four-year review and report.** Review of first four years. Will include some data not collected in the annual reviews and more comprehensive survey data.

Table of quantitative and qualitative data to collect for review of NSTP				
		What are we measuring?	How will we measure?	How does this help us determine success and/or failure?
1.0. Basic Data	1.1 People (annual)	Those who participated and who did not	1.1.1. Divisions/schools/colleges participating: number and percentage of total campus	Are enough faculty using program to make benefit outweigh administrative burden?
			1.1.2. Departments participating: number and percentages of total campus	What demographic patterns are discernible between participating and non-participating faculty?
			1.1.3. Faculty in participating departments, including both those who did and did not participate: number and percentage of total campus	
			1.1.4. Gender and race/ethnicity of faculty in participating units	How do salary actions and patterns among participants and participating units compare to those elsewhere on the campus?
			1.1.5. Rank and step of faculty in participating units	
			1.1.6. Salary, including base, off-scale, summer ninths, negotiated amount, stipends, other	Are there new disciplinary differences?
	1.2 Funding (annual)	Sources of non-general funds	1.2.1. Funding of salary increments by type: endowment funds, contracts and grants (by funder), fees, other.	Have new sources of funding been identified to allow faculty to negotiate? What is the proportion of each fund type in each participating unit?
			1.2.2. How much is in the contingency fund?	
		Contingency fund	1.2.3. How is the contingency fund used?	Is the contingency fund the best model for the program? Are units or individuals not participating benefitting from the program?
			1.2.4. Shortfalls in predicted funding	Is the percentage contributed to the fund sufficient to support the program?
	1.3. Faculty responsibilities (annual)	Teaching responsibilities	1.3.1. Teaching loads of participants compared to non participants, including two years before program. Will include teaching done on- and off-load.	Do increases or decreases in teaching correlate with participation in the program?
			1.3.2. Faculty who bought out of a teaching assignment. Participants and non-participants. Course coverage by LRF, lecturers, other?	Do teaching buy-outs increase or decrease with participation?
		Graduate and post-doc support	1.3.3. Support for graduate students and post-docs by unit (participants and non-participants), including two years before program.	Is there a change in the number of graduate students or post-docs supported by participants vs. non-participants?
		Grant and contract activity	1.3.4. Number and amount of grants and IDC. Participating units, including two years before program.	Does participation incentivize faculty to increase outside sources of funding?
		University and public service (see 3.1 and 3.2)		
2.0 Recruitment, retention, and review	2.1 Recruitment (annual)		2.1.1. FTE allocations by departments and division	Have recruitment priorities been reallocated to put more or fewer FTE into participating units?
			2.1.2. Success in recruitments. Number of new faculty who use the program in participating units.	Did the program help in recruiting faculty?
	2.2 Retention (annual)		2.2.1. How many faculty are retained through participation in program?	Did the program help in retaining faculty?
			2.2.2. How many faculty transfer to split appointments with health sciences?	

				through the surveys of CAP members and of EVC/Provosts.
3.0 Survey satisfaction data and reports	3.1 Faculty in participating units (annual)	Faculty satisfaction with program	3.1. Survey all faculty in participating units annually.	Ask about decision to participate or not, unit morale, effectiveness of program, etc. Survey for fourth year comprehensive review will include assessment of possible changes in service loads for faculty.
	3.2 Chairs, Deans and administrators (annual)	Administrator satisfaction with program	3.2.1. Survey department chairs, deans, VCR, EVC and other administrators involved in program or in faculty recruitment, retention, and/or review. 3.2.2. EVCs will report to Provost annually with an administrative assessment of relevant issues.	Ask whether the administration was burdensome; whether the program helped in recruitment and retention; how faculty behaviors changed because of the program. Questions on changes in service loads for faculty will be collected through survey data in Year 4 analysis, including commentary on the four years of pilot and two years prior to pilot.
	3.3 CAP members (fourth year review)	CAP member satisfaction with program	3.3. Committee on Academic Personnel will be asked to generate a report on the operation of the NSTP on their campus.	

6-25-13

NSTP Metrics Working Group

UNIVERSITY OF CALIFORNIA

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SANTA BARBARA • SANTA CRUZ

OFFICE OF THE VICE PROVOST -
ACADEMIC PERSONNEL AND PROGRAMS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

August 8, 2014

PROVOST AND EXECUTIVE VICE PRESIDENT DORR
ACADEMIC COUNCIL CHAIR JACOB
ACADEMIC COUNCIL VICE CHAIR GILLY

Dear Colleagues:

A staff working group has been engaged throughout the year in implementing the collection of qualitative and quantitative data for evaluating the efficacy of the general campus Negotiated Salary Trial Program (NSTP), as agreed to by the joint Administration-Senate Working Group in June 2013. The table listing the data, as approved in June 2013, is attached. The current work group (with staff from each of the three participating campuses, along with OP staff) has been meeting roughly twice a month since the fall and has accomplished the following:

- Interim report issued to Academic Senate and Academic Administrators in February, 2014.
- Survey of all faculty in participating departments and schools administered in June, 2014.
- Survey of staff and administrators involved in implementing the program administered in July, 2014.

In addition, the working group has been assessing the best way to collect data for the first annual report; updates are listed below. For a complete matrix of data to be collected, please refer to the Attachment. Please pay special attention to the details listed under *1.3 Basic Data: Faculty Responsibilities*, where we have had to adjust original plans for data collection.

- **1.1. People.** We are in the process of collecting the information for all items listed under 1.1. While most of these details were included in the preliminary report, section 1.1.6 on salary was only partially represented as data was not yet available. Items like summer ninths and stipends will be added in the annual report as all of the salary details are fully available only after fiscal close.
- **1.2. Funding.** We have a strategy for collecting the funding data as planned. The types of funding used in the program will be reported in categories such as Endowment, Gifts, Contract and Grants (Federal/State/Private), Self-Supporting Degree Program Fees, etc.
- **1.3. Faculty Responsibilities.** The data in this section are the most complicated to collect. Here is where we stand on the details:
 - 1.3.1. Teaching loads. We believe we have found a way to collect and report teaching load data, with the help of Institutional Research (IR) at UCI. We also understand that campuses may be collecting annual teaching load data earlier than in the past which will aid our reporting ability on this issue. While our current understanding is that the data is not submitted by individual faculty member but rather by departmental aggregate, we are hopeful that a comparison between the faculty workload distributions among NSTP Participants and non-NSTP Participants in participating departments may be possible.

August 8, 2014

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- 1.3.2. Buy-out of teaching assignments. The Implementation Guidelines restrict buy-outs of teaching during participation in the NSTP. We included a question on the faculty survey to ascertain if any faculty perceived their participation as a method to buy-out of teaching. The faculty survey data will provide the most useful information on this issue.
- 1.3.3. Support of graduate students and post-docs. After a series of conversations with campus-based staff in Graduate Affairs, Research Affairs, Institutional Research, and Academic Personnel, the implementation group concluded that it would not be possible to collect useful data on this issue as commitments for graduate support are recorded at the departmental level, not by individual faculty member. Guarantees of support are usually in the form of TA allocations, fellowships, and grant funding that are cobbled together from multiple funding sources and not attributable to individual faculty members. For this reason, we will ask that the EVC/Provosts report anecdotally on this issue in their reports. We have also included related questions on the faculty and the administrator surveys.
- 1.3.4. Number and amount of grants and in-direct cost recovery (IDC). Again, after a series of conversations with campus-based staff in Graduate Affairs, Research Affairs, Institutional Research, and Academic Personnel, we have determined that collection of useable data would be intensely time-consuming. Existing databases do not account consistently for co-PI status, for example. We will ask the EVCs/Provosts to report on this issue in their administrative report.
- 2.0. Recruitment, retention and review. The collection of information in this section (subsections 2.1.1, 2.1.2, 2.2.1, 2.2.2) will be a part of the campus administrative report. Information on 2.3.1 (Review) will not be collected until the comprehensive four-year review.
- 3.0. Program Satisfaction Survey data and reports. As noted above, the annual faculty survey and the annual administrator survey have been administered. The report from CAP committee chairs will be submitted as a part of the four-year review.

Please let me know if you have any questions about the detail or if you would like to discuss further.

Sincerely,



Susan Carlson
Vice Provost
Academic Personnel

Attachment: Table of quantitative and qualitative data to collect for review of NSTP

cc: Assistant Vice Chancellor Cherland
Executive Director Tanaka
Director Maheu
Manager Straight
Coordinator Xavier
Policy and Compensation Analyst Thomas
Workforce Data Analyst Lang

Interim Report General Campus Negotiated Salary Trial Program (NSTP) February 2014

Background of the General Campus Negotiated Salary Trial Program

Following consultation with the Academic Senate and Council of Vice Chancellors (COVC), and under the authority of Provost and Executive Vice President Aimée Dorr, a general campus negotiated salary trial program (NSTP) on three campuses (UCI, UCLA, and UCSD) was approved in February 2013. A joint Senate-Administration Taskforce designed metrics to evaluate the effectiveness of the program and forwarded those recommendations to the Provost in June 2013; the metrics for assessment are appended to this report. The Taskforce recommendations were accompanied by a minority report from two of the Taskforce members who expressed concerns about the assessment plan; because of this difference in opinion about the most appropriate metrics for assessment, dialogue about assessment will continue as the data on the trial program are gathered and analyzed. In Fall 2013, work on this first of several required reports began, coordinated by the UCOP-Academic Personnel office and including staff from the three campuses who have responsibilities in academic data.

NSTP Goals

Three goals for the NSTP were determined by the Taskforce and guided the compilation of this report:

- 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 fourth year review.

Metrics to measure goals for the Trial Program

As outlined by the Taskforce, three types of data will be collected in a series of reports to allow adequate review of the program:

1) Basic Data (people, funding, faculty responsibilities), 2) Data on recruitment, retention, and review, and 3) Survey data involving queries to faculty, academic administrators, and CAP members on their level of satisfaction with the NSTP.

Required Reporting recommended by the Taskforce and mandated by the Provost and Executive Vice President

In the course of the trial, the following reports will be available to the Faculty Senate and academic administrators who are the key stakeholders in this program.

- **Interim report.** Includes prospective information provided in faculty applications for 2013-14. To be processed as soon as possible after July 1, 2013.
- **Annual report, years 1 through 5.** Each campus will provide information that can be rolled into one common three-campus report. In addition to the metrics and survey data (outlined in [Appendix A](#)), each EVC/P will include an administrative assessment of relevant issues, including a review of the personnel process at all levels. Due October 15 each year, in 2014, 2015, 2016, and 2018. (The report that would otherwise have been due in October 2017 will be replaced by the comprehensive fourth year review.)
- **Comprehensive fourth year review and report.** Review of first four years. Will include some data not collected in the annual reviews including more comprehensive survey data. Due Fall 2017.

Interim Report

This interim report compiles data provided by the three participating campuses and covers categories 1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.1.5, and 1.1.6 (in part) in the Taskforce data table (see [Appendix A](#)). It also includes a summary statement on category 1.2.1. Reporting on other categories will be part of the annual reports and the fourth year report. Information here is reported in two sections, the first on faculty participation and demographics and the second on the salaries of faculty enrolled in the trial program.

Faculty Participation and Demographics, FY 2014

This “Faculty Participation and Demographics” section of the report provides the following data as described and numbered by the Taskforce in June 2013 (see [Appendix A](#)):

- 1.1.1. Those who participated and who did not. Divisions/schools/colleges participating: number and percentage of total campus.
- 1.1.2. Those who participated and who did not. Departments participating: number and percentages of total campus.
- 1.1.3. Those who participated and who did not. Faculty in participating departments, including both those who did and did not enroll: number and percentage of total campus.
- 1.1.4. Gender and race/ethnicity of faculty in participating units.
- 1.1.5. Rank and step of faculty in participating units.
- 1.1.6. Salary, including scale rate, off-scale, summer ninths, negotiated amount, stipends, other. (Note: Along with the negotiated increment, only scale rate and off-scale or above scale is reported in this interim report; additional detail will be included in the annual report.)

Each of the three participating campuses is operating the trial program according to implementation guidelines developed on the campus and approved by the Provost and Executive Vice President.

Each campus also has determined which schools/colleges are eligible to participate: while UCI and UCSD opened the program to all non-HSCP (Health Science Compensation Plan) schools, UCLA limited its participation to two schools. [Table A](#) provides detail on the division/school/college participation and lists those units participating by name. It is important to note that the trial program is not available to faculty in schools where the HSCP is used or available, so [Table A](#) excludes schools with HSCP eligibility (schools excluded from the trial program are Medicine at UCI; Medicine, Nursing and Dentistry at UCLA; and Medicine and Pharmacy at UCSD). Any faculty member eligible for HSCP is not eligible for NSTP. While both UCI and UCLA have participating units titled “Public Health,” neither is participating in the HSCP.

Table A.
Campus Participation in NSTP by Divisions/Schools/Colleges and Department, 2013-2014

CAMPUS	DIVISIONS/ SCHOOLS/ COLLEGES PARTICIPATING	TOTAL CAMPUS DIVISIONS/ SCHOOLS/ COLLEGES (Excludes Health Sciences Schools*)	Participating Divisions/ Schools/Colleges as a % of Total Campus	Departments Participating	Total Campus Departments	Participating Departments as a % of Total Campus
IRVINE	7	14	50%	12	50	24.0%
LOS ANGELES	2	14	14%	9	68	13.2%
SAN DIEGO	8	8	100%	19	32	59.4%

Note: Participating campus Divisions/Schools/Colleges include the following:

<u>IRVINE</u>	<u>LOS ANGELES</u>	<u>SAN DIEGO</u>
BIOLOGICAL SCIENCES	LIFE SCIENCES	ARTS AND HUMANITIES
ENGINEERING	PUBLIC HEALTH	BIOLOGICAL SCIENCES
PUBLIC HEALTH**		ENGINEERING
INFORMATION & COMPUTER SCIENCES		PHYSICAL SCIENCES
PHYSICAL SCIENCES		SOCIAL SCIENCES
SOCIAL ECOLOGY		INTERNATIONAL RELATIONS/PACIFIC STUDIES
SOCIAL SCIENCES		RADY SCHOOL OF MANAGEMENT
		MARINE SCIENCES

* HSCP members are not eligible to participate in the NSTP.

** The UCI program in Public Health is not yet officially a school, but is treated as one for most reporting.

Interim Report: General Campus Negotiated Salary Trial Program (NSTP)

Three tables—[Tables B1 \(Irvine\)](#), [B2 \(Los Angeles\)](#), and [B3 \(San Diego\)](#)—provide headcounts of the faculty who have enrolled in the trial program for FY14. The tables also display the percentages of enrolled faculty by department, ranging from a low of 2.8% to a high of 75%. Those schools/divisions/colleges that have faculty in the program are termed “participating” units; those individual faculty who are receiving negotiated salaries are termed “enrolled” faculty. A total of 154 faculty are enrolled, of which six are professors in residence. All but three faculty members are on academic year (9-month appointments). For this preliminary report, the salaries of those three on fiscal year appointments have been converted to academic equivalents; in the annual report these fiscal year enrollees will be analyzed further. Only ladder-rank or in residence faculty who advanced in rank or step in their last academic review are eligible for the program.

Table B1. UC Irvine
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department, 2013-2014

CAMPUS	SCHOOL/DIVISION/COLLEGE	DEPARTMENT NAME	Headcount of Enrolled Faculty	% of Total	Total Department Faculty	Enrolled Faculty/Total Department Faculty
IRVINE	BIOLOGICAL SCIENCES	DEVELOPMENTAL & CELL BIOLOGY	3	7.9%	22	13.6%
		ECOLOGY & EVOLUTIONARY BIOLOGY	3	7.9%	28	10.7%
		NEUROBIOLOGY & BEHAVIOR	4	10.5%	20	20.0%
	ENGINEERING	ELECTRICAL ENGR & COMPUTER SCI	4	10.5%	31	12.9%
	INFORMATION AND COMPUTER SCIENCES	COMPUTER SCIENCE	9	23.7%	37	24.3%
	PHYSICAL SCIENCES	CHEMISTRY	2	5.3%	38	5.3%
		MATHEMATICS	3	7.9%	30	10.0%
		PHYSICS AND ASTRONOMY	3	7.9%	45	6.7%
	PUBLIC HEALTH*	PUBLIC HEALTH	2	5.3%	10	20.0%
	SOCIAL ECOLOGY	CRIMINOLOGY LAW & SOCIETY	2	5.3%	19	10.5%
		PSYCHOLOGY & SOCIAL BEHAVIOR	1	2.6%	19	5.3%
	SOCIAL SCIENCES	COGNITIVE SCIENCE	2	5.3%	23	8.7%
IRVINE Total			38	100.0%		

* The Public Health program is not yet officially a school at UC Irvine, but is treated as one for most reporting.

Table B2. UC Los Angeles
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department, 2013-2014

CAMPUS	SCHOOL/DIVISION/COLLEGE	DEPARTMENT NAME	Headcount of Enrolled Faculty	% of Total	Total Department Faculty	Enrolled Faculty/Total Department Faculty
LOS ANGELES	LIFE SCIENCES	INTEGRATIVE BIOLOGY & PHYSIOL	3	8.8%	17	17.6%
		MOLECULAR, CELL & DEV. BIOLOGY	3	8.8%	22	13.6%
		PSYCHOLOGY	5	14.7%	65	7.7%
	PUBLIC HEALTH	BIOSTATISTICS	8	23.5%	12	66.7%
		COMMUNITY HEALTH SCIENCES	2	5.9%	18	11.1%
		CTR OCCUPATIONAL & ENVTL HLTH	3	8.8%	4	75.0%
		ENVIRONMENTAL HEALTH SCIENCES	1	2.9%	9	11.1%
		EPIDEMIOLOGY	6	17.6%	12	50.0%
		HEALTH POLICY AND MANAGEMENT	3	8.8%	15	20.0%
LOS ANGELES Total			34	100.0%		

Interim Report: General Campus Negotiated Salary Trial Program (NSTP)

Table B3. UC San Diego
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department, 2013-14

CAMPUS	SCHOOL/DIVISION/COLLEGE	DEPARTMENT NAME	Headcount of Enrolled Faculty	% of Total	Total Department Faculty	Enrolled Faculty/Total Department Faculty
SAN DIEGO	ARTS AND HUMANITIES	VISUAL ARTS	1	1.2%	28	3.6%
	BIOLOGICAL SCIENCES	DIVISION OF BIOLOGICAL SCI.	13	15.9%	67	19.4%
	ENGINEERING	BIOENGINEERING	8	9.8%	19	42.1%
		COMPUTER SCI & ENGR	9	11.0%	42	21.4%
		ELECT & COMPUTER ENGR	12	14.6%	44	27.3%
		MECHANICAL & AEROSPACE ENGR	5	6.1%	41	12.2%
		NANOENGINEERING	2	2.4%	13	15.4%
		STRUCTURAL ENGR	1	1.2%	21	4.8%
	INTERNATIONAL RELATIONS/PACIFIC STUDIES	GRAD.SCH.INT.RELAT./PAC.STUD.	2	2.4%	25	8.0%
	MANAGEMENT	RADY SCHOOL OF MANAGEMENT	2	2.4%	25	8.0%
	MARINE SCIENCES	SIO DEPARTMENT	8	9.8%	87	9.2%
	PHYSICAL SCIENCES	CHEMISTRY & BIOCHEMISTRY	9	11.0%	49	18.4%
		MATHEMATICS	2	2.4%	45	4.4%
		PHYSICS	5	6.1%	40	12.5%
	SOCIAL SCIENCES	COGNITIVE SCIENCE	1	1.2%	17	5.9%
		POLITICAL SCIENCE	1	1.2%	36	2.8%
		PSYCHOLOGY	1	1.2%	27	3.7%
SAN DIEGO Total			82	100.0%		

Tables C and D provide information on those enrolled with a breakdown by gender and race/ethnicity. The numbers have been provided for the overall three-campus enrollment since cell sizes would have been too small to report for most units. The percentage of women enrolled mirrors closely the percentage of women in the participating departments, with 22.7% of women enrolled and a similar percentage—22.1%—on the faculty in participating units. **Table C** presents the gender data in an alternate way to show that of all those eligible to enroll in participating units, women participated at a slightly higher rate than men (14.1% compared to 13.6%).

Table C.
Gender of Enrolled Faculty to Total Participating Faculty
All Three Campuses, 2013-2014

Enrolled to Participating Ratios		
Female	Male	Total
14.1%	13.6%	13.7%

The breakdown by race/ethnicity is somewhat more variable, although numbers of under-represented minorities are small, both among enrollees and participating department faculty (see **Table D**): one of 20 African/African Americans eligible to participate enrolled (5%); 25 of 199 Asian/Asian Americans (12.6%); 11 of 56 Chicano(a)s/Latino(a)s/Hispanics (19.6%); and 117 of 842 Whites (13.9%). (**Table D** has a slightly different percentage—13.8%—since White and Other are combined for the Table.) No Native Americans/American Indians are on the faculty in participating departments and five faculty members did not self identify.

Table D.
Race/Ethnicity of Enrolled Faculty to Total Participating Departmental Faculty, All Three Campuses, 2013-2014

Enrolled to Participating Ratios					
African/African American	Asian /Asian American	Chicano(a)/Latino(a)/Hispanic	Native American/American Indian	White/Other	Total
5.0%	12.6%	19.6%	0.0%	13.8%	13.7%

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Table E profiles enrolled faculty and all eligible faculty in participating units by rank and step. Over 85% of those enrolled are tenured, with 66% of enrolled faculty at the rank of Professor.

Table E.**Headcount of Enrolled and Participating Faculty by Rank and Step, All Three Campuses, 2013-2014**

Rank/Step	Faculty Enrolled Who Will Receive a Negotiated Increment	% of Total	All Faculty in Participating Units	% of Total
ASSISTANT PROFESSOR				
1	1		3	
2	1		32	
3	3		48	
4	7		54	
5	1		27	
6			2	
ASSISTANT PROFESSOR Total	13	8.4%	166	14.8%
ASSOCIATE PROFESSOR				
1	9		30	
2	19		75	
3	13		67	
4	1		35	
5	1		7	
ASSOCIATE PROFESSOR Total	43	27.9%	214	19.1%
PROFESSOR				
1	4		41	
2	6		59	
3	14		76	
4	11		52	
5	12		89	
6	6		46	
7	9		76	
8	8		45	
9	8		89	
Above	20		169	
PROFESSOR Total	98	63.6%	742	66.1%
Grand Total	154	100.0%	1,122	100.0%

Salary Information, FY2014

The NSTP program document set clear parameters around the determination of a negotiated salary, notably that the negotiated component could be no more than 30% of the scale rate plus off-scale salary (academic or fiscal) or 30% of the above scale salary. The percentage of the negotiated increment varies by individual, not school or department; increments as a percentage of eligible salary range from 4.5% to the maximum of 30%. There were 12 faculty at the maximum. **Tables F, G, H, and I** offer initial information about the negotiated increments and salaries with information available by campus and by rank. This preliminary report does not include information on summer ninths, stipends, or other additional compensation; these will be addressed in the annual report once complete annual information is available.

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Table F1.
Sum of Scale Rate, Above Scale Rate, Off Scale and Negotiated Salary Increment
for Enrolled Faculty by Campus, 2013-2014

Campus	Sum of Scale Rate, Above Scale Rate and Off Scale	Sum of Negotiated Salary Increment	Total of Scale Rate, Above Scale Rate, Off Scale and Negotiated Salary Increment
Irvine	\$4,881,300	\$1,136,628	\$6,017,928
Los Angeles	\$4,559,000	\$960,274	\$5,519,274
San Diego	\$11,652,020	\$1,597,000	\$13,249,020
Grand Total	\$21,092,320	\$3,693,902	\$24,786,222

Table F2.
Headcount by Campus of Percent of Negotiated Salary Increment
to Scale Rate, Above Scale Rate and Off-Scale, 2013-2014

Campus	Number of Faculty with Negotiated Salary Increments at 10% or less	Number of Faculty with Negotiated Salary Increments between 11% and 20%	Number of Faculty with Negotiated Salary Increments between 21% and 30%	Grand Total
Irvine	7	6	25	38
Los Angeles	8	8	18	34
San Diego	56	11	15	82
Grand Total	71	25	58	154

Table G1.
Sum of Scale Rate, Above Scale Rate, Off Scale and Negotiated Salary Increment
for Enrolled Faculty by Rank, All Three Campuses, 2013-2014

Rank	Sum of Scale Rate, Above Scale Rate and Off Scale	Sum of Negotiated Salary Increment	Total of Scale Rate, Above Scale Rate, Off Scale and Negotiated Salary Increment
ASSISTANT PROFESSOR	\$1,157,470	\$187,346	\$1,344,816
ASSOCIATE PROFESSOR	\$4,496,600	\$844,285	\$5,340,885
PROFESSOR	\$15,438,250	\$2,662,271	\$18,100,521
Grand Total	\$21,092,320	\$3,693,902	\$24,786,222

Table G2.

**Headcount by Rank of Percent of Negotiated Salary Increment to Scale Rate,
Above Scale Rate and Off Scale, All Three Campuses, 2013-2014**

Rank	Number of Faculty with Negotiated Salary Increments at 10% or less	Number of Faculty with Negotiated Salary Increments between 11% and 20%	Number of Faculty with Negotiated Salary Increments between 21% and 30%	Grand Total
ASSISTANT PROFESSOR	8	1	4	13
ASSOCIATE PROFESSOR	17	10	16	43
PROFESSOR	46	14	38	98
Grand Total	71	25	58	154

Tables H and I contextualize this information further. In **Table H**, the full negotiated salaries are profiled by rank. In **Table I**, these negotiated salaries are profiled by disciplinary group.

Table H.

**Headcount and Minimum, Average and Maximum of Scale Rate, Above Scale Rate, Off Scale
and Negotiated Salary Increment for Enrolled Faculty by Rank, All Three Campuses, 2013-2014**

Rank	Headcount	Min of Scale Rate, Above Scale Rate and Off Scale	Average of Scale Rate, Above Scale Rate and Off Scale	Max of Scale Rate, Above Scale Rate and Off Scale
ASSISTANT PROFESSOR	13	\$71,300	\$89,036	\$107,070
ASSOCIATE PROFESSOR	43	\$77,500	\$104,572	\$204,000
PROFESSOR	98	\$96,600	\$157,533	\$306,000
Grand Total	154			

Rank	Headcount	Min of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
ASSISTANT PROFESSOR	13	\$7,056	\$14,411	\$28,400
ASSOCIATE PROFESSOR	43	\$8,000	\$19,635	\$61,200
PROFESSOR	98	\$7,500	\$27,166	\$58,900
Grand Total	154			

Rank	Headcount	Min of Total Annual Salary (Scale Rate, Above Scale Rate and Off Scale + Negotiated)	Average of Total Annual Salary (Scale Rate, Above Scale Rate and Off Scale + Negotiated)	Max of Total Annual Salary (Scale Rate, Above Scale Rate and Off Scale + Negotiated)
ASSISTANT PROFESSOR	13	\$78,400	\$103,447	\$123,200
ASSOCIATE PROFESSOR	43	\$89,125	\$124,207	\$265,200
PROFESSOR	98	\$106,300	\$184,699	\$344,250
Grand Total	154			

Interim Report: General Campus Negotiated Salary Trial Program (NSTP)

Table I.

**Headcount and Minimum, Average and Maximum by Scale Rate, Above Scale Rate and Off Scale
and Negotiated Salary Increment for Enrolled Faculty by Disciplinary Group, All Three Campuses, 2013-2014**

Scale Rate, Above Scale Rate and Off Scale				
DISCIPLINARY GROUP	Headcount	Min of Scale Rate, Above Scale Rate and Off Scale	Average of Scale Rate, Above Scale Rate and Off Scale	Max of Scale Rate, Above Scale Rate and Off Scale
BIOLOGICAL SCIENCES	23	\$78,400	\$136,322	\$213,800
ENGINEERING	41	\$93,600	\$143,283	\$233,500
INFORMATION AND COMPUTER SCIENCES	9	\$98,300	\$136,744	\$193,300
LETTERS AND SCIENCE	11	\$109,200	\$158,855	\$306,000
MARINE SCIENCES	8	\$71,300	\$135,078	\$224,632
OTHER	8	\$94,000	\$148,025	\$227,900
PHYSICAL SCIENCES	24	\$83,000	\$135,971	\$244,100
PUBLIC HEALTH	25	\$76,500	\$120,764	\$199,100
SOCIAL SCIENCES	5	\$79,700	\$111,400	\$178,500
Grand Total	154			

Negotiated Salary				
DISCIPLINARY GROUP	Headcount	Min of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
BIOLOGICAL SCIENCES	23	\$7,056	\$28,250	\$51,000
ENGINEERING	41	\$7,500	\$15,400	\$39,300
INFORMATION AND COMPUTER SCIENCES	9	\$19,330	\$36,728	\$54,750
LETTERS AND SCIENCE	11	\$9,504	\$28,623	\$61,200
MARINE SCIENCES	8	\$7,100	\$14,850	\$26,100
OTHER	8	\$12,260	\$24,619	\$55,000
PHYSICAL SCIENCES	24	\$8,300	\$27,777	\$58,900
PUBLIC HEALTH	25	\$8,910	\$28,307	\$43,950
SOCIAL SCIENCES	5	\$10,000	\$15,451	\$26,775
Grand Total	154			

Scale Rate, Above Scale Rate and Off Scale plus Negotiated Salary				
DISCIPLINARY GROUP	Headcount	Min of Total Annual Salary (Scale Rate, Above Scale Rate and Off Scale + Negotiated)	Average of Total Annual Salary (Scale Rate, Above Scale Rate and Off Scale + Negotiated)	Max of Total Annual Salary (Scale Rate, Above Scale Rate and Off Scale + Negotiated)
BIOLOGICAL SCIENCES	23	\$85,456	\$164,572	\$256,100
ENGINEERING	41	\$103,000	\$158,683	\$256,900
INFORMATION AND COMPUTER SCIENCES	9	\$127,790	\$173,472	\$237,250
LETTERS AND SCIENCE	11	\$128,304	\$187,477	\$344,250
MARINE SCIENCES	8	\$78,400	\$149,928	\$250,732
OTHER	8	\$106,976	\$172,644	\$282,900
PHYSICAL SCIENCES	24	\$91,300	\$163,748	\$268,500
PUBLIC HEALTH	25	\$89,125	\$149,071	\$238,920
SOCIAL SCIENCES	5	\$93,000	\$126,851	\$205,275
Grand Total	154			

Sources of Funding

This preliminary report does not include a detailed breakdown of funding sources, since year-end data are needed to provide accuracy. The three campuses have, however, reported preliminarily that funding for the program has come from a variety of what the program defines as external funds: private contracts and grants, indirect cost recovery, federal contracts and grants, endowment funds, gift funds, state contracts and grants, and self-supporting degree program funds.

Next Steps

This report is being distributed to the Academic Senate and to the Council of Vice Chancellors for informational purposes. Work has begun as well on the first annual report. Any questions or comments on this preliminary report should be directed to Vice Provost Susan Carlson (susan.carlson@ucop.edu).

Attachments

Appendix A: Table of quantitative and qualitative data to collect for review of NSTP.

APPENDIX A

This table of quantitative and qualitative data was developed by the Metrics Working Group for Negotiated Salary Trial Program and submitted to Provost Dorr on June 25, 2013.

Table of quantitative and qualitative data to collect for review of NSTP.				
		What are we measuring?	How will we measure?	How does this help us determine success and/or failure?
1.0. Basic Data	1.1 People (annual)	Who participated and who did not.	1.1.1. Divisions/schools/colleges participating: number and percentage of total campus	Are enough faculty using program to make benefit outweigh administrative burden?
			1.1.2. Departments participating: number and percentages of total campus	What demographic patterns are discernible between participating and non-participating faculty?
			1.1.3. Faculty in participating departments, including both those who did and did not participate: number and percentage of total campus	
			1.1.4. Gender and race/ethnicity of faculty in participating units	
			1.1.5. Rank and step of faculty in participating units	
			1.1.6. Salary, including scale rate, off-scale, summer ninth, negotiated amount, stipends, other	
	1.2 Funding (annual)	Sources of non-general funds	1.2.1. Funding of salary increments by type: endowment funds, contracts and grants (by funder), fees, other.	Have new sources of funding been identified to allow faculty to negotiate? What is the proportion of each fund type in each participating unit?
		Contingency fund	1.2.2. How much is in the contingency fund?	
			1.2.3. How is the contingency fund used?	Is the contingency fund the best model for the program? Are units or individuals not participating benefitting from the program?
			1.2.4. Shortfalls in predicted funding	Is the percentage contributed to the fund sufficient to support the program?
	1.3. Faculty responsibilities (annual)	Teaching responsibilities	1.3.1. Teaching loads of participants compared to non-participants. Initial year and two prior years. Will include teaching done on- and off-load.	Do increases or decreases in teaching correlate with participation in the program?
			1.3.2. Faculty who bought out of a teaching assignment. Participants and non-participants. Course coverage by LRF, lecturers, other?	Do teaching buy-outs increase or decrease with participation?
		Graduate and post-doc support	1.3.3. Support for graduate students and post-docs by unit (participants and non-participants), including two years before program.	Is there a change in the number of graduate students or post-docs supported by participants vs. non-participants?
		Grant and contract activity	1.3.4. Number and amount of grants and IDC. Participating units, including two years before program.	Does participation incentivize faculty to increase outside sources of funding?
		University and public service See 3.1 and 3.2.		

Interim Report: General Campus Negotiated Salary Trial Program (NSTP)

APPENDIX A, cont'd

Table of quantitative and qualitative data to collect for review of NSTP.				
2.0 Recruitment, retention, and review	2.1 Recruitment (annual)		2.1.1. FTE allocations by departments and division	Have recruitment priorities been reallocated to put more or fewer FTE into participating units?
			2.1.2. Success in recruitments. Number of new faculty who use the program in participating units.	Did the program help in recruiting faculty?
	2.2 Retention (annual)		2.2.1. How many faculty are retained through participation in program?	Did the program help in retaining faculty?
			2.2.2. How many faculty transfer to split appointments with health sciences?	
	2.3 Review (fourth year survey data)		2.3.1. How do numbers of promotions, accelerations, etc. compare before and during the program?	Does participation in this process affect the rate of advancement either positively or negatively? This information will be collected through the surveys of CAP members and of EVC/Provosts.
3.0 Survey satisfaction data and reports	3.1 Faculty in participating units (annual)	Faculty satisfaction with program	3.1. Survey all faculty in participating annually.	Ask about decision to participate or not, unit morale, effectiveness of program, etc. Survey for fourth year comprehensive review will
	3.2 Chairs, Deans and admins. (annual)	Administrator satisfaction with program	3.2. Survey department chairs, deans, VCR, EVC and other administrators involved in program or in faculty recruitment, retention, and/or review.	Ask whether the administration was burdensome; whether the program helped in recruitment and retention; how faculty behaviors changed because of the program. Questions on changes in service loads for faculty will be collected through survey data in Year 4 analysis, including commentary on the four years of pilot and 2 years prior to pilot.
	3.3 CAP members (fourth year review)	CAP member satisfaction with program	3.3. Committee on Academic Personnel will be asked to generate a report on the operation of the NSTP on their campus.	

NSTP 2013-14 Faculty and Administrator Survey Development

The June 15, 2012 draft Implementation Procedures for a Negotiated Salary Trial Program described the need for surveys to be used to assess the effectiveness of the General Campus Negotiated Salary Trial Program (NSTP) on the three campuses participating in the trial (Irvine, Los Angeles, and San Diego). The procedures specified that “faculty and administrators with expertise in survey design and administration would develop surveys for faculty and administrators involved to assess whether conflicts of interest and commitment ensued over the course of the program, whether departmental morale was affected, and whether the program successfully helped faculty recruitment and retention.”

In June 2013, the NSTP Metrics Work Group, comprised of Senate faculty and administrators, was convened by the Provost. The work group developed quantitative and qualitative metrics to be used for assessing the program. The survey instruments focused on these key areas:

- **Has faculty retention been positively/negatively impacted?**
- **Have department climate and functioning been positively/negatively impacted?**
- **Has research been positively/negatively impacted?**
- **Has teaching been positively/negatively impacted?**
- **Has graduate student and postdoc support been positively/negatively impacted?**
- **Have faculty contributions to University and public service been positively/negatively impacted?**

NSTP 2013-14 Faculty Survey Administration

On June 9, 2014, the faculty web-based survey was sent to 1,036 faculty in units participating in the program on the Irvine, Los Angeles, and San Diego campuses. Three hundred eighty-seven faculty members took the survey, yielding an overall response rate of approximately 37%. Response rates varied substantially between program participants and non-participants. Among NSTP participants, 102 of the 154 individuals surveyed responded to at least one of the survey questions, yielding a response rate of two-thirds. Two hundred eighty-five of the 883 surveyed non-participants took part in the survey, resulting in a response rate of approximately 30%.

The survey questions are shown below. Participants responded to items about the program’s impact on their own work-related activities, satisfaction with the program, and the program’s perceived impact on the University. Non-participants were surveyed on their familiarity with the program and their eligibility to participate. Open ended comments were solicited on many of these questions.

Survey Question	Response Group
1. Did you participate in the Negotiated Salary Trial Program at UC Irvine and UC Los Angeles or the General Campus Compensation Plan at UC San Diego in the 2013-14 academic year?	All Respondents
2. Have you applied to participate in the program in academic year 2014-15?	All Respondents
3. How familiar are you with the program?	All Respondents
4. Please explain why you did not participate in the program in the 2013-14 academic year. Check all that apply.	Non-Participants Only
5. What motivated you to participate in the program? Check all that apply.	Participants Only
6. Have you modified your TEACHING LOAD in the past year (2013-14)?	Participants Only
7. Have you modified your SERVICE ACTIVITIES in the past year (2013-14)?	Participants Only
8. Has the program affected your support of graduate students?	Participants Only
9. Has the program affected your hiring of postdocs?	Participants Only
10. Based on your experiences in the 2013-14 program, please rate your level of satisfaction with the following aspects of the program.	Participants Only
11. In your opinion, is the program a positive asset for the University?	Participants Only

NSTP 2013-14 Faculty Survey Response Summary

Program participants indicated general satisfaction with the program. Eighty- nine percent were satisfied or highly satisfied with the salary increment. A majority were “satisfied” or “highly satisfied” with the application process and program administration--65% and 70%, respectively. A large majority, or 83%, reportedly reapplied for 2014-15. And, 96% of program participants indicated that the program was a “positive asset to the university.”¹

The top five reasons faculty gave for participating in the program were: 1) to bring my salary to market rates (78%), 2) to augment my salary (66%), 3) to allow me to spend more time on my university research (40%), 4) to allow me to reduce outside consulting as additional income (37%) and 5) to make it possible to turn down an outside offer (34%).

Comments from program participants also indicate general satisfaction with the program. More than 80% of program participants viewed the program in a favorable light. Perceived benefits of the program include: increasing a department’s ability to compete for top faculty; providing an additional incentive to perform research; and, allowing faculty to spend less time consulting and more time with students.

Program participants were less satisfied with the administrative process. Thirty- percent of the participants’ comments included concerns, most commonly about the burdensome application process; restrictive funding deadlines; and excessive contingency fund requirements.

Two-thirds of the non-participants’ comments were neutral or positive and one-third were negative. Criticisms mainly focused on the perception of pay disparities among departments as a result of the program’s implementation; potential liability for the department if there were funding shortfalls; and the perception that program participation would discourage graduate student support.

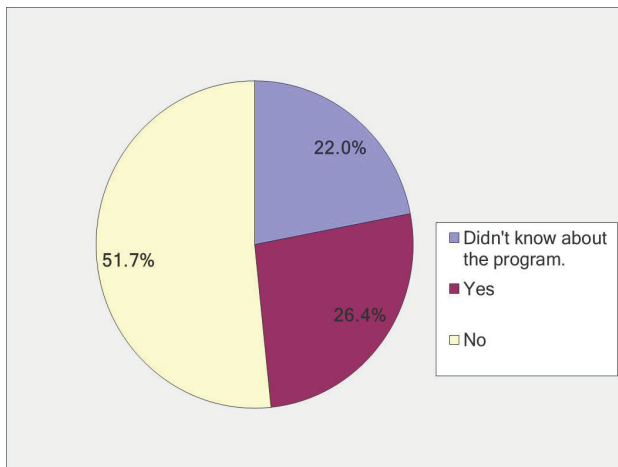
Participants were asked how the program affects teaching, public service activities, graduate student support, and postdoctoral scholar hiring. None of the program participants indicated that they reduced their teaching load or the hiring of postdocs as a result of the program. Two faculty members indicated that they reduced their “service activities” and another faculty member indicated that “graduate student support” decreased as a result of participation in the program. Summary responses to the survey follow.

Note: totals may not sum to 100% due to rounding.

¹ Non-Participants were not asked this questions based on this assumption that they would be unfamiliar with the details of the program and its implementation.

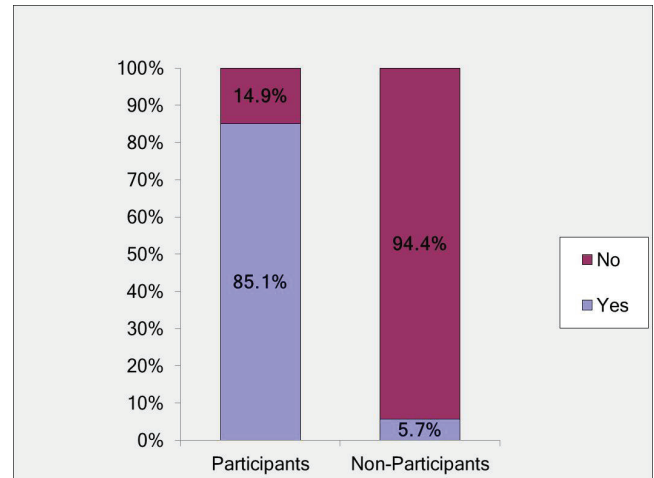
Question 1.

Did you participate in the Negotiated Salary Trial Program at UC Irvine and UC Los Angeles or the General Campus Compensation Plan at UC San Diego in the 2013-14 academic year?
(All Respondents)



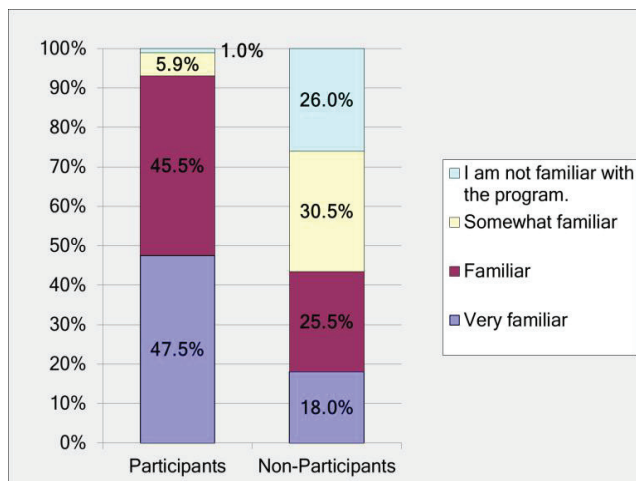
Question 2.

Have you applied to participate in the program in academic year 2014-15?
(All Respondents)



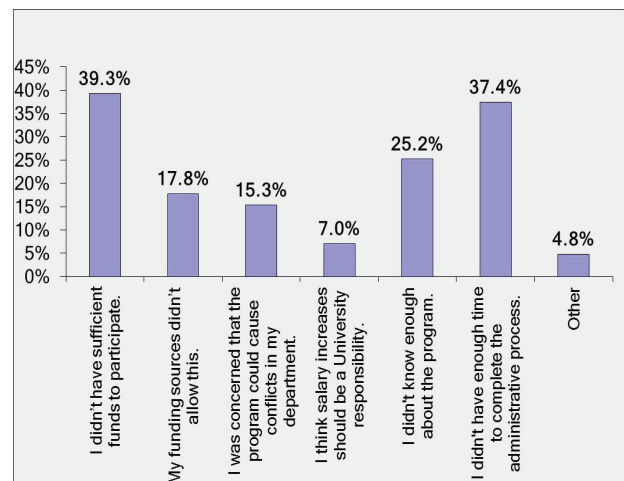
Question 3.

How familiar are you with the program?
(All Respondents)



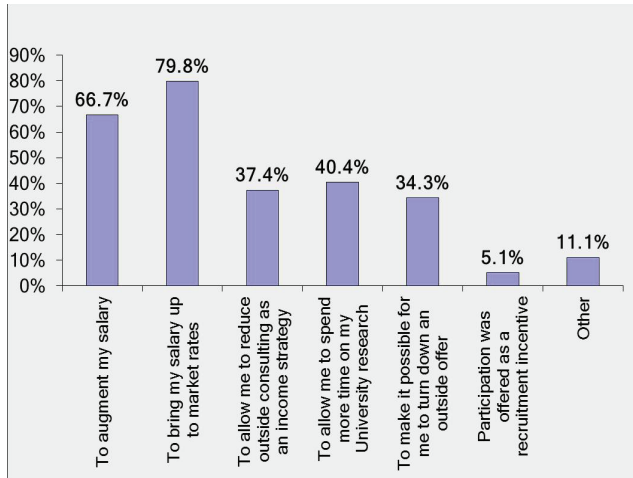
Question 4.

Please explain why you did not participate in the program in the 2013-14 academic year. Check all that apply.
(Non-Participants Only)

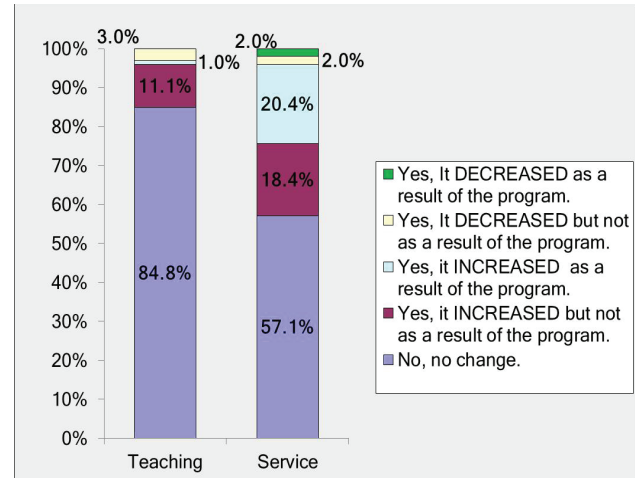


Question 5.

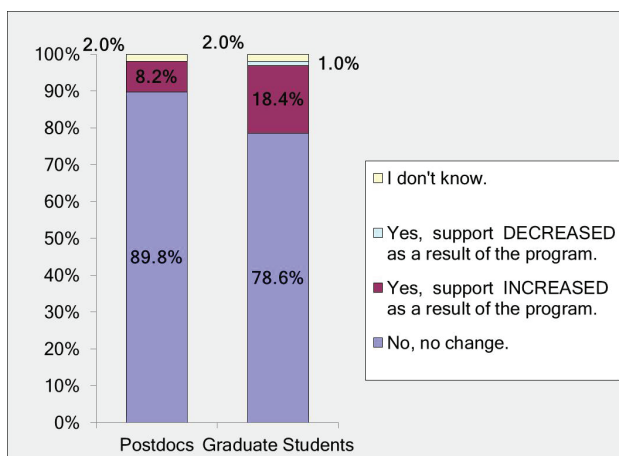
What motivated you to participate in the program? Check all that apply.
(Participants Only)

**Questions 6 and 7.**

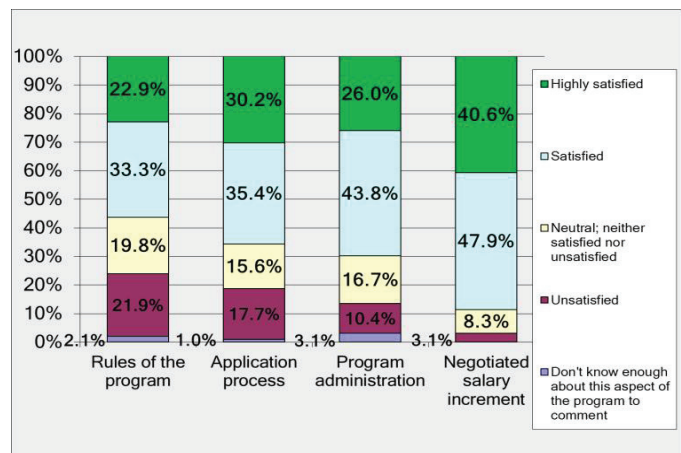
Have you modified your TEACHING LOAD/Service in the past year (2013-14)?
(Participants Only)

**Questions 8 and 9.**

Has the program affected your support of postdocs/graduate students? (Participants Only)

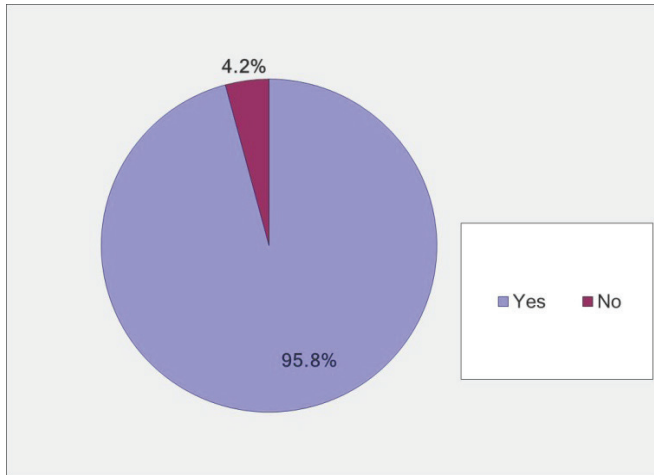
**Question 10.**

Based on your experiences in the 2013-14 program, please rate your level of satisfaction with the following aspects of the program.
(Participants Only)



Question 11.

In your opinion, is the program a positive asset
for the University?
(Participants Only)

**Question 12.**

For statistical purposes only, please provide us with the following information.
Reporting data will be aggregated to protect the identity of individual respondents.

Participants were asked to provide detail on their campus, faculty rank, race/ethnicity, and gender. Response rates varied by question. Of the 154 NSTP participants, 56%-61% (86-93 individuals) answered questions regarding their demographic characteristics. For non-participants, this response rate was 16%-19% (141-164 individuals). This report does not include analysis of the demographic data because inferential analysis is constrained by the small number of responses to these demographic questions. For example, only 16 women participants responded to the survey, so detecting a statistically significant difference between men and women would require a large margin of error in excess of +/-25% for many questions. For other analyses of interest, our sample size is too small to draw meaningful conclusions. (The Interim Report does include data on the race/ethnicity and gender of participants and non-participants, see Appendix D.) The summary responses are on the next page.

Response Rate		
Group	Demographic Questions Minimum	Demographic Questions Maximum
NSTP-Participants	55.8%	60.7%
Non - Participants	16.0%	18.6%

Campus						
Group	UCI	UCLA	UCSD	Response Count	No Answer	Total Survey Respondents
NSTP-Participants	31	16	39	86	16	102
Non - Participants	49	24	71	144	141	285

Faculty Rank							
Group	Assistant Professor	Associate Professor	Professor	In Residence	Response Count	No Answer	Total Survey Respondents
NSTP-Participants	4	15	65	1	85	17	102
Non- Participants	21	25	95	0	141	144	285

Race/Ethnicity									
Group	African/ African American	Asian/Asian American	Chicano(a)/ Latino(a)/ Hispanic	Native American/ American Indian	White	Prefer Not to Answer	Response Count	No Answer	Total Survey Respondents
NSTP-Participants	2	18	1	0	55	17	93	9	102
Non-Participants	2	17	10	2	118	15	164	121	285

Gender							
Group	Female	Male	Other	Prefer Not to Answer	Response Count	No Answer	Total Survey Respondents
NSTP-Participants	16	67	0	10	93	9	102
Non-Participants	49	110	0	7	166	119	285

NSTP 2013-14 Administrator Survey

On July 24, 2014, the NSTP web-based administrator survey was sent to 209 administrators and administrative staff in the participating units at the Irvine, Los Angeles, and San Diego campuses. The survey was sent to department chairs, college provosts and deans, associate vice chancellors, executive vice chancellors/provosts, and other administrators involved in program or in faculty recruitment, retention, or review. One-hundred-thirteen of these individuals responded to the survey, yielding a response rate of approximately 54%. The survey questions are shown below. Comments were solicited for many of these questions.

NSTP Administrator Survey Instrument

Survey Question	Response Group
1. What is your title?	Administrators
2. How familiar are you with the Negotiated Salary Trial Program at UC Irvine and UC Los Angeles or the General Campus Compensation Plan at UC San Diego?*	Administrators
3. Were you also a program participant (as a faculty member) in the 2013-14 academic years?	Administrators
4. How would you characterize your knowledge of the different types of funds that can be used in the program (e.g. grants, contracts, Chair income, etc.)?	Administrators
5. Check the response that best describes your opinion concerning the program's benefit to the faculty vs. any additional administrative burden incurred due to the unit's participating in the program.	Administrators
6. Has the program helped faculty recruitment?	Administrators
7. Has the program helped faculty retention?	Administrators
8. Based on your experiences as an administrator or staff member involved in the administration of the 2013-14 program, please rate your level of satisfaction with the following aspects of the program.	Administrators
9. In your opinion, is the program a positive asset for the University?*	Administrators
*Questions #2 and #9 are similar to those asked in the Faculty Survey; #2 is the same in both and #11 for the faculty is the same as #9 for the administrators.	

NSTP 2013-14 Administrator Survey Response Summary

Administrators expressed general satisfaction with program. More than 74% of all respondents believed it to be an asset to the University (see Table 1). These views were held most strongly by the deans and college provosts (100%), the department chairs (93%), and the executive vice chancellors/provosts/vice provosts/associate vice provosts (75%).

Table 1. Is the Program a Positive Asset for the University?

Response	EVC/Provost/Campus Provost/Vice Provost/ Vice Provost	College Provost/Dean/ Assoc. or Asst. Dean	Department Chair	Academic Personnel Office	Department CAO or MSO	Other	Overall
Yes	75%	100%	93%	50%	58%	76%	74%
No	25%	0%	7%	50%	42%	24%	26%

A large portion of the surveyed group expressed uncertainty about the program's effectiveness (see Table 2). The plurality of responses reflects administrators' confidence in the program's role in recruiting and retaining faculty. Deans had the most confidence in the role of the program in retention (80% saw the program as helpful) and recruitment (70% saw the program as helpful). Department chairs found the program more helpful in retention (64%) than recruitment (29%). Those administering the program had much less confidence in its effectiveness (see Academic Personnel and Department CAO/MSO responses in Table 2).

Table 2. The Program Helps Faculty Recruitment and Retention

Response	EVC/Provost/Campus Provost/Vice Provost/ Asst. Vice Provost	College Provost/ Dean/Assoc. or Asst. Dean	Department Chair	Academic Personnel Office	Department CAO or MSO	Other	Overall
6. Has the program helped faculty recruitment?							
Yes	50%	70%	29%	30%	15%	18%	26%
No	0%	0%	0%	10%	0%	0%	1%
No effect/ don't know	50%	30%	71%	60%	85%	82%	73%
7. Has the program helped faculty retention?							
Yes	50%	80%	64%	20%	33%	25%	38%
No	0%	0%	0%	10%	0%	0%	1%
No effect/ don't know	50%	20%	36%	70%	67%	75%	61%

Satisfaction with the program's administrative burden varied by group. Seventy-one percent of administrators believed the program's benefits clearly, somewhat, or slightly exceeded its administrative burden (see Table 3). While those at higher levels of administration rated the benefits highly—including 100% of those at the Dean level—half of the academic personnel respondents did not see that the benefits outweigh the burdens.

Table 3. Benefits and Administrative Costs Compared

Response	EVC/Provost/Campus Provost/Vice Provost/Asst. Vice Provost	College Provost/Dean/Assoc. or Asst. Dean	Department Chair	Academic Personnel Office	Department CAO or MSO	Other	Overall
Benefit to faculty clearly outweighs admin. costs	75%	100%	50%	20%	44%	39%	47%
Benefit to faculty somewhat outweighs admin. costs	0%	0%	36%	30%	28%	11%	19%
Benefit to faculty slightly outweighs admin. costs	0%	0%	0%	0%	8%	7%	5%
Benefit to faculty does not outweigh admin. costs	25%	0%	7%	50%	12%	18%	17%
Don't know	0%	0%	7%	0%	8%	25%	13%

Sixty of the 113 respondents added comments on whether the program is an asset to the University. Comments about the program primarily reflect the program's ability to retain and recruit faculty (45%) followed by the program's administrative burden (27%). The remainder of the comments focused on various issues within the administrative process, the program's efficacy, and the possibility to extend the use of funds for other resources such as lab personnel. Ten percent of the comments reflected administrators' opinions that faculty sought out new grants as a result of the program.

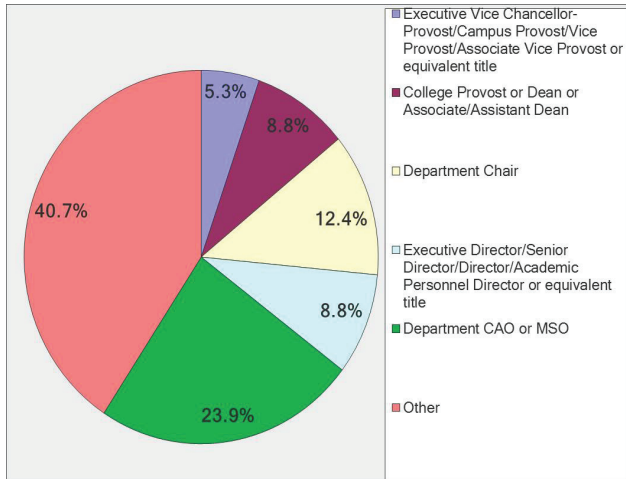
Twenty-seven percent of respondents made comments regarding the administrative burden of the program and how it could be mitigated. The most common suggestions to ease the administrative burden were web tools, formal training sessions, and clearer guidelines in NSTP funding requirements. Suggestions to streamline paperwork also included simplifying the approval process, allowing more variability in timing of NTSP, and extending the time horizon for multiple years so that it could coincide with faculty reviews.

The remainder of comments reflected concerns that the salary disparity created by the program could create morale problems (11%). Two of the program administrators indicated that NSTP reduced the funding of postdocs and support of graduate students. No administrators remarked on whether participating in the program affected service or teaching. Summary responses to the survey follow.

Note: totals may not sum to 100% due to rounding.

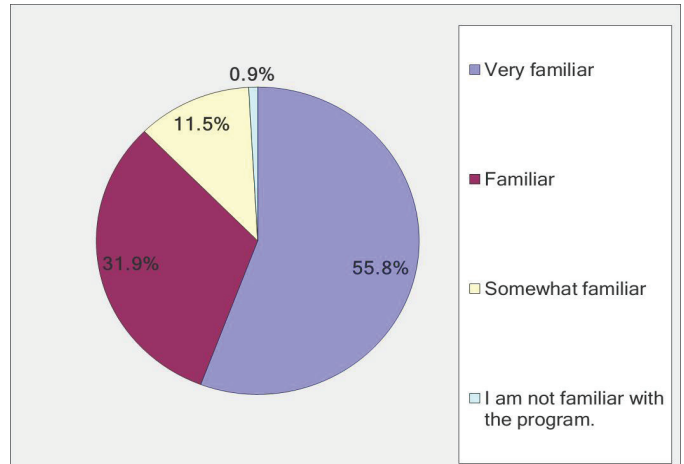
Question 1.

What's your title?



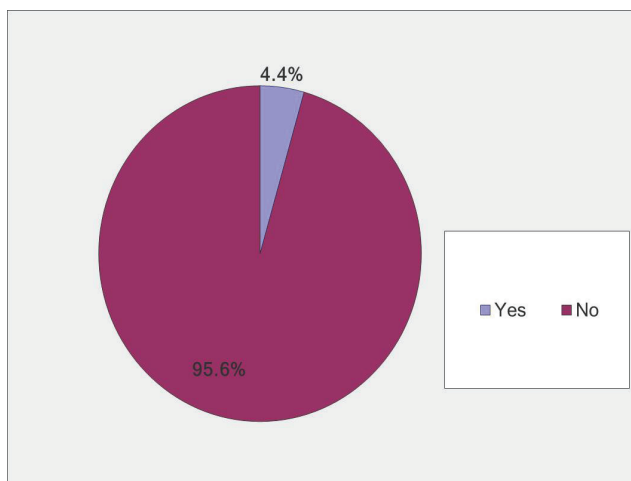
Question 2.

How familiar are you with the NSTP Plan?)



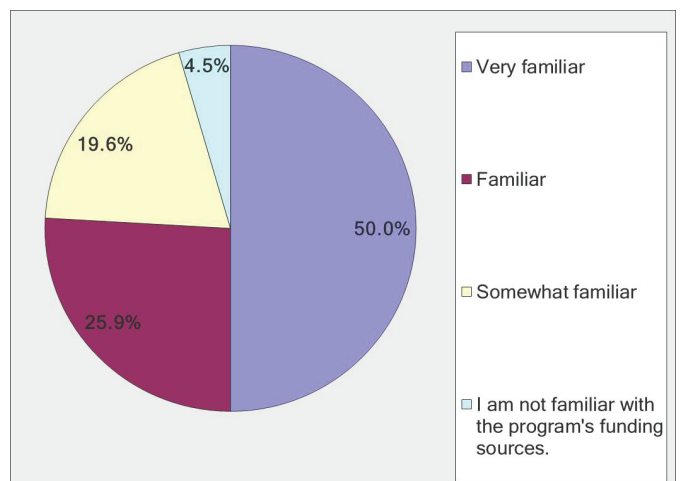
Question 3.

Were you also a program participant (as a faculty member) in 2013-14?



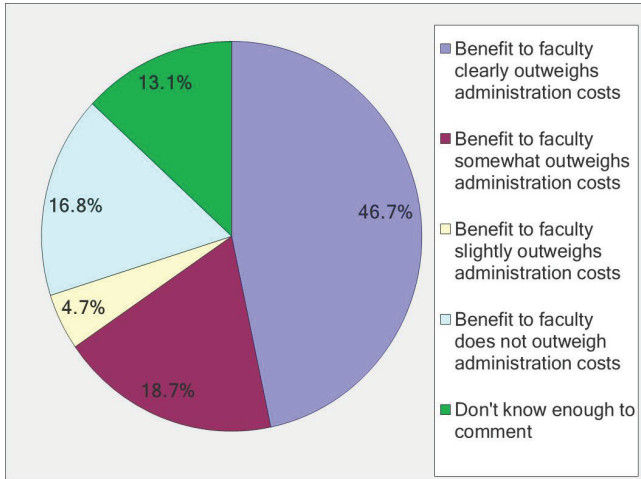
Question 4.

How would you characterize your knowledge of the different types of Funds that can be used in the program (e.g., grants, contracts, Chair income, etc.)?

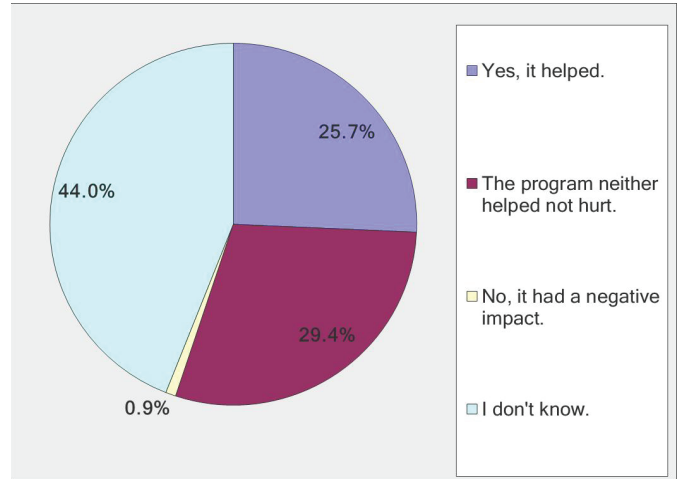


Question 5.

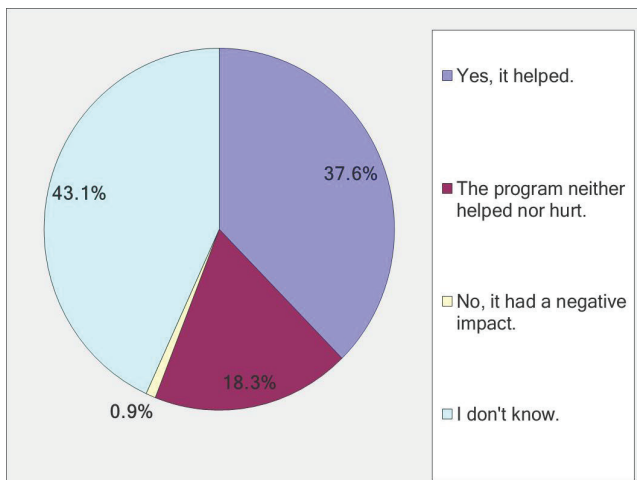
Check the response that best describes your opinion regarding the program's benefit to the faculty vs. any additional administrative burden incurred due to the unit's participating in the program.

**Question 6.**

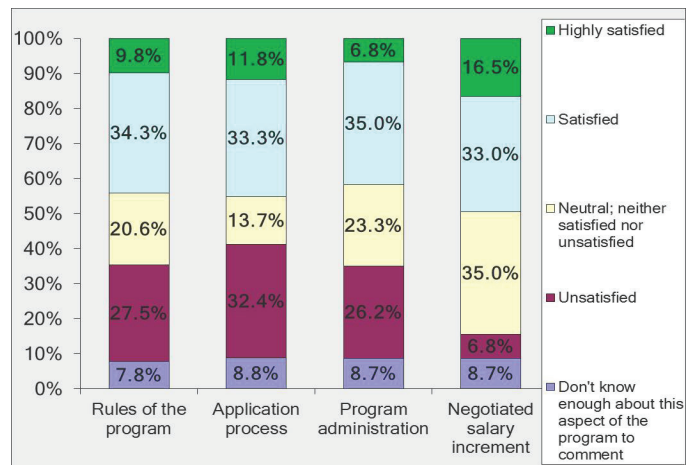
Has the program helped faculty recruitment?

**Question 7.**

Has the program helped faculty retention?

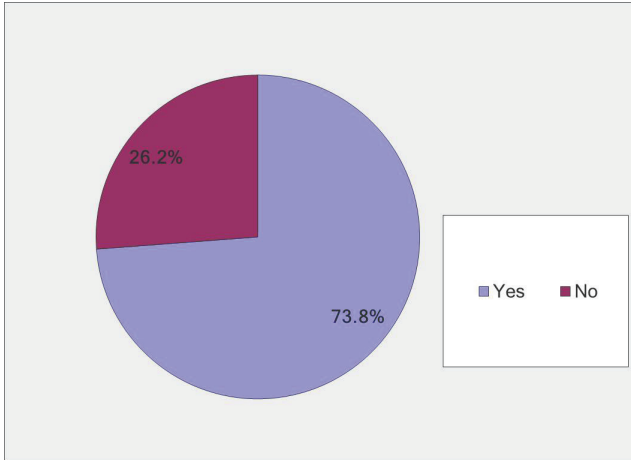
**Question 8.**

Based on your experience as an administrator or staff member involved in the administration of the 2013-14 program, please rate your level of satisfaction with the following aspects of the program.



Question 9.

In your opinion, is the program a positive asset for the University?



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Office of the Provost and Executive Vice Chancellor

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September 2, 2014

Susan Carlson
Vice Provost, Academic Personnel and Programs
University of California Office of the President
1111 Franklin Street – 11th floor
Oakland, CA 94607

Dear Vice Provost Carlson:

Pursuant to your July 25, 2014 request for information relevant to your administrative assessment of the Negotiated Salary Trial Program (NSTP) at the Irvine campus, the following information and response to the questions raised is provided for your review and consideration:

Question 1 – Contingency funds are constituted in more than one way on the three campuses and some are not in use yet. If, on your campus, the funds were used in this first year, please explain how the funds established in participating units were used? (1.2.3).

Response – *Each participating school is responsible for creating and administering its own contingency fund. We have been made aware of at least one instance in which contingency funds were used by a school in the first year to cover a minor shortfall for a participating faculty member. In that instance, due to a miscalculation in the benefits amount for the faculty member in question, the school was required to use ~\$200 from the overall contingency fund. Otherwise, we have not been made aware of other contingency fund usage.*

Question 2 – As appropriate, please comment on whether the percentage contributed to the contingency fund in each participating unit is sufficient to support the program and to prevent shortfalls. (1.2.4)

Response – *Each participating unit (school) was required to establish a contingency fund, meaning that the funds are disaggregated across the campus. The minimum amount of each contingency fund was set at 10 percent of the NSC. As a result, none of the contingency funds across campus are sufficient to support a major shortfall. It is our goal to have sufficient funding and steady state of each participating unit's contingency fund by the third year of the trial.*

Question 3 – Have recruitment priorities been altered to re-allocate more or fewer FTEs into participating units due to the NSTP? (2.1.1.)

Response – *No. The NSTP has had no impact on recruitment priorities or FTE allocation at the Irvine Campus.*

Susan Carlson
Vice Provost, Academic Personnel and Programs
September 2, 2014
Page 2 of 3

Question 4 – Was the program a factor in successful faculty recruitments? For example, did new and early-career-faculty participate in the program? Could you use NSTP in hiring negotiations?

Response – *Yes. We successfully recruited at least one senior faculty member who joined the program mid-year at the appointment start date, and we successfully recruited one junior faculty member whose participation began in the second year of the trial. The NSTP was particularly useful in recruitment conversations, and allowed us to discuss ways in which potential new faculty could augment their state-funded salary.*

Question 5 – Did the program have positive, negative, or no impact on faculty retention? Please describe its impact (e.g. fewer retentions or preemptive offers; successful counter-offers; fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in participating units in 2013-14 (2.2.2)

Response – *On balance, at least one participating school reported that the NSTP was a critical factor with regard to one faculty retention. In other instances, schools reported that none of the retentions that took place involved faculty participating in the NSTP; however, based on current participating faculty members, the NSTP could have an impact on retention in the future.*

Question 6 – In our survey of faculty we asked about any possible buy-out of teaching, with only one faculty member responding in the positive. On your campus, did any faculty member who participated in the program buy-out of their teaching assignments? If so, please explain the circumstance(s). (1.3.2)

Response – *Three faculty participants bought out of teaching assignments. Two of the faculty members in question had done more than the required amount of teaching in the years prior to the NSTP and had a carry-forward of teaching credits within their departments. In addition, both were considered to be meeting their “full load” based on the unit’s standard for measuring teaching and service. The third faculty member had a course buyout that was negotiated prior to the launch of the NSTP. We may re-evaluate these criteria in the next year of the trial.*

Question 7 – Has there been an effect, attributable to the NSTP, on research productivity for either participant or non-participant faculty in the units involved with the program? For example, did you find that participation in the program incentivizes faculty to increase outside funding?

Response – *We believe that it is too soon to assess this issue. We may have additional data in response to this question by January 2015.*

Question 8 – Has graduate student support or postdoc hiring in the unit (for both NSTP participants and non-participants) been positively or negatively impacted by the program? (1.3.3)

Response – *We do not believe that the NSTP has had an impact on postdoc hiring, since we have engaged a process on campus to review potential staffing reductions for program participants. We do not yet have sufficient data to assess the impact of the NSTP on graduate support in participating units. We may have additional data in response to this question by January 2015.*

Susan Carlson
Vice Provost, Academic Personnel and Programs
September 2, 2014
Page 3 of 3

Question 9 – Do you have evidence that the program has had an effect on the number and/or size of grant awards and in in-direct costs? (1.3.4)

Response – *We do not yet have evidence that suggests that the NSTP has impacted grant awards, size of awards or in-direct costs associated with the same. We may have additional data in response to this question by January 2015.*

Question 10 – In this first year, have academic personnel review processes been affected by the trial program? (3.2.2)

Response – *The NSTP has had no impact on qualitative aspects of academic personnel review processes. Participating units do, however, report that the NSTP has had a significant impact on the administrative time and commitment of unit staff responsible for academic personnel review processes. The same staff members are responsible for both NSTP administration and academic personnel review administration, and the NSTP has substantially increased their workload during critical review periods.*

Question 11 – Has department/school/college climate and functioning been positively or negatively impacted as a result of the program? (3.1-3.3)

Response – *The responses across campus have been mixed. Some units support the program and some are strongly opposed. While department/school/college climate and functioning have not diminished, there is a lack of unanimity on this campus – and within schools – for the NSTP.*

Question 12 – Some have envisioned that those not participating in the program might still benefit from it, perhaps from the availability of funds in the contingency fund. Have any units or individuals not participating in the program benefitted from the program in this first year? (1.2.3)

Response – *Units or individuals not participating in the program have not benefitted from the program in the first year, nor are they expected to in subsequent years of the trial. Units are expected to hold contingency funds for contingencies. No decisions have been made at the Irvine Campus regarding how unused contingency funds will be used following the trial.*

Question 13 – Has the program affected the quality of teaching or research in the units? (1.3.1-1.3.4)

Response – *There is no evidence to suggest that the program has affected the quality of teaching or research in any campus unit.*

If you require additional information, please contact me.

Sincerely,



Herbert R. Killackey
Vice Provost

cc: Provost and Executive Vice Chancellor Gillman
Assistant Vice Chancellor Tenma

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SCOTT L. WAUGH
EXECUTIVE VICE CHANCELLOR AND PROVOST
OFFICE OF THE CHANCELLOR
2147 MURPHY HALL, BOX 951405
LOS ANGELES, CALIFORNIA 90095-1405

August 28, 2014

Vice Provost Susan Carlson
Academic Personnel
University of California Office of the President
1111 Franklin Street, 11th Floor
Oakland, California 94607

Dear Susan:

As requested, attached is a summary of responses to the first-year evaluation questions about the Negotiated Salary Trial Program (NSTP) from UCLA's two participating units: the Fielding School of Public Health and the Division of Life Sciences in the College of Letters and Science. Both units consider the Program to be beneficial to faculty retention, recruitment and morale. Neither has experienced negative effects or unanticipated consequences. We are very pleased to have the opportunity to participate in the NSTP and hope that the Program not only continues but also expands.

Please contact Vice Chancellor Carole Goldberg or me if you have further questions. Thank you for the opportunity to comment on the Program.

Sincerely,

A handwritten signature in blue ink, appearing to read "S. Waugh", written over a horizontal line.

Scott L. Waugh
Executive Vice Chancellor and Provost

Attachment

cc: Chancellor Gene D. Block
Vice Chancellor Carole Goldberg
Dean Jody Heymann
Dean Victoria Sork

ATTACHMENT
UCLA RESPONSES TO NSTP QUESTIONS
August 28, 2014

1. Contingency funds are constituted in more than one way on the three campuses and some are not in use yet. If, on your campus, the funds were used in this first year, please explain how the funds established in participating units were used.

No contingency funds were used in either the Fielding School of Public Health or the Division of Life Sciences in the first year of the program. All participants were able to meet their NSTP salaries using the funds that they had projected in their applications.

2. As appropriate, please comment on whether the percentage contributed to the contingency fund in each participating unit is sufficient to support the program and to prevent shortfalls.

The Fielding School of Public Health has implemented a program similar to the NSTP for over 15 years, and throughout this time only two faculty members have been affected by loss of funding. The School anticipates that the contingency percentage along with the requirement that participating faculty have an established record of grant-getting will minimize the impact of any potential shortfalls.

The Division of Life Sciences elected to address contingencies at the departmental level by requiring each participant to identify alternative discretionary and eligible funding in the event that anticipated funds fall short of expectations. Each participant was responsible for coordinating an alternative funding source(s) with their department. Some departments were willing to allow departmental funding as the alternative unrestricted source, with the understanding that, in the event that it became necessary to use this funding, the participant would not be permitted to participate in the NSTP in subsequent years. The Dean reported that each participant gave careful consideration to the exact amount that they could afford, so as not to endanger their ability to participate in the future.

3. Have recruitment priorities been altered to re-allocate more or fewer FTEs into participating units due to the NSTP?

Recruitment priorities were not altered in either the Fielding School of Public Health or the Division of Life Sciences as a result of the NSTP. Recruitment policies are determined by consideration of both teaching needs and research priorities. There has always been, and will always be, a strong need to recruit faculty with the potential to bring extramural funding to campus, and NSTP neither adds to nor detracts from this priority.

*Attachment for Vice Provost Susan Carlson
August 28, 2014
UCLA NSTP Evaluation
Page 2 of 4*

4. Was the program a factor in successful faculty recruitment? For example, did new and early-career faculty participate in the program? Could you use NSTP in hiring negotiations?

In the Fielding School of Public Health, each recruitment offer included information about what a candidate's salary would be with and without NSTP funding. For example, in one situation the School was able to match a candidate's salary at another institution through FTE and summer ninths and then present the potential to earn significantly more through participation in the NSTP. This bargaining tool was especially valuable with candidates who raised concerns about the cost of living in Los Angeles.

The availability of the NSTP was also a factor in successful recruitments in the Division of Life Sciences. Even for newly-hired recruits who were not yet in a position to participate, the potential for future participation enabled the Division to compete successfully with other institutions that offer similar types of compensation packages.

5. Did the program have positive, negative, or no impact on faculty retention? Please describe its impact (e.g. fewer retention or preemptive offers, successful counter-offers, fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in participating units in 2013-14.

The program has had a positive impact on faculty retention in both participating units. It is difficult, however, to isolate the number of retention or counter-offers that can be attributed to the NSTP because it is one component among a complex set of negotiated items in retention cases. The Division of Life Sciences has reported fewer requests for split appointments with Health Sciences since the program's inception and has seen evidence that the NSTP was a factor in at least three retention cases.

6. In our survey of faculty we asked about any possible buy-out of teaching, with only one faculty member responding in the positive. On your campus, did any faculty member who participated in the program buy-out of their teaching assignment? If so, please explain the circumstances.

All NSTP applications are rigorously evaluated by departments, deans, and academic personnel offices to ensure that approved teaching loads are fulfilled. New course buy-outs are not permitted; however, those that were in place prior to the NSTP continue to be honored. At UCLA, several faculty participating in the program maintained previously negotiated buy-out agreements. We hypothesize that course buy-outs will decrease with implementation of the NSTP, as faculty who previously used grant monies to buy-out of teaching will choose, instead, to use these monies to supplement their salaries.

*Attachment for Vice Provost Susan Carlson
August 28, 2014
UCLA NSTP Evaluation
Page 3 of 4*

7. Has there been an effect, attributable to NSTP, on research productivity for either participant or non-participant faculty in the units involved with the program? For example, did you find that participation in the program incentivized faculty to increase outside funding.

A compensation program similar to the NSTP has been in place in the Fielding School of Public Health for over 15 years. Approximately 12 years ago, faculty began to participate in greater numbers, and since that time the School's contracts and grants program has doubled. Although this trend cannot be wholly attributed to the compensation program, it is likely the NSTP will continue the trend.

In the Division of Life Sciences, the long lag time between grant application and receipt of award makes it difficult to establish a relationship between the NSTP and increased extramural funding in the program's first year of implementation.

8. Has graduate student support or postdoc hiring in the unit (for both NSTP participants and non-participants) been positively or negatively impacted by the program?

The Fielding School of Public Health reports that the program (and its predecessor) has positively impacted hiring of graduate student researchers and postdocs over the years because of the increased level of contract and grant funding and expanded research.

The Division of Life Sciences has seen no evidence that graduate student support or postdoc hiring have been impacted by the NSTP.

9. Do you have evidence that the program has had an effect on the number and/or size of grant awards and indirect costs?

As stated earlier, a similar program to the NSTP has been in place in the Fielding School of Public Health for over 15 years. Since the program's inception, the School's contracts and grants funding has doubled.

Because this is the first year of program implementation, no evidence yet exists in the Division of Life Sciences of an effect on the number or size of grant awards and indirect costs.

10. In this first year, have academic personnel review processes been affected by the trial program?

The Fielding School of Public Health reports minimal impact on the academic personnel review process largely because a similar program was in place prior to this trial.

The Division of Life Sciences reports that fund managers, chairs, and the Dean's office must take extra care to ensure that the fund source(s) the faculty plan to use to participate in NSTP are eligible and sufficient, and that the departments understand their share of any risk of participation.

*Attachment for Vice Provost Susan Carlson
August 28, 2014
UCLA NSTP Evaluation
Page 4 of 4*

However, the benefits of the program easily justify this effort. Academic Personnel staff understand that the additional review activities are necessary in order to sustain the program.

11. Has departmental/school/climate and functioning been positively or negatively impacted as a result of the program?

The Fielding School of Public Health and the Division of Life Sciences both report that the program has had a positive impact on faculty morale. Faculty in the Fielding School of Public Health feel rewarded for their efforts; they also note that increased research funding enables a higher level of graduate student support. In the Division of Life Sciences, the program has largely evened the compensation playing field between participating faculty and their similarly situated colleagues on the medical campus.

12. Some have envisioned that those not participating in the program might still benefit from it, perhaps from the availability of funds in the contingency fund. Have any units or individuals not participating in the program benefited from the program in this first year?

The Fielding School of Public Health considers the benefits of the program to be increased research, service, and public impact resulting from grant funding. The Division of Life Sciences reports a crucial benefit to non-participants of knowing the option to participate will be available to them in the future.

13. Has the program affected the quality of teaching or research in the units?

The Fielding School of Public Health is unaware of any change in teaching quality over the years. However, since the launch of a similar program 15 years ago, the quality of research has increased substantially as more faculty participate. The NSTP is expected to continue this trend.

The Division of Life Sciences does not feel it has enough data to determine or assess any changes in teaching or research at this time.

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September 2, 2014

SUSAN CARLSON
VICE PROVOST
ACADEMIC PERSONNEL AND PROGRAMS

Dear Susan:

On behalf of Executive Vice Chancellor Subramani, I am pleased to provide you our annual report on the Negotiated Salary Trial Program (NSTP). The first year of the NSTP, or General Campus Compensation Plan (GCCP) as we call it at UCSD, was a great success. There is solid evidence that the ability to pay more competitive salaries under the program was a key factor in the successful recruit and retention of several faculty members. The program allows increases in faculty salaries while reducing the reliance on state funds and encourages faculty to pursue new research projects to generate additional external funding which in turn increases the indirect cost recovery (a benefit for the whole campus). In addition, participation criteria led to an improvement in compliance rates for mandatory training programs such as Sexual Harassment Prevention. For example, at least 10% of the enrollees, previously on the non-compliance list, were incented to complete training in order to participate in the NSTP.

The specific programmatic questions raised in your memo of July 25, 2014, are addressed below:

1. Accumulated contingency funds were not utilized in the first year of the program. Our local implementation guidelines require that the contingency fund reach 20% at steady state before those funds can be redirected for other use. As we required each enrollee to contribute only 10% to the contingency fund, we will not reach steady state until the close of the second year of the NSTP. Thus, contingency funds may not be redirected for other uses nor reported on until year 3 of the program.
2. We do not allow individuals to enroll in the program unless funding has been secured in advance so we do not expect to have to cover loss of funding related to the negotiated increment. For that reason, the current contingency fund percentage is sufficient to support the program and to prevent shortfalls.
3. No, our recruitment priorities have not been altered based on the departments' participation in the NSTP. Faculty FTE allocations at UCSD are based on strategic goals and priorities related to enrollment needs, diversity and excellence initiatives, research, scholarship, and other criteria. It is the expectation that the NSTP will increase the success rate of recruitments in participating departments.

September 2, 2014
Page 2

4. Yes, the program was cited as a key factor in the successful recruitment of at least three faculty members across a range of disciplines who participated in year 1 of the program immediately upon hire. Departments regularly highlight the NSTP as an incentive during hiring negotiations.
5. The NSTP also had a positive impact on faculty retention. In the first year of the program, two academic divisions reported they would have lost highly valued faculty without the NSTP as a tool to ensure a market-competitive salary. Evidence suggests the program was an effective tool in dissuading other faculty from seeking outside offers.
6. UCSD did not allow faculty who enrolled in the NSTP to participate in our Faculty Leverage Buyout Program.
7. There is no effective way, beyond anecdotal evidence, to attribute changes in research productivity to the NSTP. The 18% increase in participation from year 1 to year 2 and the increase in the average negotiated increment are positive indicators that additional external funding was sought and obtained in the initial year of the program.
8. At UCSD, graduate student support is a generally cobbled together from multiple sources such as TA allocations, fellowships, and grant funding that are recorded at the departmental level and thus cannot be attributed to specific faculty. Changes in overall support may be impacted by the current population/year of study of the graduate students, revisions to allocation models and more. Therefore, it is not possible to show a direct correlation between NSTP participants and the graduate students they support. Before a request for NSTP participation is considered, the department chair must certify that the faculty member has fulfilled graduate student support obligations.

The same holds true for postdoc support. Changes in postdoc hiring cannot be directly tied to a faculty member's participation in the NSTP. Whether a postdoc is hired in a particular year depends on multiple factors including the availability of qualified postdocs, the status of research projects, etc. As our faculty recognize that postdocs are an important factor in the success of UCSD's general research mission and, in many cases, key to the faculty member's individual projects, it is unlikely that NSTP participation would lead to a decrease in postdoc hiring.

9. The UCSD Office of Contract and Grant Administration has not yet released campus contract and grant data for the 2013-14 fiscal year. Whether the data shows increases (as expected) or decreases in funding, it will not be possible to show a direct link between an individual's participation in the NSTP and the number and/or size of grant awards and indirect costs. It has been reported that year 1 of the NSTP served as a motivational factor for faculty to seek external funding for new projects to ensure participation in future years. We will attempt to obtain more concrete evidence for future reports.
10. Academic Personnel review processes have not been affected by the trial program beyond the fact that the Committee on Academic Personnel (CAP) reviews the good standing criteria of all NSTP proposals. In the first year the program, CAP recommended the EVC deny one faculty member's request to participate due to a less than satisfactory teaching record. This individual was not allowed to enroll in the NSTP.

September 2, 2014
Page 3

11. Except for the customary administrative bumps common to the launch of any new program of this magnitude, we have heard nothing but positive feedback regarding the NSTP. Participating faculty have indicated great satisfaction with the ability to directly affect their salary rates. Deans and chairs were pleased to have such a powerful tool to aid in recruitment and retention negotiations. UCSD's academic leadership has been lauded for their efforts to help develop and launch this trial program in support of the faculty.
12. As the contingency fund (refer to question 1) balance may not be redirected for use to support other faculty or programs until year 3 of the NSTP, there is nothing to report at this time.
13. There is no direct evidence that the NSTP affected the quality of teaching or research in the participating units but it likely serves to motivate faculty behavior in both areas. In order to enroll in the NSTP, faculty must meet Good Standing criteria which includes effective teaching and maintenance of a positive research trajectory.

After reviewing our successes in year one of the NSTP our campus is convinced that the NSTP is an effective program and vital to recruit and retain a world-class faculty. By allowing the campus to offer more competitive salaries and relying on the faculty's own motivation and commitment in this effort, it is a win-win for the faculty and the campus as a whole.

Sincerely,



William S. Hodgkiss
Associate Vice Chancellor
Academic Personnel and Resources

c: EVC Subramani
Director Maheu