

Negotiated Salary Trial Program

Annual Report for Year Four (July 2016 - June 2017)

Executive Summary

In February 2013, UC Provost and Executive Vice President Aimée Dorr approved a five-year general campus Negotiated Salary Trial Program (NSTP) on three campuses: UC Irvine, UCLA and UC San Diego. This report on year four of the program presents data on faculty participation from each campus as well as data on use and effectiveness of the program compared to year three and in some cases to the first three years. Data presented in this and subsequent annual reports, as well as the NSTP Fourth-Year Taskforce report, will be used to assess the program's efficacy.

In its fourth year, 275 faculty enrolled in NSTP. This represents an increase of forty-two over the previous year. The negotiated salary component for these 275 faculty members was \$9.7M; \$1.7M higher than the 2015-16 program which enrolled 233 faculty. As in the previous year, the program was most heavily used by faculty in engineering (114), biological sciences (57), physical sciences (32), and public health (22). There was representation from a wide range of other disciplines, including arts, education, marine sciences and social sciences. Teaching data from 2016-17 and previous years demonstrate that teaching loads are not negatively affected by faculty participation in the program.

Comparing the 2016-17 faculty survey responses to the prior year's responses, the results were very similar. In 2016-17, 98% of participants in the program agreed with the statement that NSTP was an "asset to the university" (an increase of 2% from 2015-16). The top five reasons for participating in the program were the same as in previous years: 1) "to bring my salary up to market rates," 2) "to augment my salary," 3) "to allow me to spend more time on my University research," 4) "to make it possible for me to turn down an outside offer," and 5) "to allow me to reduce outside consulting as an income strategy." Administrative support for the program has increased slightly, especially among those doing the day-to-day administration of the program; administrators responded more positively to these statements: 1) "the program is a positive asset to the University", and 2) "the program's benefits outweighed the administrative burden". Most administrators felt that "the program was a valuable tool during recruitment".

I. Background

In February 2013, following consultation with the Academic Senate and the Council of Vice Chancellors (COVC), UC Provost and Executive Vice President Aimée Dorr approved a five-year general campus NSTP on three campuses (UC Irvine, UCLA, 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 Taskforce recommendations and the NSTP became operational on July 1, 2013. The basic documents for the systemwide program are appended; in

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

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](#)]).

NSTP Goals. Three goals outlined by the Taskforce 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 continuing the program after the fourth year review.

Metrics and required reporting. As outlined by the Taskforce, three types of data are now collected for each annual report 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 and academic administrators on their level of satisfaction with the NSTP.

In the course of the trial, there will be an annual report in years one through five. Year one reporting included both an interim and an annual report; the second year report, the third year report, and this fourth year report include all elements of those two reports in a single report. In year four of the pilot, the NSTP 4th Year Taskforce produced a comprehensive review of the program, which was distributed to stakeholders across the UC system by Provost Aimée Dorr and is available on request. In addition, [Appendix E](#) of this report includes a compilation of key indicators from the first four years of the trial.

II. Faculty Participation and Demographics, 2016-17

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

- 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 of faculty in participating units.
- 1.1.6. Salary, including scale rate, above scale rate, off-scale, summer-ninths, negotiated amount, and stipends (note that summer-ninths and stipends are addressed in section V).

Each campus continues to participate according to its individual implementation guidelines, approved by the UC Provost. Each campus also determines which schools/colleges are eligible to

participate: while UC Irvine and UC San Diego opened the program to all non-HSCP (Health Sciences Compensation Plan) schools each year, in the first year UCLA limited its participation to two divisions/schools (Life Sciences and Public Health). Beginning July 1, 2014, UCLA made the program available for other interested schools and divisions. Subsequently UCLA added two additional divisions/schools (Engineering and Physical Sciences) in 2014-15, one in 2015-16 (Humanities), and one in 2016-2017 (Social Sciences), making a total of six.

Figure 1 provides detail on the division/school/college NSTP participation. In 2016-17, one new division (Social Sciences) and three new departments at UC Irvine participated. At UCLA, one new division (Social Sciences) and five new departments participated, but one department dropped out, for a net increase of four departments. UC San Diego had one new department. Faculty participation increased by forty-two; from 233 in 2015-16 to 275 in 2016-17. Of the 275, 74 were new to the program. Eighty-six percent of faculty participants from 2015-16 (201 of 233) continued in 2016-17.

Faculty in schools where the Health Sciences Compensation Plan (HSCP) is used are not eligible to participate in the NSTP. Schools excluded from the trial program include Medicine at UC Irvine; Medicine and Dentistry at UCLA; and Medicine and Pharmacy at UC San Diego. Faculty in Public Health at UC Irvine and UCLA and Pharmaceutical Sciences at UC Irvine were eligible to participate in the NSTP because these units do not participate in the HSCP.

Figure 1
Campus Participation in NSTP by Divisions/Schools/Colleges and Department
2016-17 with Differences from 2015-16 Program

Category	2016-17			Difference from 2015-16		
	Irvine	Los Angeles	San Diego	Irvine	Los Angeles	San Diego
Divisions/Schools/Colleges Participating	9	6	8	1	1	0
Total Campus Divisions/Schools/Colleges	14	14	8	0	1	0
Participating Divisions/Schools/Colleges as a Percentage of Total Campus	64%	43%	100%	7%	5%	0%
Departments Participating	19	24	17	3	4	1
Total Campus Departments	50	66	31*	0	0	0
Participating Departments as a Percentage of Total Campus	38%	36%	55%	6%	6%	5%

Note: Participating campus Divisions/Schools/Colleges include the following (totals exclude Health Sciences Compensation Plan schools):

UC Irvine: Biological Sciences, Education, Engineering, Information and Computer Sciences, Physical Sciences, Public Health, Social Ecology, Social Sciences, Health Sciences (pharmaceutical sciences).

UCLA: Engineering, Humanities, Life Sciences, Physical Sciences, Social Sciences, Public Health.

UC San Diego: Arts and Humanities, Biological Sciences, Engineering, Global Policy and Strategy, Rady School of Management, Marine Sciences, Physical Sciences, Social Sciences.

*In previous years, the Department of Neurosciences in the School of Medicine at UC San Diego was erroneously included in the count of departments, making a total of 32 departments at that campus. The correct number in 2015-16 was 31.

Campus participation profiles (**Figure 2a** [UC Irvine], **2b** [UCLA], and **2c** [UC San Diego]) provide headcounts of the faculty who have enrolled in 2016-17, and provide differences from 2015-16. The figures also display the percentages of enrolled faculty by department, ranging from a low of 2.4% to a high of 50.0%. 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. Of those 275 faculty enrolled, 126 (46%) are at UC San Diego. All but two enrolled faculty members hold academic year (9-month) appointments.

Figure 2a
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC Irvine
2016-17 with Differences from 2015-16 Program

Campus	School/Division/College	Department Name	2016-17				Difference from 2015-16
			Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Headcount of Enrolled Faculty
Irvine	BIOLOGICAL SCIENCES	Developmental & Cell Bio.	6	10.5%	21	28.6%	-1
		Ecology & Evolutionary Bio.	1	1.8%	30	3.3%	0
		Neurobiology & Behavior	9	15.8%	22	40.9%	1
	EDUCATION	Education	2	3.5%	24	8.3%	1
	ENGINEERING	Biomedical Engineering	2	3.5%	17	11.8%	0
		Civil & Environmental Engr	2	3.5%	25	8.0%	0
		Electrical Engr & Computer Sci	4	7.0%	31	12.9%	-2
		Mechanical & Aerospace Engr	3	5.3%	24	12.5%	1
	INFORMATION AND COMPUTER SCIENCE	Computer Science	8	14.0%	39	20.5%	2
		Informatics	4	7.0%	20	20.0%	1
		Statistics	1	1.8%	8	12.5%	1
	PHYSICAL SCIENCES	Chemistry	1	1.8%	42	2.4%	1
		Earth System Science	3	5.3%	22	13.6%	2
		Mathematics	2	3.5%	35	5.7%	0
		Physics & Astronomy	2	3.5%	44	4.5%	0
	PUBLIC HEALTH*	Public Health	3	5.3%	15	20.0%	0
	SOCIAL ECOLOGY	Psychology & Social Behavior	2	3.5%	22	9.1%	1
	SOCIAL SCIENCES	Cognitive Sciences	1	1.8%	24	4.2%	1
	HEALTH SCIENCES	Pharmaceutical Sciences	1	1.8%	10	10.0%	0
Total			57	100.0%	475	12.0%	

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

Figure 2b
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UCLA
2016-17 with Differences from 2015-16 Program

Campus	School/Division/College	Department Name	2016-17				Difference from 2015-16
			Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Headcount of Enrolled Faculty
UCLA	ENGINEERING	Bioengineering Department	3	3.3%	11	27.3%	0
		Chemical Engineering	4	4.3%	13	30.8%	-2
		Civil & Environmental Engr	2	2.2%	18	11.1%	0
		Computer Science	12	13.0%	36	33.3%	3
		Electrical Engineering	15	16.3%	41	36.6%	-1
		Materials Science & Engr	1	1.1%	13	7.7%	1
		Mechanical & Aerospace Engr	7	7.6%	32	21.9%	-2
	HUMANITIES	Asian Languages & Cultures	1	1.1%	21	4.8%	0
		Germanic Languages	1	1.1%	5	20.0%	1
	LIFE SCIENCES	Ecology and Evolutionary Biology	1	1.1%	26	3.8%	1
		Integrative Bio.& Physiology	5	5.4%	21	23.8%	2
		Molecular, Cell & Develop Bio.	4	4.3%	22	18.2%	0
		Psychology	6	6.5%	57	10.5%	-2
	PHYSICAL SCIENCES	Atmospheric & Oceanic Sciences	2	2.2%	17	11.8%	1
		Chemistry & Biochemistry	5	5.4%	46	10.9%	3
		Earth, Planetary & Space Sciences	2	2.2%	25	8.0%	1
		Statistics	1	1.1%	11	9.1%	0
	SOCIAL SCIENCES	Communication Studies	1	1.1%	10	10.0%	1
	PUBLIC HEALTH	Biostatistics	6	6.5%	13	46.2%	-1
		Community Health Sciences	1	1.1%	16	6.3%	-1
		Ctr Occupational & Envir Health	2	2.2%	4	50.0%	2
		Environmental Health Sciences	2	2.2%	7	28.6%	-1
		Epidemiology	5	5.4%	11	45.5%	0
		Health Policy & Management	3	3.3%	16	18.8%	-1
Total			92	100.0%	492	18.7%	

Figure 2c
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC San Diego
2016-17 with Differences from 2015-16 Program

Campus	School/Division/College	Department Name	2016-17				Difference from 2015-16
			Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Headcount of Enrolled Faculty
San Diego	ARTS & HUMANITIES	Visual Arts	1	0.8%	24	4.2%	0
	BIOLOGICAL SCIENCES	Biological Sciences	25	19.8%	66	37.9%	11
	ENGINEERING	Bioengineering	8	6.3%	23	34.8%	0
		Computer Science	19	15.1%	45	42.2%	4
		Electrical & Computer Engr	14	11.1%	46	30.4%	2
		Mechanical & Aerospace Engr	8	6.3%	41	19.5%	1
		Nanoengineering	5	4.0%	22	22.7%	2
		Structural Engineering	5	4.0%	23	21.7%	2
	GLOBAL POL. & STRATEGY*	School of Global Policy & Strategy	3	2.4%	29	10.3%	0
	RADY SCHL. OF MGMT.	Rady School of Management	10	7.9%	31	32.3%	3
	SCRIPPS INSTITUTION OF OCEANOGRAPHY	SIO Department	6	4.8%	91	6.6%	-1
	PHYSICAL SCIENCES	Chemistry & Biochemistry	8	6.3%	53	15.1%	1
		Physics	6	4.8%	50	12.0%	1
	SOCIAL SCIENCES	Cognitive Science	4	3.2%	25	16.0%	3
		Economics	1	0.8%	35	2.9%	1
		Political Science	1	0.8%	29	3.4%	0
		Psychology	2	1.6%	23	8.7%	1
Total			126	100.0%	656	19.2%	

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

The NSTP 4th Year Taskforce noted that differential participation levels by gender and race/ethnicity should be monitored as a source of possible inequities resulting from the program. **Figure 3** provides information on enrolled faculty and participating departments with a breakdown by gender. The numbers have been aggregated for all three campuses since cell sizes would have been too small to report for most departments. In 2016-17, women made up 21.1% of enrolled faculty, a slight increase from 20.6% in the previous year; at the same time, the overall percentage of women in participating departments also increased slightly to 25.6% (compared to 24.1% the previous year). The number of enrolled women faculty increased by 10, from 48 in 2015-16 to 58 in 2016-17.

Figure 3
Gender of Enrolled Faculty
Compared to Participating Departmental Faculty
All Three Campuses
2016-17

Gender	2016-17	
	Enrolled Faculty	Overall Population in Participating Departments
Female	21.1%	25.6%
Male	78.9%	74.4%
Total	100.0%	100.0%

Figure 4 displays the faculty breakdown by race/ethnicity. Both the headcounts and the percentage of under-represented minority faculty are small among enrollees and the faculty in participating departments. The percentage of enrolled faculty who were African/African American increased slightly from the previous year, from 1.3% to 2.2%, due to headcount increasing from 3 in 2015-16 to 6 in 2016-17. The headcount of enrolled faculty who were Chicano(a)/Latino(a)/Hispanic remained the same as in the previous year; the slight decrease in percentage (from 3.4% in 2015-16 to 2.9% in 2016-17) is due to the 18% increase in overall participants in 2016-17.

Figure 4
Race/Ethnicity of Enrolled Faculty
Compared to Participating Departmental Faculty
All Three Campuses
2016-17

Race/Ethnicity	2016-17	
	Enrolled Faculty	Overall Population in Participating Departments
African/African American	2.2%	1.5%
Asian/Asian American	29.1%	22.4%
Chicano(a)/Latino(a)/Hispanic	2.9%	5.1%
Native American/American Indian*	0.0%	0.2%
White/Other	65.8%	70.8%
Total	100.0%	100.0%

*There was a very small sample size for Native American/American Indian faculty; in 2016-17, there were three Native American/American Indian faculty in the participating departments.

Figure 5 profiles enrolled faculty and all eligible faculty by rank in participating units.

Approximately 87% of those enrolled are tenured — a slight decrease from nearly 89% in 2015-16 — with 66.9% of enrolled faculty at the rank of professor, which is steady from 2015-16. The relative proportions of the three ranks among participating faculty also closely reflected the overall departmental populations in 2016-17.

Figure 5
Headcount of Enrolled and Participating Faculty by Rank
All Three Campuses
2016-17 & 2015-16

Rank	2016-17				2015-16			
	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Difference of Enrolled to Participating	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Difference of Enrolled to Participating
Assistant Professor	37	13.5%	17.0%	-3.6%	26	11.2%	15.1%	-3.9%
Associate Professor	54	19.6%	17.7%	2.0%	51	21.9%	17.8%	4.1%
Professor	184	66.9%	65.3%	1.6%	156	67.0%	67.1%	-0.2%
	275	100.0%	100.0%		233	100.0%	100.0%	

III. Salary Information

Figures 6 to 11 provide information about the negotiated increments and salaries by campus, rank, and discipline. With the rise in the number of participants in year four (from 233 to 275), the total amount dedicated to NSTP salary increments increased from \$7,941,825 to \$9,657,454. The average increment also increased from \$34,251 in 2015-16 to \$35,118 in 2016-17. The various breakdowns of salary information below — by campus, rank, and discipline — provide detail on the 2016-17 program and changes from the previous year. Information on additional compensation such as summer-ninths and stipends appears later in this report. In line with the program documents, the percentage of the negotiated increment varies by individual, not by school or department; thus, increments as a percentage of eligible salary range from 2% to the maximum of 30%. The NSTP basic program parameters stipulate that the negotiated component can be no more than 30% of the base salary (see [Appendix A](#), p. 1). Each of the next six figures includes information on “base salary,” which includes the scale rate (academic or fiscal year) plus off-scale salary or the above scale salary, if any.

Figures 6 and 7 provide the salary information by campus, with Figure 6 summarizing the salary distributions (the base salary, the negotiated increment, and the total of the two) and the differences from year three. Figure 7 provides additional information on the negotiated increments as a percentage of the base salary.

Figure 6
Sum of Base Salary*, Negotiated Salary Increment and Total Annual Salary
for Enrolled Faculty by Campus
2016-17 with Differences from 2015-16 Program

Campus	2016-17			Positive or negative differences in amounts from 2015-16		
	Sum of Base Salary	Sum of Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Sum of Base Salary	Sum of Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment
Irvine	\$ 8,244,800	\$ 1,874,588	\$ 10,119,388	\$ 1,995,400	\$ 434,963	\$ 2,430,363
Los Angeles	\$ 15,626,200	\$ 3,677,000	\$ 19,303,200	\$ 975,700	\$ 312,300	\$ 1,288,000
San Diego	\$ 19,568,989	\$ 4,105,866	\$ 23,674,855	\$ 4,481,619	\$ 968,366	\$ 5,449,985
Total	\$ 43,439,989	\$ 9,657,454	\$ 53,097,443	\$ 7,452,719	\$ 1,715,629	\$ 9,168,348

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

As shown in **Figure 7**, in 2016-17 there were 160 faculty whose increment was between 21% and 30% of their base salary. This represents an increase of 30 faculty over 2015-16; 19 of the 30 were at San Diego. One hundred thirty-five of these individuals (49% of the total number of enrollees on all campuses) earned the maximum (30% of base salary). This represents an increase of 22 faculty over 2015-16, when there were 113 (48% of the total) who earned the maximum.

Figure 7
Headcount by Percent of Negotiated Salary Increment to Base Salary* by Campus
2016-17 with Differences from 2015-16 Program

Campus	2016-17				Positive or negative differences in amounts from 2015-16			
	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total
Irvine	6	19	32	57	4	1	4	9
Los Angeles	9	23	60	92	-6	1	7	2
San Diego	27	31	68	126	4	8	19	31
Total	42	73	160	275	2	10	30	42

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

Figures 8 and 9 reconfigure the information conveyed in **Figures 6 and 7**, with a focus on rank instead of campus. The tables demonstrate that the program remains most heavily used by full professors and that \$7.3M of the \$9.7M in the NSTP negotiated increment was paid to these full professors. Specifically, the 184 full professors enrolled in the program have a collective base salary of \$32,670,689 and total negotiated salary increments of \$7,302,385. This is \$1,444,827 higher than the total negotiated increments of the 156 full professors in the prior year.

Figure 8

**Sum of Base Salary*, Negotiated Salary Increment and Total Annual Salary
for Enrolled Faculty by Rank
2016-17 with Differences from 2015-16 Program**

Rank	2016-17			Positive or negative differences in amounts from 2015-16		
	Sum of Base Salary	Sum of Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Sum of Base Salary	Sum of Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment
Assistant Professor	\$ 3,826,700	\$ 818,348	\$ 4,645,048	\$ 1,241,200	\$ 207,192	\$ 1,448,392
Associate Professor	\$ 6,942,600	\$ 1,536,720	\$ 8,479,320	\$ 574,400	\$ 63,609	\$ 638,009
Professor	\$ 32,670,689	\$ 7,302,385	\$ 39,973,074	\$ 5,637,119	\$ 1,444,827	\$ 7,081,947
Total	\$ 43,439,989	\$ 9,657,454	\$ 53,097,443	\$ 7,452,719	\$ 1,715,629	\$ 9,168,348

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

Figure 9

**Headcount by Percent of Negotiated Salary Increment to Base Salary* by Rank
2016-17 with Differences from 2015-16 Program**

Rank	2016-17				Positive or negative differences in amounts from 2015-16			
	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total
Assistant Professor	5	12	20	37	1	7	3	11
Associate Professor	4	17	33	54	-3	7	-1	3
Professor	33	44	107	184	4	-4	28	28
Total	42	73	160	275	2	10	30	42

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

Figures 10 and 11 provide additional detail on the enrolled faculty salaries and increments. To allow for analysis of the range of salaries, the first section of **Figures 10 and 11** gives the minimum salary, average salary, and highest (maximum) salary in each category (either by rank in **Figure 10** or by discipline in **Figure 11**). The second section gives similar information about the negotiated salary increment; and the third section offers information for the combined base and negotiated salary, first by rank (**Figure 10**) and then by discipline (**Figure 11**).

Figure 10
Minimum, Average and Maximum of Base Salary*,
Negotiated Salary Increment and Total Annual Salary for Enrolled Faculty by Rank
All Three Campuses
2016-17 with Differences from 2015-16 Program

Rank	2016-17				Difference from 2015-16		
	Headcount	Min. of Base Salary	Average of Base Salary	Max of Base Salary	Min. of Base Salary	Average of Base Salary	Max of Base Salary
Assistant Professor	37	\$ 84,200	\$ 103,424	\$ 167,200	\$ 2,200	\$ 3,282	\$ 2,600
Associate Professor**	54	\$ 65,200	\$ 128,564	\$ 238,600	\$ (33,400)	\$ 2,410	\$ 11,000
Professor	184	\$ 108,500	\$ 178,397	\$ 373,400	\$ 1,600	\$ 4,646	\$ 5,500
Total	275						

Rank	2016-17				Difference from 2015-16		
	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Assistant Professor	37	\$ 6,000	\$ 22,118	\$ 34,000	\$ (2,600)	\$ (1,388)	\$ 800
Associate Professor	54	\$ 3,900	\$ 28,458	\$ 71,500	\$ (2,200)	\$ (640)	\$ 6,600
Professor	184	\$ 5,500	\$ 39,687	\$ 84,900	\$ (1,500)	\$ 1,961	\$ 4,800
Total	275						

Rank	2016-17				Difference from 2015-16		
	Headcount	Min. of Total Annual Salary – Base Salary and Negotiated Salary Increment	Average of Total Annual Salary – Base Salary and Negotiated Salary Increment	Max of Total Annual Salary – Base Salary and Negotiated Salary Increment	Min. of Total Annual Salary – Base Salary and Negotiated Salary Increment	Average of Total Annual Salary – Base Salary and Negotiated Salary Increment	Max of Base Total Annual Salary – Base Salary and Negotiated Salary Increment
Assistant Professor	37	\$ 101,043	\$ 125,542	\$ 192,400	\$ 7,039	\$ 2,594	\$ 800
Associate Professor	54	\$ 78,300	\$ 157,024	\$ 309,900	\$ (31,100)	\$ 1,769	\$ 28,600
Professor	184	\$ 122,100	\$ 218,261	\$ 421,900	\$ 3,200	\$ 6,784	\$ 6,200
Total	275						

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

** Minimum salary for Associate Professor rank reflects salary of one faculty member who discontinued NSTP participation mid-year.

Figure 11
Minimum, Average and Maximum of Base Salary*, Negotiated Salary Increment
and Total Annual Salary for Enrolled Faculty by Discipline
All Three Campuses
2016-17 with Differences from 2015-16 Program

Disciplinary Group	2016-17				Difference from 2015-16		
	Headcount	Min. of Base Salary	Average of Base Salary	Max of Base Salary	Min. of Base Salary	Average of Base Salary	Max of Base Salary
Biological Sciences	57	\$ 84,200	\$ 138,954	\$ 373,400	\$ 2,200	\$ 2,641	\$ 5,500
Engineering**	114	\$ 65,200	\$ 163,046	\$ 283,100	\$ (20,500)	\$ 3,886	\$ 13,300
Information and Computer Science	13	\$ 118,800	\$ 169,531	\$ 226,700	\$ 5,100	\$ 2,564	\$ 6,000
Management	10	\$ 167,200	\$ 223,640	\$ 297,900	\$ 2,600	\$ (4,831)	\$ 4,500
Marine Sciences***	6	\$ 68,100	\$ 171,017	\$ 287,400	\$ (49,000)	\$ (14,026)	\$ 4,200
Other****	11	\$ 94,900	\$ 176,045	\$ 273,700	\$ 4,900	\$ 20,408	\$ 21,600
Physical Sciences	32	\$ 92,900	\$ 154,103	\$ 268,400	\$ (1,500)	\$ (4,241)	\$ 4,800
Public Health	22	\$ 100,700	\$ 146,005	\$ 206,300	\$ 1,200	\$ 8,746	\$ (19,500)
Social Sciences	10	\$ 89,000	\$ 150,090	\$ 238,600	\$ (12,300)	\$ 22,257	\$ 85,000
Total	275						

Disciplinary Group	2016-17				Difference from 2015-16		
	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Biological Sciences	57	\$ 6,000	\$ 30,960	\$ 74,600	\$ (1,000)	\$ 1,914	\$ 7,700
Engineering	114	\$ 3,900	\$ 40,822	\$ 84,900	\$ (4,700)	\$ 1,985	\$ 4,800
Information and Computer Science	13	\$ 14,168	\$ 41,910	\$ 68,014	\$ (41)	\$ 586	\$ 5,013
Management	10	\$ 10,000	\$ 25,480	\$ 54,200	\$ (5,000)	\$ 2,266	\$ 16,700
Marine Sciences	6	\$ 10,200	\$ 18,650	\$ 28,700	\$ (3,900)	\$ (2,121)	\$ 400
Other**	11	\$ 5,500	\$ 33,512	\$ 76,700	\$ (8,897)	\$ 5,758	\$ 18,700
Physical Sciences	32	\$ 7,900	\$ 30,831	\$ 80,500	\$ (4,300)	\$ (6,275)	\$ 1,400
Public Health	22	\$ 15,000	\$ 35,355	\$ 61,900	\$ 5,000	\$ 4,836	\$ 10,800
Social Sciences	10	\$ 7,800	\$ 19,446	\$ 31,500	\$ 1,700	\$ 8,279	\$ 12,200
Total	275						

Disciplinary Group	2016-17				Difference from 2015-16		
	Headcount	Min of Total Annual Salary – Base Salary and Negotiated Salary Increment	Average of Total Annual Salary – Base Salary and Negotiated Salary Increment	Max of Total Annual Salary – Base Salary and Negotiated Salary Increment	Min of Total Annual Salary – Base Salary and Negotiated Salary Increment	Average of Total Annual Salary – Base Salary and Negotiated Salary Increment	Max of Base Total Annual Salary – Base Salary and Negotiated Salary Increment
Biological Sciences	57	\$ 101,043	\$ 170,338	\$ 421,900	\$ 7,039	\$ 4,978	\$ 6,200
Engineering	114	\$ 84,700	\$ 203,868	\$ 368,000	\$ (9,600)	\$ 5,872	\$ 20,900
Information and Computer Science	13	\$ 142,968	\$ 211,441	\$ 294,714	\$ (4,842)	\$ 3,150	\$ 18,513
Management	10	\$ 192,400	\$ 249,120	\$ 312,900	\$ 800	\$ (2,566)	\$ (3,000)
Marine Sciences	6	\$ 78,300	\$ 189,667	\$ 316,100	\$ (52,900)	\$ (16,148)	\$ 4,600
Other**	11	\$ 110,081	\$ 209,558	\$ 332,600	\$ 5,684	\$ 26,166	\$ 22,500
Physical Sciences	32	\$ 109,800	\$ 184,934	\$ 348,900	\$ (12,900)	\$ (10,516)	\$ 6,200
Public Health	22	\$ 124,800	\$ 181,359	\$ 268,200	\$ 15,300	\$ 13,582	\$ (2,800)
Social Sciences	10	\$ 108,600	\$ 169,536	\$ 270,100	\$ (800)	\$ 30,536	\$ 110,400
Total	275						

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

** Minimum salary for Engineering reflects salary of one faculty member (Associate Professor from Figure 10) who discontinued NSTP participation mid-year.

*** Minimum salary for Marine Sciences reflects salary of a faculty member with a 50% appointment.

**** “Other” includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian Languages and Cultures, Germanic Languages and Visual Arts.

IV. Program Fund Sources

This “Program Fund Sources” section of the report provides key information on the funding of salary increments and the use of contingency funds, as stipulated by the 2013 Taskforce ([Appendix B](#)).

A. Funding for Negotiated Components

The NSTP basic program document specifies that 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 ([Appendix A](#), p. 2).

Funds used for the salary increment awarded through the program are reported below in eleven categories, as developed by the three participating campuses. [Figures 12a to 12d](#) display the expenditures on salary increments for all three campuses combined and then by campus. Campuses consulted closely with their contracts and grants offices to ensure that 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 the “uniform guidance” found in Uniform Administrative Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl), guidance that subsumed OMB Circular A-21. Material on the UC Irvine NSTP web page offers a detailed explanation of the ways in which available funds were used in the program (see <http://ap.uci.edu/compensation/nstp>). The accounting of all fund sources was managed at the department or school level in consultation with academic personnel offices on the campuses.

[Figure 12a](#) provides detail on the NSTP salary increments by fund source for all three campuses. Overall, federal contracts and grants accounted for 51.1% of the total funds used, up 3.8% from 2015-16. Private contracts and grants accounted for 19.7% of the funds, down 1.5% from 2015-16. Other allowable funds accounted for 12.6% and gift funds accounted for 10.6%, with all other sources accounting for just over 5.9% of the total.

Figure 12a
Negotiated Salary Increment Source by Fund Type
All Campuses
2016-17 & 2015-16

Fund Type	2016-17		2015-16	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 0	0.0%	\$ 42,500	0.5%
Federal C&G Funds	\$ 4,938,372	51.1%	\$ 3,758,122	47.3%
Gift Funds	\$ 1,023,559	10.6%	\$ 1,353,225	17.0%
Patent Funds	\$ 0	0.0%	\$ 21,223	0.3%
Private C&G Funds	\$ 1,901,055	19.7%	\$ 1,685,394	21.2%
Self-Supporting and Prof. Degree Fees	\$ 407,334	4.2%	\$ 237,300	3.0%
State C&G funds	\$ 103,253	1.1%	\$ 105,174	1.3%
Summer Session Fees	\$ 63,049	0.7%	\$ 8,601	0.1%
Other Allowable Funds	\$ 1,220,832	12.6%	\$ 730,286	9.2%
Total	\$ 9,657,454	100.0%	\$ 7,941,825	100.0%

Figures 12b, 12c, and 12d show the campus level data with some variation in percentages as well.

Figure 12b
Negotiated Salary Increment Source by Fund Type
UC Irvine
2016-17 & 2015-16

Fund Type	2016-17		2015-16	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 0	0.0%	\$ 0	0.0%
Federal C&G Funds	\$ 1,184,104	63.2%	\$ 789,858	54.9%
Gift Funds	\$ 62,399	3.3%	\$ 271,290	18.8%
Patent Funds	\$ 0	0.0%	\$ 21,223	1.5%
Private C&G Funds	\$ 523,802	27.9%	\$ 292,363	20.3%
Self-Supporting and Prof. Degree Fees	\$ 21,534	1.1%	\$ 0	0.0%
State C&G funds	\$ 0	0.0%	\$ 0	0.0%
Summer Session Fees	\$ 63,049	3.4%	\$ 8,601	0.6%
Other Allowable Funds	\$ 19,700	1.1%	\$ 56,290	3.9%
Total	\$ 1,874,588	100.0%	\$ 1,439,625	100.0%

Figure 12c
Negotiated Salary Increment Source by Fund Type
UCLA
2016-17 & 2015-16

Fund Type	2016-17		2015-16	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 0	0.0%	\$ 0	0.0%
Federal C&G Funds	\$ 2,179,102	59.3%	\$ 1,797,414	53.4%
Gift Funds	\$ 332,002	9.0%	\$ 495,186	14.7%
Patent Funds	\$ 0	0.0%	\$ 0	0.0%
Private C&G Funds	\$ 577,981	15.7%	\$ 606,331	18.0%
Self-Supporting and Prof. Degree Fees	\$ 0	0.0%	\$ 0	0.0%
State C&G funds	\$ 41,553	1.1%	\$ 32,774	1.0%
Summer Session Fees	\$ 0	0.0%	\$ 0	0.0%
Other Allowable Funds	\$ 546,362	14.9%	\$ 432,995	12.9%
Total	\$ 3,677,000	100.0%	\$ 3,364,700	100.0%

Figure 12d
Negotiated Salary Increment Source by Fund Type
UC San Diego
2016-17 & 2015-16

Fund Type	2016-17		2015-16	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 0	0.0%	\$ 42,500	1.4%
Federal C&G Funds	\$ 1,575,166	38.4%	\$ 1,170,850	37.3%
Gift Funds	\$ 629,158	15.3%	\$ 586,750	18.7%
Patent Funds	\$ 0	0.0%	\$ 0	0.0%
Private C&G Funds	\$ 799,272	19.5%	\$ 786,700	25.1%
Self-Supporting and Prof. Degree Fees	\$ 385,800	9.4%	\$ 237,300	7.6%
State C&G funds	\$ 61,700	1.5%	\$ 72,400	2.3%
Summer Session Fees	\$ 0	0.0%	\$ 0	0.0%
Other Allowable Funds	\$ 654,770	15.9%	\$ 241,000	7.7%
Total	\$ 4,105,866	100.0%	\$ 3,137,500	100.0%

Figure 13 displays the same fund source information for all three campuses by disciplinary groups. Four disciplinary groups account for 85% of the funding used for the program: engineering, biological sciences, physical sciences, and public health. The disciplinary information is not displayed by campus due to small cell sizes.

Figure 13
Negotiated Salary Increment Source by Fund Type by Broad Discipline
All Campuses
2016-17 with Differences from 2015-16 Program

2016-17										
Disciplinary Group	External Start-up Funds	Federal C&G Funds	Gift Funds	Patent Funds	Private C&G Funds	Self-Supporting and Prof Degree Fees	State C&G funds	Summer Session Fees	Other Allowable Funds	Grand Total
Biological Sciences	\$ 0	\$ 1,179,869	\$ 2,997	\$ 0	\$ 277,798	\$ 0	\$ 0	\$ 11,290	\$ 292,770	\$ 1,764,724
Engineering	\$ 0	\$ 2,266,163	\$ 930,728	\$ 0	\$ 904,306	\$ 0	\$ 103,253	\$ 0	\$ 449,256	\$ 4,653,707
Information & Comp. Sci.	\$ 0	\$ 279,454	\$ 20,515	\$ 0	\$ 236,047	\$ 0	\$ 0	\$ 411	\$ 8,405	\$ 544,831
Management	\$ 0	\$ 13,500	\$ 0	\$ 0	\$ 0	\$ 237,200	\$ 0	\$ 0	\$ 4,100	\$ 254,800
Marine Sciences	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 111,900	\$ 111,900
Other*	\$ 0	\$ 102,852	\$ 0	\$ 0	\$ 44,655	\$ 170,134	\$ 0	\$ 0	\$ 50,995	\$ 368,637
Physical Sciences	\$ 0	\$ 557,516	\$ 34,548	\$ 0	\$ 295,931	\$ 0	\$ 0	\$ 0	\$ 98,600	\$ 986,595
Public Health	\$ 0	\$ 449,218	\$ 17,500	\$ 0	\$ 87,210	\$ 0	\$ 0	\$ 42,069	\$ 181,806	\$ 777,803
Social Sciences	\$ 0	\$ 89,800	\$ 17,271	\$ 0	\$ 55,106	\$ 0	\$ 0	\$ 9,279	\$ 23,000	\$ 194,456
Total	\$ 0	\$ 4,938,372	\$ 1,023,559	\$ 0	\$ 1,901,055	\$ 407,334	\$ 103,253	\$ 63,049	\$ 1,220,832	\$ 9,657,454

Difference from 2015-16										
Disciplinary Group	External Start-up Funds	Federal C&G Funds	Gift Funds	Patent Funds	Private C&G Funds	Self-Supporting and Prof Degree Fees	State C&G funds	Summer Session Fees	Other Allowable Funds	Grand Total
Biological Sciences	\$ (25,000)	\$ 239,069	\$ (53,997)	\$ 0	\$ 60,257	\$ 0	\$ (11,400)	\$ 3,744	\$ 244,970	\$ 457,644
Engineering	\$ (17,500)	\$ 439,614	\$ (48,514)	\$ 0	\$ (54,310)	\$ 0	\$ 59,053	\$ 0	\$ 220,386	\$ 598,730
Information & Comp. Sci.	\$ 0	\$ 256,537	\$ (131,543)	\$ (21,223)	\$ 60,326	\$ 0	\$ 0	\$ 411	\$ 8,405	\$ 172,911
Management	\$ 0	\$ (6,300)	\$ (17,700)	\$ 0	\$ 0	\$ 113,500	\$ 0	\$ 0	\$ 4,100	\$ 93,600
Marine Sciences	\$ 0	\$ 0	\$ (2,300)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ (21,600)	\$ (23,900)
Other*	\$ 0	\$ 51,611	\$ 0	\$ 0	\$ 44,655	\$ 56,534	\$ 0	\$ 0	\$ (6,195)	\$ 146,604
Physical Sciences	\$ 0	\$ 99,509	\$ (96,183)	\$ 0	\$ 58,533	\$ 0	\$ (16,800)	\$ 0	\$ 13,878	\$ 58,937
Public Health	\$ 0	\$ 24,910	\$ 17,500	\$ 0	\$ (8,907)	\$ 0	\$ (32,774)	\$ 41,014	\$ 3,603	\$ 45,346
Social Sciences	\$ 0	\$ 75,300	\$ 3,071	\$ 0	\$ 55,106	\$ 0	\$ 0	\$ 9,279	\$ 23,000	\$ 165,756
Total	\$ (42,500)	\$ 1,180,250	\$ (329,666)	\$ (21,223)	\$ 215,660	\$ 170,034	\$ (1,921)	\$ 54,448	\$ 490,546	\$ 1,715,629

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

B. Establishment of Contingency Funds

The 2012 basic program document ([Appendix A](#)) did not require a “contingency fund” in case of any funding shortfalls but did specify that “The dean or his/her designee will have responsibility for managing program funds, reviewing the availability of facilities & administration (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 (UC Irvine and UC San Diego) have required that a contingency fund be created. One of the campus programs (UCLA) has dealt with the responsibility for shortfalls by tasking departments/schools to manage the issue. Details are provided below.

Campuses with a Contingency Fund

For UC Irvine and UC San Diego, 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 UC San Diego, 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 UC Irvine, 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 UC San Diego 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 provides guidelines on the contingency fund in section X, “Financial Responsibility.” Section X states that “the dean may establish a contingency fund at a designated percentage rate to ensure coverage of TUCS obligations;” guidance is also given on how such a fund could be managed. Within that flexibility, some deans choose to designate a schoolwide unrestricted fund source to guarantee availability of the funds for contingency purposes. This approach normally applies to academic units that have a limited number of NSTP participants. Some other deans choose to manage their financial responsibilities by requiring NSTP participants or their departments to provide an unrestricted full accounting unit (FAU) which would be used to fund any negotiated salary component, if necessary. Primarily, these unrestricted funds are gifts, indirect cost recovery (ICR), 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 fund 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 fund would not be allowed to participate in the following year.

V. Summer Salary and Administrative Stipends

This “Summer Salary and Administrative Stipends” section of the report provides data on summer-ninths and stipends for enrolled faculty, as stipulated by the 2013 Taskforce ([Appendix B](#)).

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 at UC Irvine and UC San Diego, the data below suggest the vast majority of faculty elected to be paid three ninths at the total UC salary rate, which includes the negotiated salary increment. At UCLA, eligible faculty are required to maximize summer ninth opportunities before utilizing the NSTP. Data show that during the first year, 92% of NSTP participants earned the maximum of three months of summer salary (142 of 154 participants). In the second year 93% earned the maximum amount of three months (210 out of 225). In the third year 96% earned the maximum of three months (221 out of 230 on Academic Year appointments). In the fourth year 97% earned the maximum of three months (266 out of 275 on Academic Year appointments).

Figure 14 shows the number of faculty earning three, two, one, or no months of summer salary.

Figure 14
Headcount of NSTP Enrolled Faculty with Amount of Summer-Ninths by Campus
2016-17

Campus	2016-17					Total
	3 months	2 months	1 month	No Summer Salary	N/A - Fiscal Year Appt.	
Irvine	54	1	2	0	0	57
Los Angeles	92	0	0	0	0	92
San Diego	120	4	0	0	2	126
Total	266	5	2	0	2	275

B. Administrative Stipends

Eligibility for the NSTP stipulated that deans and full-time faculty administrators could not participate in the program. However, faculty with partial administrative appointments were eligible to participate. Data show that 23% of NSTP enrollees in 2016-17, an increase of 11% from 2015-16, received some form of stipend for their duties as a department chair or vice chair, as an associate or assistant dean, or as another type of faculty administrator (program director, center director, etc.). For those who received administrative stipends in the 2016-17 program, the average amount was \$10,305, a 13% decrease over the previous year average of \$11,796.

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

This “Faculty Workload” section of the report provides data on the teaching loads of enrollees and other faculty in participating units, as stipulated by the 2013 Taskforce ([Appendix B](#)).

The metrics approved for the program specify that to analyze the impact of the program, it is important to document the teaching workload of participants (enrollees) compared to non-participants in the same units. The 2013 Taskforce also stipulated that the workload for the program year(s) needed to be compared with the workload in the prior two years. For this year four report, data was collected for 2016-17 to compare to the previous two years, 2014-15 and 2015-16. The year one report compared data from 2013-14 to that from the two prior years (2011-12 and 2012-13), the year two report compared data from 2014-15 to that from 2012-13 and 2013-14, and the year three report compared data from 2015-16 to that from 2013-14 and 2014-15.

Each campus collected teaching data for all departments that had participants (enrolled faculty) in the program. The data 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 credit hours (enrollment multiplied by the number of units). The results by department/school were then aggregated into disciplinary categories.

Overall, NSTP participants taught an average of 217 student credit hours (SCH) in the 2016-17 year versus 214 in the prior two years, an increase of 1% (See [Figure 15](#)). By comparison, non-participating faculty in the same units decreased their teaching load slightly from an average of 248 SCH in 2014-15 and 2015-16 to 236 SCH in 2016-17 (See [Figure 16](#)).

Figure 15
NSTP Enrollees
Teaching Workload, Graduate and Undergraduate
All Three Campuses
Includes Fall, Winter and Spring Quarters Only
2014-15 & 2015-16 to 2016-17

Discipline	Two Year Average of Three Quarters Average 2014-15 and 2015-16		Three Quarters Average 2016-17		Percent change to current program year (2016-17) from prior two years (2014-15 and 2015-16)	
	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	35.3	316.1	43.8	271.1	24%	-14%
Engineering	88.4	212.6	98.3	224.2	11%	5%
Information and Computer Science	11.6	218.7	13.0	223.4	12%	2%
Management	5.7	160.4	7.7	228.4	35%	42%
Marine Sciences	2.5	127.0	1.0	160.8	-61%	27%
Other*	7.3	176.8	9.3	230.6	28%	30%
Physical Sciences	20.4	231.0	28.1	225.4	37%	-2%
Public Health	25.1	75.1	25.0	48.7	0%	-35%
Social Sciences	3.3	311.2	8.1	288.0	142%	-7%
NSTP Units Overall	199.8	213.6	234.2	216.6	17%	1%

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

Figure 16
NSTP Non-enrollees in participating units
Teaching Workload, Graduate and Undergraduate
All Three Campuses
Includes Fall, Winter and Spring Quarters Only
2014-15 & 2015-16 to 2016-17

Discipline	Two Year Average of Three Quarters Average 2014-15 and 2015-16		Three Quarters Average 2016-17		Percent change to current program year (2016-17) from prior two years (2014-15 and 2015-16)	
	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	191.5	254.6	195.3	205.7	2%	-19%
Engineering	296.4	250.9	324.1	231.0	9%	-8%
Information and Computer Science	50.2	259.7	54.9	352.5	9%	36%
Management	9.9	217.7	12.5	209.1	26%	-4%
Marine Sciences	16.5	257.0	6.4	218.6	-62%	-15%
Other*	99.5	255.4	105.8	234.9	6%	-8%
Physical Sciences	273.8	236.8	293.8	238.6	7%	1%
Public Health	50.6	76.5	62.4	71.9	23%	-6%
Social Sciences	105.1	332.9	120.1	326.8	14%	-2%
NSTP Units Overall	1,093.5	248.4	1,175.2	235.8	7%	-5%

* “Other” includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian Languages, Germanic Languages and Cultures and Visual Arts.

VII. Assessing changes to Graduate Student and Postdoctoral Scholar Support

The original metrics established to evaluate the program and its impact on faculty responsibilities outlined the need to measure any changes in the faculty participants' support of graduate students and postdocs 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 did not appear possible to collect useful data on these issues for several reasons. First, support for graduate students and postdocs is recorded at the department level, not by individual faculty member. Second, 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 often attributable to individual faculty members. And finally, information on the number and amounts of grants would be intensely time-consuming to compile. Existing databases, for example, do not account consistently for co-PI status. In an effort to collect some level of data, participating faculty have been asked in the on-line survey, "has the program affected your support of postdoc/graduate students?" Almost all 2016-17 participants (approximately 97%) indicated either no change or an increase in postdoc /graduate student support as a result of NSTP participation. Only 1.3% of respondents (2 out of 156) indicated postdoc and graduate student support decreased as a result of NSTP participation.

The executive vice chancellors/provosts have commented on these issues of faculty responsibilities in their campus reports in years one, two and three of the pilot program. They noted that there is no evidence of any decreasing support of graduate students and postdocs or in the number and amount of grants due to NSTP participation. In fact, UCLA reported for the School of Public Health that the NSTP made a positive impact on the hiring of graduate student researchers and postdocs because of the increase in contracts and grants funding that participants sought due to the program.

The NSTP 4th Year Taskforce raised this issue again in its deliberations, opining that the evidence presented to date was anecdotal and not sufficient to prove that support for graduate students and postdocs was not being adversely affected by the NSTP. In response, representatives from UC Irvine demonstrated that one method to collect data on faculty support of graduate students and postdocs was to include questions on the application form that faculty use to request enrollment in the NSTP. Their data show no decrease in support – and actually an increase in support of graduates students and postdocs by enrolled faculty. The results are included in the 4th Year Taskforce report, which is available on request. The Taskforce recommended that as part of any extension of the NSTP, all participating campuses would need to include in their application form questions about the size and composition of faculty research groups and their support of graduate students, based on the Irvine application form. (Such data will be collected in phase two of the program, beginning in 2018-19.)

VIII. Faculty and Administrator Survey Summaries

The Taskforce metrics included the administration of annual surveys to collect participant (enrolled), non-participant, and administrator/staff input on the program, in an effort to supplement 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 and the implementation team. For year four, the surveys were administered in June and July 2017 (see [Appendix D](#) for full detail on the surveys).

Analysis of the faculty comments show that attitudes about the program vary depending on status as participant or non-participant. A large majority of participants are satisfied with the program and negotiated salary. They cite key reasons for participating as bringing salaries to market rates (80%), augmenting salary (59%), allowing the faculty member to spend more time on research (49%), and making it possible to turn down an outside offer (37%). Similar to the previous year, approximately 97% of faculty participants indicated that their support of postdoc/graduate students either increased or did not change as a result of the program. Among the participant respondents, one faculty member indicated that their teaching load decreased as a result of program participation.

Sixty-seven percent of the non-participants surveyed felt that the program was a positive asset to the University. Among the concerns expressed by non-participants with misgivings about the program were the following: the potential negative effect of pay disparities on departmental climate; concerns that the University would use the NSTP to reward individual faculty members instead of working to improve faculty salaries overall; the possibility that participants would reduce their support of graduate students; and the appropriateness of using research funds in this way.

The survey of those administering the NSTP was distributed to a wide range of those involved in the implementation of the program, from executive vice chancellors/provosts and deans to department CAOs and MSOs. Administrators expressed satisfaction with the program. Seventy-five percent of all respondents believed the NSTP to be an asset to the University. These views were held most strongly by department chairs (94%), academic personnel offices (90%), deans and college provosts (88%), the department CAO/MSO (77%), and the EVC/Ps (75%).

Compared to the past year, administrators cited more satisfaction with the program with respect to its administrative burden; 87% of respondents believed the benefits of the program outweighed its administrative burden compared to 73% in the prior year.

With respect to recruitment and retention, the administrative respondents reported that NSTP was used more often in recruitment in 2016-17. Sixty percent of respondents cited it being a valuable tool in recruitment, a 15% increase from the prior year. Fifty percent reported that the NSTP was a valuable tool in retention, an increase of 13% from the prior year.

IX. Campus Reports from Executive Vice Chancellors/Provosts

Initially, the Metrics Taskforce requested that the executive vice chancellors/provosts (EVC/Ps) report to the Systemwide Provost annually with an administrative assessment of the program (see 3.2.2 in [Appendix B](#)).

These administrators were surveyed in the first three years of the program. It was determined that the answers provided did not vary enough from year to year to warrant a repeat survey after the fourth year.

Previous years' responses may be found in the reports for years 1, 2 and 3.

X. Cross-campus Discussion and Next Steps

This report on the program's fourth year will be shared with academic administrators, faculty leaders, and other campus administrators involved in the program. During the fall of 2016, Vice Provost Susan Carlson convened a task force, chaired by Professor Mary Gauvain of UC Riverside, to plan for the comprehensive review during year four of the program (2016-17). This task force presented a report to Provost and Executive Vice President Aimée Dorr in June 2017, which recommended continuing the program and allowing other campuses to participate if desired, to allow for more data collection to make a more comprehensive assessment before deciding on the ultimate fate of the program. After systemwide review, in January 2018 Provost Michael Brown approved a four-year extension and expansion of the program, with a review after the third year and a possible fifth year, if needed, to wind down the program if the review determined that the program should not continue. Planning for continuation of the program at the three pilot campuses and expansion of the program to new campuses is ongoing in winter and spring 2018. In addition, a working group will be convened to examine what metrics should be collected and analyzed during the continuation period.

Any feedback on this report should be sent to Vice Provost Carlson at the Office of the President (susan.carlson@ucop.edu).

XI. 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. Faculty and Administrator Survey Results Summary, 2016-17
- E. NSTP/GCCP 4 Year Compilation of Key Indicators

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.



OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL

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

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	<p>Are enough faculty using program to make benefit outweigh administrative burden?</p> <p>What demographic patterns are discernible between participating and non-participating faculty?</p> <p>How do salary actions and patterns among participants and participating units compare to those elsewhere on the campus?</p> <p>Are there new disciplinary differences?</p>
			1.1.2. Departments participating: number and percentages of total campus	
			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 base, off-scale, summer ninths, 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, 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?	
	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 program 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 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



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.

- 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

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

NSTP 2016-17 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 2016-17 Faculty Survey Administration

The annual survey was first administered in June 2014 seeking input on the first year of the NSTP program, and again in June 2015 and June 2016; results of those surveys are available in the first, second, and third annual reports. During the administration of the fourth annual survey, the questions in the survey remained the same as in the first three years. On June 6, 2017, the faculty web-based survey was sent to 1,628 faculty members in units participating in the fourth year of the program on the Irvine, Los Angeles, and San Diego campuses. Three hundred seventy seven faculty members took the survey, yielding an overall response rate of approximately 23%. Response rates varied substantially between program participants (enrolled faculty) and non-participants. Among NSTP participants, 156 of the 275 individuals surveyed responded to at least one of the survey questions, yielding a response rate of 57%. Two hundred twenty-one of the 1,353 surveyed non-participants took part in the survey, resulting in a response rate of approximately 16%.

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, their eligibility to participate, and whether the program is a positive asset to the University. Open ended comments were solicited on many of these questions.

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

NSTP Faculty Survey Instrument

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 2016-17 academic year?	All Respondents
2. Have you applied to participate in the program in academic year 2017-18?	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 2016-17 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 (2016-17)?	Participants Only
7. Have you modified your SERVICE ACTIVITIES in the past year (2016-17)?	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 2016-17 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?	All Respondents (Participants Only in years 1 and 2)
12. For statistical purposes only, please provide us with the following information. Reporting data will be aggregated to protect the identity of individual respondents.	All Respondents
13. For statistical purposes only, indicate your gender by selecting one of the options. Reporting data will be aggregated to protect the identity of individual respondents.	All Respondents
14. For statistical purposes only, select the answer which best describes your race/ethnicity. Reporting data will be aggregated to protect the identity of individual respondents.	All Respondents
15. Any additional comments about the program?	All Respondents

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

NSTP 2016-17 Faculty Survey Response Summary

Faculty participants in this fourth annual survey indicated general satisfaction with the program. Eighty-seven percent were satisfied or highly satisfied with the negotiated salary. A majority were “satisfied” or “highly satisfied” with the application process and program administration – 75% and 81%, respectively. A large majority – 84% – reportedly reapplied for 2017-18, and 98% of program participants indicated that the program was a “positive asset to the University.” In contrast, 89% of non-participants did not apply for 2017-18, and only 67% indicated that the program was a “positive asset to the University.”

The top five reasons faculty gave for participating in the program were: 1) to bring my salary to market rates (80%), 2) to augment my salary (59%), 3) to allow me to spend more time on my University research (49%), 4) to make it possible to turn down an outside offer (37%), and 5) to allow me to reduce outside consulting as additional income (36%).

Comments from program participants also indicate general satisfaction with the program. The final question of the survey was: “Any additional comments about the program?” The majority of program participants’ comments in this section viewed the program in a favorable light. Perceived benefits of the program include: increasing a department’s ability to recruit and retain 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 four percent of the participants’ comments voiced concerns, most commonly about the restrictive funding deadlines and excessive contingency fund requirements. A small minority of comments also reflected concerns about the program’s interface with granting agencies’ salary cap rules.

A slight majority of the non-participants’ comments were neutral or negative. Criticisms of the program mainly focused on the perception of pay disparities among departments as a result of the program’s implementation; concern that the existence of programs such as these would reduce the likelihood of salary scale adjustments; the perception that program participation would discourage graduate student support; and questions about the appropriateness of using research funds in this way.

Participants were asked how the program affects teaching, public service activities, graduate student support, and postdoctoral scholar hiring. One faculty member indicated that they reduced their teaching load as a result of the program. None of the program participants indicated that they reduced their service activities as a result of the program. One faculty member indicated that they reduced their support for graduate students and two faculty members indicated that they reduced their postdoc hiring as a result of participation in the program. Summary responses to the survey are below.

NSTP 2016-17 Faculty Survey Response Summary Relative to Prior Years

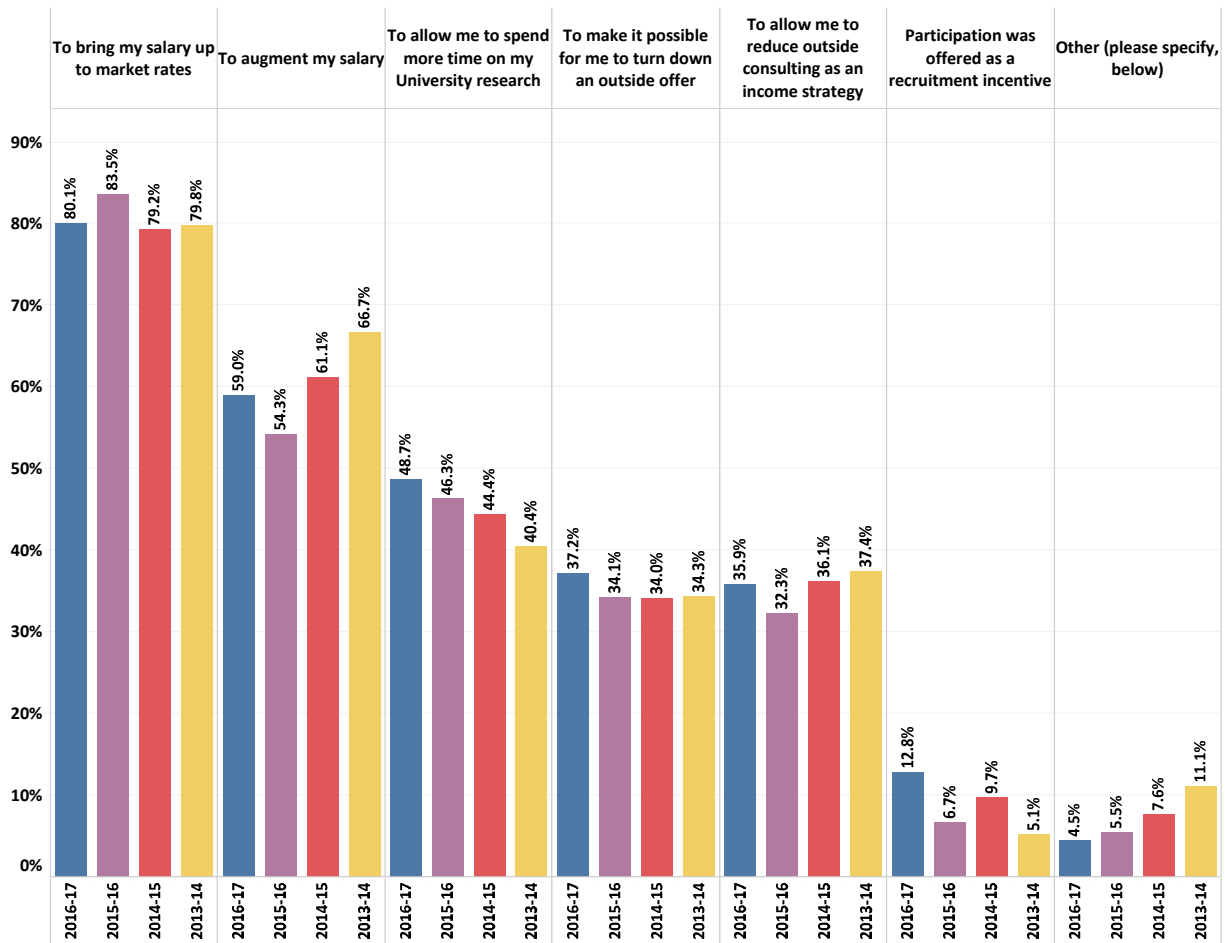
Compared to the three prior years, the fourth year survey results are largely the same. In the fourth year, 98% of participants in the program agreed that it was an asset to the university (a 2% increase from previous years). The top five reasons faculty gave for participating in the program were also similar. Figure 1 offers a side by side comparison, with the relative percentages of the top five reasons in each of the first four years: “to bring my salary up to market rates”, “to augment my salary”, “to allow me to spend more time on my University research”, “to make it possible for me to turn down an outside offer”, and “to allow me to reduce outside consulting as an income strategy”. For the first time, bringing salary up to market rates decreased slightly as a motivation for participating (from 84% to 80%). However, all other reasons increased slightly (augmenting salary from 54% to 59%, allowing faculty to

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

spend more time on University research from 46% to 49%, turning down an outside offer from 34% to 37%, and reducing outside consulting from 32% to 36%.

Figure 1.

What motivated you to participate in the program? (2013-14, 2014-15, 2015-16, and 2016-17 Responses)



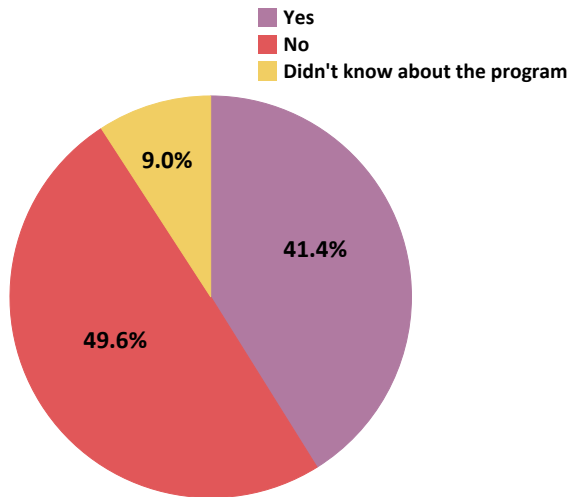
There was a noticeable increase in faculty citing the use of the NSTP as a recruitment incentive: the percentage of faculty who indicated that this was a motivating factor in their participation increased from 7% in 2015-16 to 13% in 2016-2017.

Non-Participant sentiments are largely the same as those expressed in the prior year, as well. Twenty-five percent of non-participants were unaware the program in the current year, which is a slight decrease from 26% in 2015-2016. Additionally, in 2016-17, 6% of non-participants stated that they did not participate because they did not have enough time to complete the administrative process, whereas that rate in 2015-16 was 11%.

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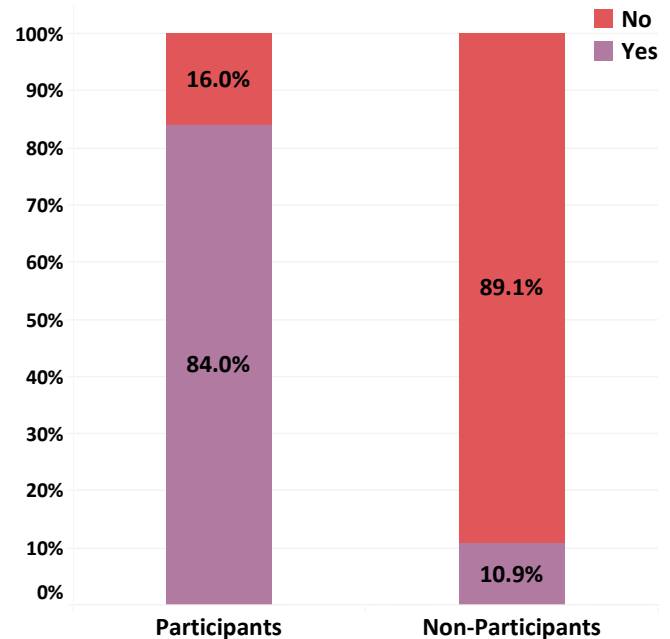
Question 1.

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 2016-17 academic year? (All Respondents)



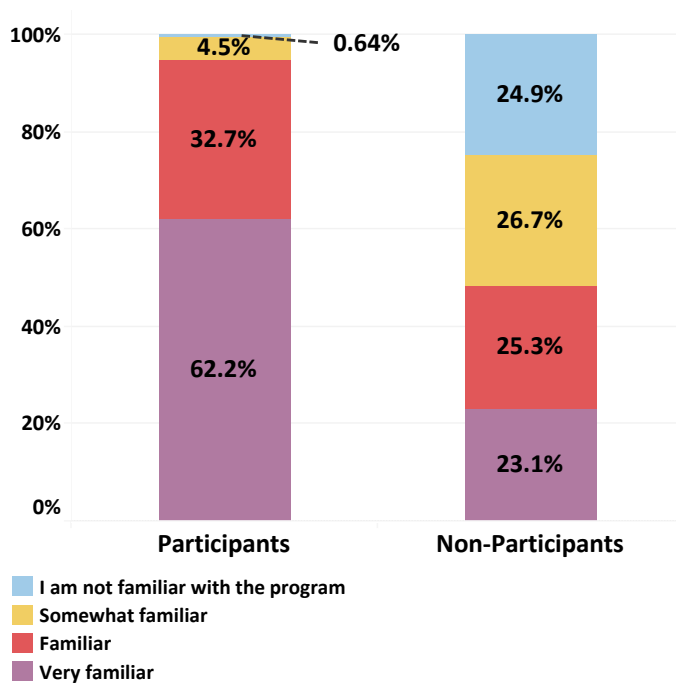
Question 2.

Have you applied to participate in the program in academic year 2017-18? (All Respondents)



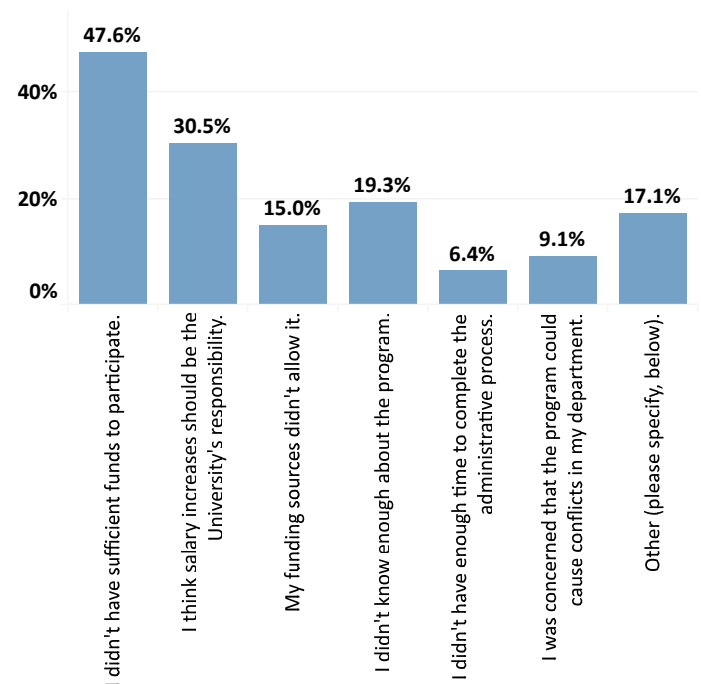
Question 3.

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



Question 4.

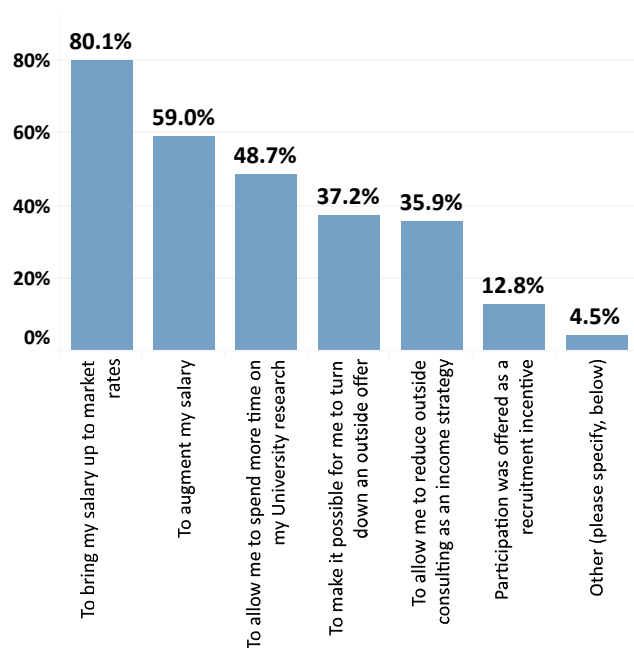
Please explain why you did not participate in the program in the 2016-17 academic year. Check all that apply. (Non-Participants Only)



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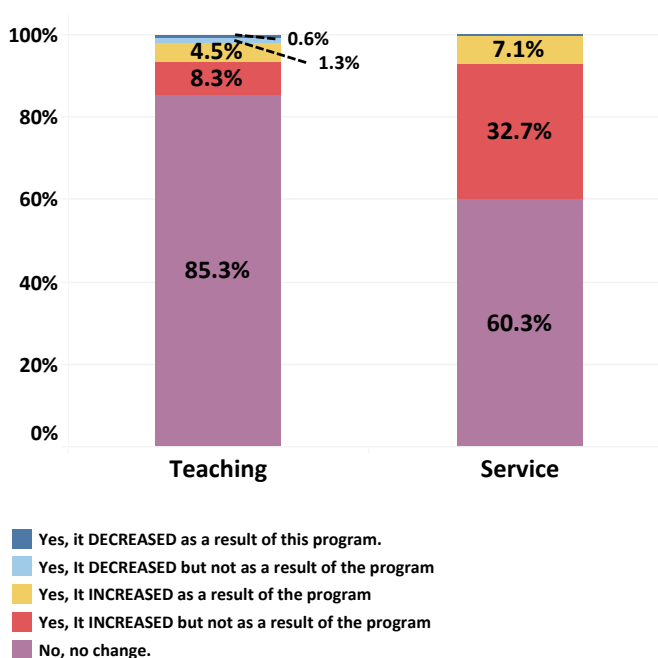
Question 5.

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



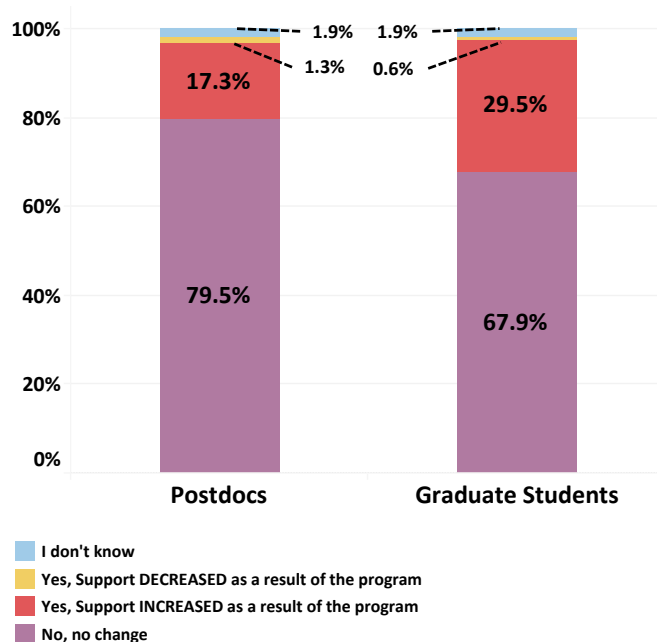
Questions 6 and 7.

Have you modified your Teaching Load/Service in the past year (2016-17)? (Participants Only)



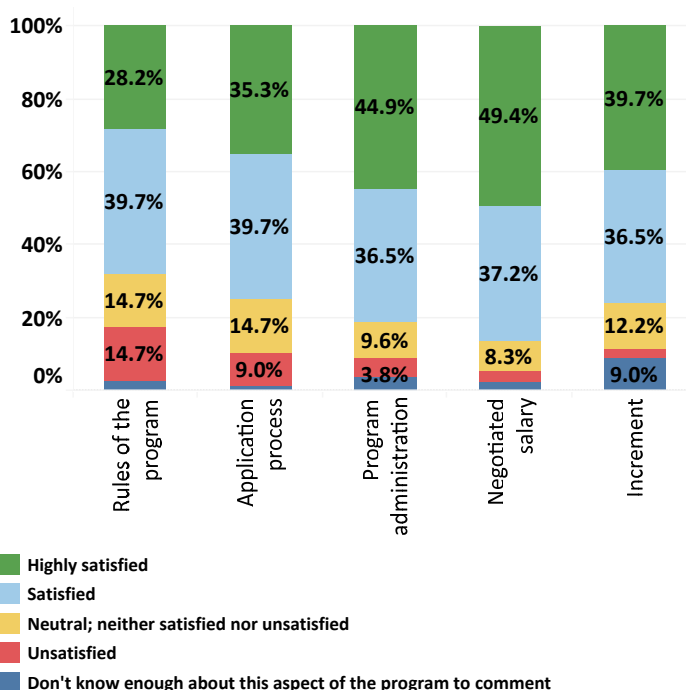
Questions 8 and 9.

Has the program affected your support of Postdocs/Graduate Students? (Participants Only)



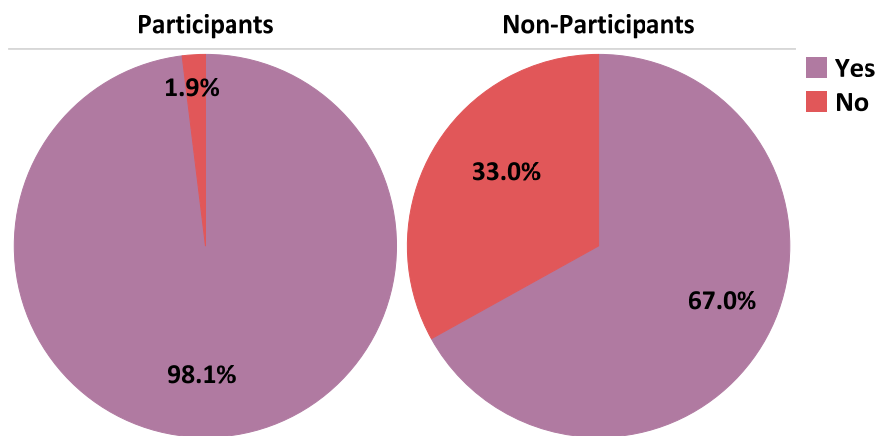
Question 10.

Based on your experiences in the 2016-17 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?



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.

Question 12 requested identifying information (campus, faculty rank, race/ethnicity and gender). Response rates varied by question, but were lower than the previous year. Of the 156 NSTP participants (57% of all NSTP participating faculty) who responded to the survey, 97%-98% (151-153 individuals) provided information regarding their demographic characteristics. This represents 55%-56% of all 275 NSTP participating faculty (compared to 69%-70% in 2015-16). Among the 221 non-participants who responded to the survey, the response rate to demographic questions was 98%-100% (216-221 individuals). This represents an overall response rate of 16% for the entire population of 1,353 non-participants surveyed (compared to 18%-19% in 2015-16).

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, many of the responses were examined by gender and race/ethnicity. Due to the fact that only 33 women participants and 56 women non-participants responded to the survey, detecting a statistically significant difference between men and women would require a large margin of error for many questions. Additionally, 14% of total survey respondents (NSTP participants and non-participants) chose "Prefer not to answer" in response to the race/ethnicity question and approximately 7% chose "Prefer not to answer" in response to the gender question. For other analyses of interest, the sample size is too small to draw meaningful conclusions. The summary responses are below.

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

Faculty Survey Demographic Questions: Summary of Responses and Response Rate

Group	Entire Faculty Survey			Demographic Questions			
	Total Survey Respondents	Total Faculty Surveyed	Overall Response Rate	Minimum number of responses	Minimum Response Rate	Maximum number of responses	Maximum Response Rate
NSTP-Participants	156	275	57%	151	55%	153	56%
Non-Participants	221	1,353	16%	216	16%	221	16%

Group	Campus					
	UCI	UCLA	UCSD	Response Count	No Answer	Response Rate
NSTP-Participants	38	55	59	152	4	55%
Non-Participants	78	69	74	221	0	16%

Group	Faculty Rank						
	Assistant Professor	Associate Professor	Professor	In Residence	Response Count	No Answer	Response Rate
NSTP-Participants	22	33	96	1	152	4	55%
Non-Participants	30	44	140	2	216	5	16%

Group	Race/Ethnicity								
	African/ African-American	Asian/ Asian-American	Chicano(a) /Latino(a) /Hispanic	Native American/ American Indian	White	Prefer not to answer	Response Count	No Answer	Response Rate
NSTP-Participants	2	38	3	1	85	22	151	5	55%
Non-Participants	2	32	10	0	145	30	219	2	16%

Group	Gender						
	Female	Male	Other	Prefer not to answer	Response Count	No Answer	Response Rate
NSTP-Participants	33	106	0	14	153	3	56%
Non-Participants	56	152	0	11	219	2	16%

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NSTP 2016-17 Administrator Survey administration

The annual survey to administrators was similarly sent out after year four of the NSTP program. On July 11, 2017, the NSTP web-based administrator survey was sent to 303 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 (EVC/Ps), and other administrators involved in program implementation or in faculty recruitment, retention, or review. One hundred two of these individuals responded to the survey, yielding a response rate of approximately 34%. 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 2016-17 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 2016-17 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
10. Any additional comments about the program?	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 2016-17 Administrator Survey Response Summary

Administrators expressed general satisfaction with program. Seventy-five percent of all respondents believed it to be a positive asset to the University (see Table 1). These views were held most strongly by department chairs (94%), academic personnel offices (90%), deans and college provosts (88%), the department CAO/MSO (77%), and the EVC/Ps (75%).

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

Table 1. Is the program a positive asset for the University?

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
Yes	75%	88%	94%	90%	77%	52%	75%
No	25%	12%	6%	10%	23%	48%	25%

A majority of the surveyed group indicated that the program helped faculty recruitment, however, only half of the respondents indicated that it helped faculty retention (see Table 2). Three respondents answered “no” when asked whether the program helped faculty retention.

Deans and other senior administrators were the most positive in the role of the program in recruitment (82%) and retention (76%). Department chairs and the academic personnel office staff were also positive, but they found the program more helpful in recruitment (78% and 80%, respectively) than retention (67% and 50%, respectively). Other staff expressed less confidence in the effectiveness of the NSTP in these areas: only 45% of department CAO/MSO stated definitively that the program helped with recruitment, and only 32% of these respondents indicated that the program helped with retention.

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	75%	82%	78%	80%	45%	39%	60%
No	0%	0%	0%	0%	0%	0%	0%
No effect/don't know.	25%	18%	22%	20%	55%	61%	40%
7. Has the program helped faculty retention?							
Yes	50%	76%	67%	50%	32%	39%	50%
No	25%	0%	0%	10%	5%	0%	3%
No effect/don't know.	25%	24%	33%	40%	64%	61%	47%

Satisfaction with the program's administrative burden varied by group. Eighty-seven percent of administrators believed the program's benefit to faculty clearly, somewhat, or slightly exceeded its administrative costs (see Table 3). While those at higher levels of administration rated the benefits highly, 14% of department CAO/MSO and 10% of the academic personnel staff respondents indicated that the benefits do not outweigh the burdens.

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

Table 3. Benefits outweigh administrative costs

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%	71%	89%	50%	36%	39%	55%
Benefit to faculty somewhat outweighs admin. costs	25%	12%	6%	40%	32%	16%	20%
Benefit to faculty slightly outweighs admin. costs	0%	18%	0%	0%	14%	19%	12%
Benefit to faculty does not outweigh admin. costs	0%	0%	6%	10%	14%	19%	11%
Don't know enough to comment	0%	0%	0%	0%	5%	6%	3%

Sixty-three of the 102 respondents (62%) provided comments on whether the program is an asset to the University. These comments primarily reflect the program's value in recruiting and retaining faculty (37%) followed by concerns about the program's administrative burden (10%). The remainder of the comments focused on various issues within the administrative process, the program's efficacy, and the shifting of resources away from graduate students. Several of the comments reflected administrators' opinions that faculty sought out new grants as a result of the program.

Twenty-nine percent of respondents made comments regarding the administrative burden of the program and how it could be mitigated. The most common suggestions were standardizing processes (for example, with online forms) and changing the timing of the program so that calculations and approvals coordinate more seamlessly with July 1 salary changes. Four respondents also requested training for staff administrators and written guidelines with clear examples of allowable funding sources.

Respondents were also asked for "Any additional comments about the program?" Forty-six respondents (45%) provided comments. Forty percent (18 of 46 respondents) mentioned the burden on staff who administer the program; these concerns weighed nearly equally on those who considered the program a positive asset (10) and those who did not (8). Other comments mentioned by more than one respondent were: increasing the 30% salary cap; increasing availability of the program; and reviewing the contingency fund requirements.

NSTP 2016-17 Administrator survey relative to prior years

Ninety-two percent of respondents indicated that they were familiar or very familiar with the NSTP program. This is an increase of 3.5% percent from the prior year. Additionally, all of the administrators responded that they at least somewhat familiar with the program, compared to 2015-16, when 2.3% of respondents reported that they were not familiar with the program.

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

Compared to the prior year, administrative support for the program has increased slightly. Seventy-five percent of respondents believe the program is asset for the University, compared to 72% in the third year of the pilot. However, this is down from a high of 78% in the second year of the pilot.

Compared to previous years, administrators cited more support for the program with respect to its administrative burden. For 2016-17, 87% of all respondents believed the benefits of the program outweighed its administrative burden compared to 73% in the third year, 78% in the second year, and 71% in the first year. 100% of EVP/Ps felt this way in 2016-17, 2015-16, and 2014-15. Deans and college provosts also felt quite positive about the benefits of the NSTP outweighing the administrative burden: 100% felt this way in 2016-17 vs. 85% in the previous year. Additionally, 90% of the academic personnel staff respondents found that the benefits outweigh the burdens in 2016-17, compared to 56% in the previous year.

With respect to faculty recruitment, favorability ratings continued to climb. Sixty percent of respondents cited that NSTP helped in recruitment in 2016-17, which is 15% more than in 2015-16, 23% more than in 2014-15, and 34% more than in the first year of the pilot (2013-14).

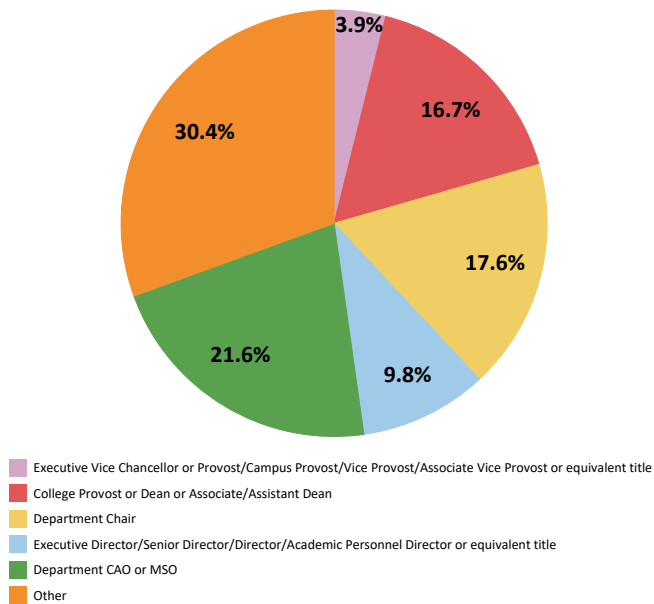
With respect to retention, the favorable rating also increased. Fifty percent indicated that NSTP was helpful in retention, compared to 37% in 2015-16, 39% in 2014-15, and 38% in 2013-14.

Levels of dissatisfaction with various aspects of the program changed slightly. Seventeen percent were unsatisfied with the rules of the program (vs. 19% in 2015-16). More administrators were unsatisfied with the application process (23% in 2016-17 vs. 18% in 2015-16). Dissatisfaction with program administration decreased slightly (20% in 2016-17 vs. 23% in 2015-16), as did dissatisfaction with the negotiated salary increment (5.9% in 2016-17 vs. 6.9% in 2015-16).

Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

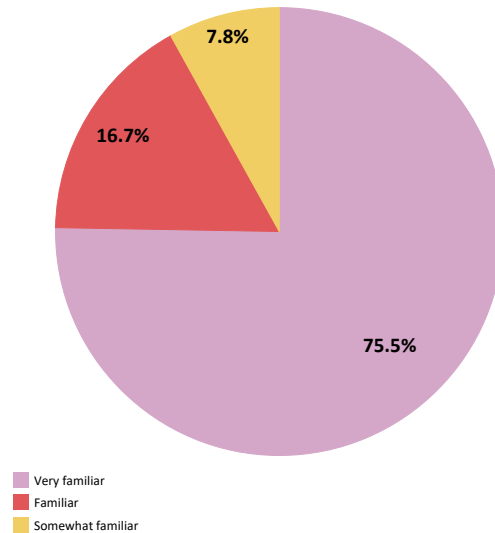
Question 1.

What is your title?



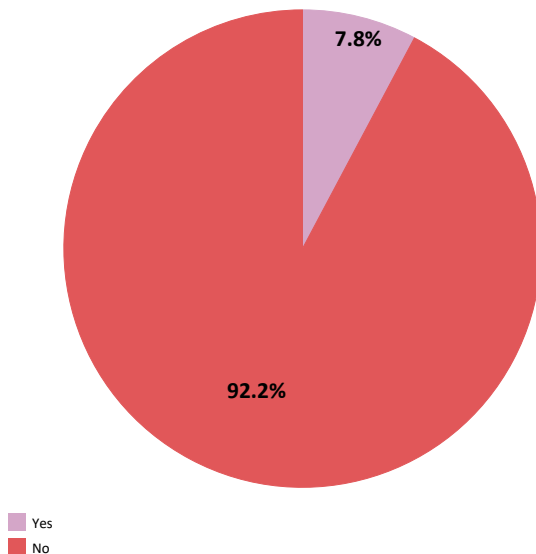
Question 2.

How familiar are you with the NSTP Plan?



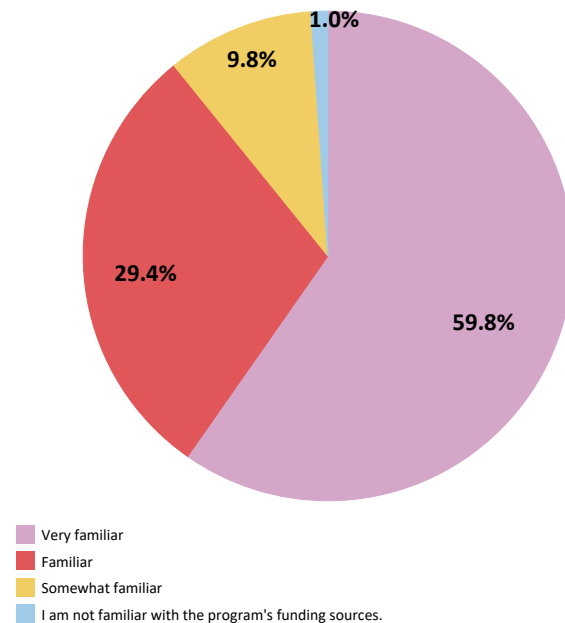
Question 3.

Were you also a program participant (as a faculty member) in 2016-17?



Question 4.

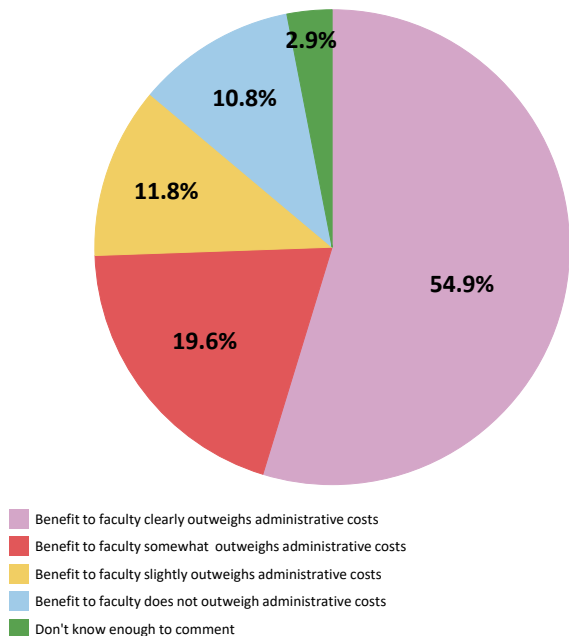
How would you characterize your knowledge of the different types of funds that can be used in the program (e.g., grants, contracts, Chair income, etc.)?



Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

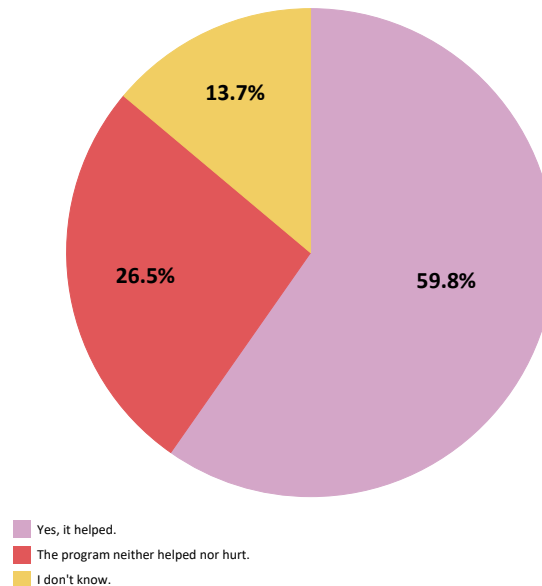
Question 5.

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.



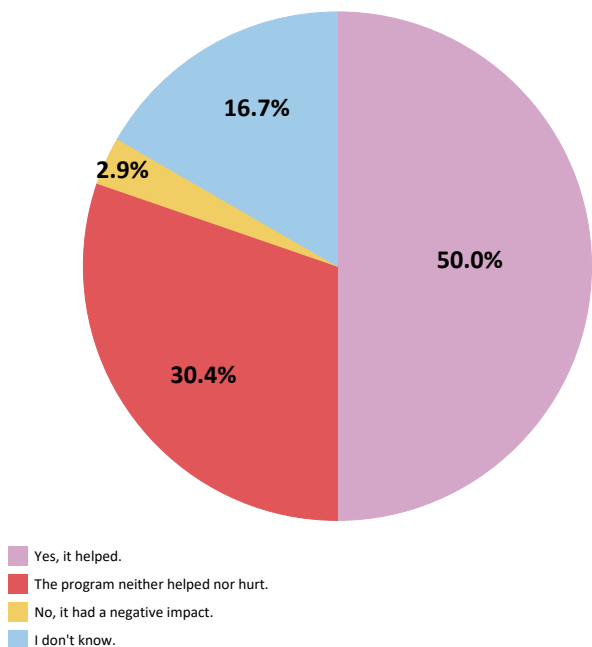
Question 6.

Has the program helped faculty recruitment?



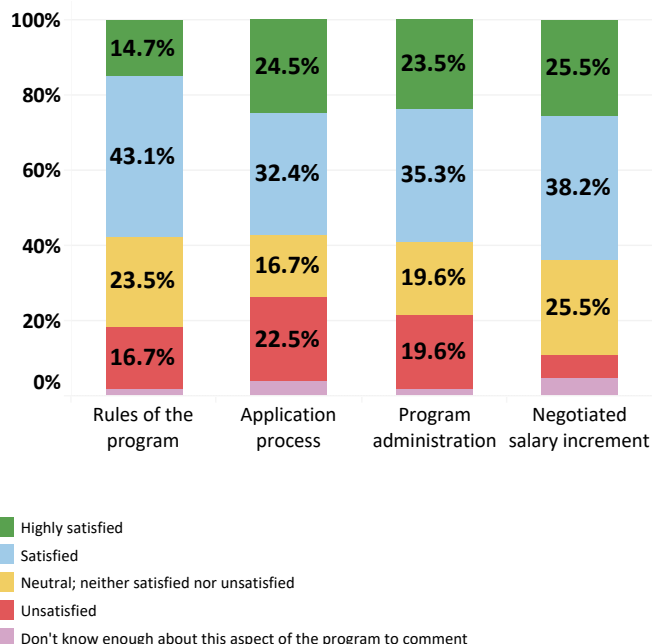
Question 7.

Has the program helped faculty retention?



Question 8.

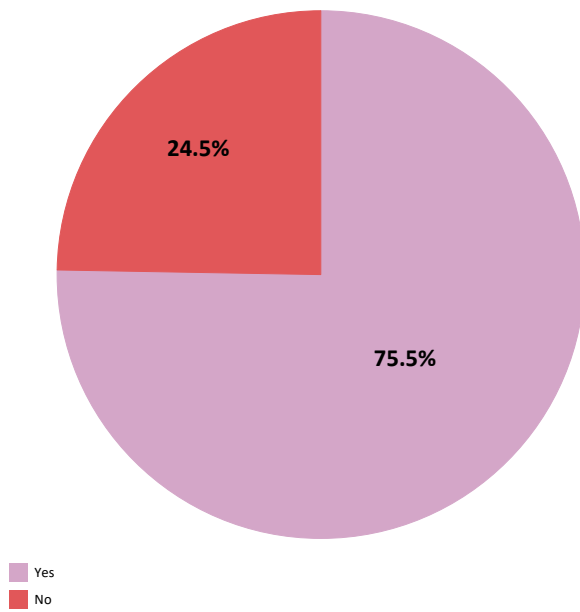
Based on your experience as an administrator or staff member involved in the administration of the 2016-17 program, please rate your level of satisfaction with the following aspects of the program.



Appendix D: Negotiated Salary Trial Program 2016-17 Faculty and Administrator Survey Results

Question 9.

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



Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

Table 1

Headcount of NSTP/GCCP Enrolled Faculty

Count and Percentage of Faculty who Continued in the Program from Year to Year

By Campus, by Year

Year	UC Irvine	UCLA	UC San Diego	Total
2013-14	38	34	82	154
<i>continued in 2014-15</i>	<i>31</i>	<i>27</i>	<i>63</i>	<i>121</i>
<i>% continuing</i>	<i>82%</i>	<i>79%</i>	<i>77%</i>	<i>79%</i>

2014-15	45	80	100	225
<i>continued in 2015-16</i>	<i>34</i>	<i>71</i>	<i>73</i>	<i>178</i>
<i>% continuing</i>	<i>76%</i>	<i>89%</i>	<i>73%</i>	<i>79%</i>

2015-16	48	90	95	233
<i>continued in 2016-17</i>	<i>46</i>	<i>72</i>	<i>83</i>	<i>201</i>
<i>% continuing</i>	<i>96%</i>	<i>80%</i>	<i>87%</i>	<i>86%</i>

2016-17	57	92	126	275
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Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

Table 2a
Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments
UC Irvine

Campus	School/Division/College	Participating Department Name	2013-14			2014-15			2015-16			2016-17		
			Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
Irvine	BIOLOGICAL SCIENCES	Developmental & Cell Bio.	3	22	13.6%	5	21	23.8%	7	22	31.8%	6	21	28.6%
		Ecology & Evolutionary Bio.	3	28	10.7%	1	32	3.1%	1	30	3.3%	1	30	3.3%
		Neurobiology & Behavior	4	20	20.0%	6	20	30.0%	8	22	36.4%	9	22	40.9%
	EDUCATION	Education				1	22	4.5%	1	24	4.2%	2	24	8.3%
	ENGINEERING	Biomedical Engineering				2	16	12.5%	2	16	12.5%	2	17	11.8%
		Civil & Environmental Engr							2	23	8.7%	2	25	8.0%
		Electrical Engr & Computer Sci	4	31	12.9%	4	32	12.5%	6	32	18.8%	4	31	12.9%
		Mechanical & Aerospace Engr				2	23	8.7%	2	24	8.3%	3	24	12.5%
	INFORMATION AND COMPUTER SCIENCE	Computer Science	9	37	24.3%	8	36	22.2%	6	39	15.4%	8	39	20.5%
		Informatics							3	17	17.6%	4	20	20.0%
		Statistics										1	8	12.5%
	PHYSICAL SCIENCES	Chemistry	2	38	5.3%	2	39					1	42	2.4%
		Earth System Science				1	21	4.8%	1	22	4.5%	3	22	13.6%
		Mathematics	3	30	10.0%	3	33	9.1%	2	32	6.3%	2	35	5.7%
		Physics & Astronomy	3	45	6.7%	3	39	7.7%	2	41	4.9%	2	44	4.5%
	PUBLIC HEALTH*	Public Health	2	10	20.0%	3	13	23.1%	3	13	23.1%	3	15	20.0%
	SOCIAL ECOLOGY	Criminology Law & Society	2	19	10.5%	1	18	5.6%						
		Psychology & Social Behavior	1	19	5.3%	1	22	4.5%	1	20	5.0%	2	22	9.1%
	SOCIAL SCIENCES	Cognitive Science	2	23	8.7%	2	25	8.0%				1	24	4.2%
	HEALTH SCIENCES	Pharmaceutical Sciences							1	10	10.0%	1	10	10.0%
Total			38	322	11.8%	45	412	10.9%	48	387	12.4%	57	475	12.0%

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

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

	2013-14	2014-15	2015-16	2016-17
UC Irvine NSTP Enrolled Faculty Headcount	38	45	48	57
Total Professorial and In Residence General Campus Faculty	912	941	966	996
Enrolled Faculty as a Percent of Total General Campus Faculty	4.2%	4.8%	5.0%	5.7%
Health Sciences Comp Plan Faculty (Professorial and In Residence)	187	180	191	198

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

Table 2b
Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments
UCLA

Campus	School/Division/College	Participating Department Name	2013-14			2014-15			2015-16			2016-17		
			Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
UCLA	ENGINEERING	Bioengineering Department				2	10	20.0%	3	10	30.0%	3	11	27.3%
		Chemical Engineering				5	12	41.7%	6	14	42.9%	4	13	30.8%
		Civil & Environmental Engr				2	17	11.8%	2	17	11.8%	2	18	11.1%
		Computer Science				9	28	32.1%	9	31	29.0%	12	36	33.3%
		Electrical Engineering				16	42	38.1%	16	42	38.1%	15	41	36.6%
		Materials Sci. & Engineering				1	14	7.1%				1	13	7.7%
	HUMANITIES	Mechanical & Aerospace Engr				9	33	27.3%	9	33	27.3%	7	32	21.9%
		Asian Languages & Cultures							1	20	5.0%	1	21	4.8%
	LIFE SCIENCES	Germanic Languages										1	5	20.0%
		Ecology & Evolutionary Biology										1	26	3.8%
		Integrative Bio. & Physiology	3	17	17.6%	3	16	18.8%	3	18	16.7%	5	21	23.8%
		Molecular, Cell & Develop Bio.	3	22	13.6%	3	22	13.6%	4	22	18.2%	4	22	18.2%
	PHYSICAL SCIENCES	Psychology	5	65	7.7%	7	58	12.1%	8	56	14.3%	6	57	10.5%
		Atmospheric & Oceanic Sciences							1	14	7.1%	2	17	11.8%
		Chemistry & Biochemistry				1	47	2.1%	2	47	4.3%	5	46	10.9%
		Earth, Planetary & Space Sci.				1	26	3.8%	1	25	4.0%	2	25	8.0%
		Physics & Astronomy				1	59	1.7%	3	58	5.2%			
		Statistics				1	58	1.7%	1	10	10.0%	1	11	9.1%
	SOCIAL SCIENCES	Communication Studies										1	10	10.0%
	PUBLIC HEALTH	Biostatistics	8	12	66.7%	6	12	50.0%	7	13	53.8%	6	13	46.2%
		Community Health Sciences	2	18	11.1%	2	15	13.3%	2	14	14.3%	1	16	6.3%
		Ctr. For Occupational & Environ. Hlth.	3	4	75.0%	1	4	25.0%				2	4	50.0%
		Environmental Health Sciences	1	9	11.1%	2	7	28.6%	3	7	42.9%	2	7	28.6%
		Epidemiology	6	12	50.0%	4	8	50.0%	5	8	62.5%	5	11	45.5%
		Health Policy & Management	3	15	20.0%	4	14	28.6%	4	16	25.0%	3	16	18.8%
Total			34	174	19.5%	80	502	15.9%	90	475	18.9%	92	492	18.7%

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

	2013-14	2014-15	2015-16	2016-17
UCLA NSTP Enrolled Faculty Headcount	34	80	90	92
Total Professorial and In-Residence General Campus Faculty	1,372	1,391	1,397	1,444
Enrolled Faculty as a Percentage of Total General Campus Faculty	2.5%	5.8%	6.4%	6.4%
Health Sciences Comp Plan Faculty (Professorial and In Residence)	682	674	661	660

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

Table 2c
Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments
UC San Diego

Campus	School/Division/College	Participating Department Name	2013-14			2014-15			2015-16			2016-17		
			Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
San Diego	ARTS & HUMANITIES	Visual Arts	1	28	3.6%	1	22	4.5%	1	24	4.2%	1	24	4.2%
	BIOLOGICAL SCIENCES	Biological Sciences	13	67	19.4%	13	71	18.3%	14	73	19.2%	25	66	37.9%
	ENGINEERING	Bioengineering	8	19	42.1%	10	23	43.5%	8	23	34.8%	8	23	34.8%
		Computer Science	9	42	21.4%	16	41	39.0%	15	41	36.6%	19	45	42.2%
		Electrical & Computer Engr	12	44	27.3%	11	44	25.0%	12	43	27.9%	14	46	30.4%
		Mechanical & Aerospace Engr	5	41	12.2%	7	42	16.7%	7	40	17.5%	8	41	19.5%
		Nanoengineering	2	13	15.4%	1	16	6.3%	3	19	15.8%	5	22	22.7%
		Structural Engineering	1	21	4.8%	5	22	22.7%	3	22	13.6%	5	23	21.7%
	GLOBAL POLICY & STRATEGY**	School of Global Policy & Strategy	2	25	8.0%	2	25	8.0%	3	26	11.5%	3	29	10.3%
	RADY SCHOOL OF MANAGEMENT	Rady School of Management	2	25	8.0%	6	24	25.0%	7	26	26.9%	10	31	32.3%
	SCRIPPS INSTITUTION OF OCEANOGRAPHY	SIO Department	8	87	9.2%	12	83	14.5%	7	89	7.9%	6	91	6.6%
	PHYSICAL SCIENCES	Chemistry & Biochemistry	9	49	18.4%	8	52	15.4%	7	50	14.0%	8	53	15.1%
		Mathematics	2	45	4.4%									
		Physics	5	40	12.5%	4	43	9.3%	5	48	10.4%	6	50	12.0%
	SOCIAL SCIENCES	Cognitive Science	1	17	5.9%	2	21	9.5%	1	21	4.8%	4	25	16.0%
		Economics										1	35	2.9%
		Political Science	1	36	2.8%				1	32	3.1%	1	29	3.4%
		Psychology	1	27	3.7%	2	23	8.7%	1	23	4.3%	2	23	8.7%
Total			82	626	13.1%	100	552	18.1%	95	600	15.8%	126	656	19.2%

Headcount of Enrolled Faculty
Compared to Total General Campus and Health Sciences Compensation Plan Faculty
UC San Diego

	2013-14	2014-15	2015-16	2016-17
UC San Diego GCCP Enrolled Faculty Headcount	82	100	95	126
Total Professorial and In-Residence General Campus Faculty	895	912	921	966
Enrolled Faculty as a Percentage of Total General Campus Faculty	9.2%	11.0%	10.3%	13.0%
Health Sciences Comp Plan Faculty (Professorial and In Residence)	399	387	393	421

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

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

Table 2d
Headcount of Enrolled Faculty compared to Total Faculty within Participating Departments
All Three Campuses

		2013-14			2014-15			2015-16			2016-17		
		Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty	Total Participating Department Faculty	Enrolled Faculty/Total Department Faculty
Three Campus Total	All Participating Departments	154	1,122	13.7%	225	1,466	15.3%	233	1,462	15.9%	275	1,623	16.9%

Headcount of Enrolled Faculty
Compared to Total General Campus and Health Sciences Compensation Plan Faculty
All Three Campuses

	2013-14	2014-15	2015-16	2016-17
NSTP/GCCP Enrolled Faculty Headcount	154	225	233	275
Total Professorial and In-Residence General Campus Faculty	3,179	3,244	3,284	3,406
Enrolled Faculty as a Percentage of Total General Campus Faculty	4.8%	6.9%	7.1%	8.1%
Health Sciences Comp Plan Faculty (Professorial and In Residence)	1,268	1,241	1,245	1,279

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

Gender	2013-14		2014-15		2015-16		2016-17	
	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments
Female	22.7%	22.1%	20.4%	24.0%	20.6%	24.1%	21.1%	25.6%
Male	77.3%	77.9%	79.6%	76.0%	79.4%	75.9%	78.9%	74.4%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

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

Race/Ethnicity	2013-14		2014-15		2015-16		2016-17	
	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty	Overall Population in Participating Departments
African/African American	0.7%	2.2%	1.3%	1.5%	1.3%	1.4%	2.2%	1.5%
Asian/Asian American	21.6%	16.9%	28.9%	21.4%	30.0%	22.0%	29.1%	22.4%
Chicano(a)/Latino(a)/Hispanic	2.6%	6.5%	3.1%	5.0%	3.4%	5.1%	2.9%	5.1%
Native American/American Indian*	0.0%	0.1%	0.0%	0.1%	0.0%	0.2%	0.0%	0.2%
White/Other	75.2%	74.3%	66.7%	72.0%	65.2%	71.4%	65.8%	70.8%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

*There was a very small sample size for Native American/American Indian faculty; in 2016-17, there were three Native American/American Indian faculty in the participating departments.

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

Rank	2013-14			2014-15			2015-16			2016-17		
	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments
Assistant Professor	13	8.4%	14.8%	16	7.1%	14.8%	26	11.2%	15.1%	37	13.5%	17.0%
Associate Professor	43	27.9%	19.1%	53	23.6%	17.9%	51	21.9%	17.8%	54	19.6%	17.7%
Professor	98	63.6%	66.1%	156	69.3%	67.3%	156	67.0%	67.1%	184	66.9%	65.3%
	154	100.0%	100.0%	225	100.0%	100.0%	233	100.0%	100.0%	275	100.0%	100.0%

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

Rank	2013-14				2014-15				2015-16				2016-17			
	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment	Headcount	Base Salary	Negotiated Salary Increment	Total of Base Salary and Negotiated Salary Increment
Assistant Professor	13	\$1,157,470	\$187,346	\$1,344,816	16	\$1,511,300	\$345,148	\$1,856,448	26	\$2,585,500	\$611,156	\$3,196,656	37	\$3,826,700	\$818,348	\$4,645,048
Associate Professor	43	\$4,496,600	\$844,285	\$5,340,885	53	\$6,336,100	\$1,273,781	\$7,609,881	51	\$6,368,200	\$1,473,111	\$7,841,311	54	\$6,942,600	\$1,536,720	\$8,479,320
Professor	98	\$15,438,250	\$2,662,271	\$18,100,521	156	\$25,823,744	\$5,054,534	\$30,878,278	156	\$27,033,570	\$5,857,557	\$32,891,127	184	\$32,670,689	\$7,302,385	\$39,973,074
Total	154	\$21,092,320	\$3,693,902	\$24,786,222	225	\$33,671,144	\$6,673,463	\$40,344,607	233	\$35,987,270	\$7,941,824	\$43,929,094	275	\$43,439,989	\$9,657,454	\$53,097,443

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

	2013-14				2014-15				2015-16				2016-17			
Rank	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total
Assistant Professor	8	1	4	13	3	4	9	16	4	5	17	26	5	12	20	37
Associate Professor	17	10	16	43	8	27	18	53	7	10	34	51	4	17	33	54
Professor	46	14	38	98	34	62	60	156	29	48	79	156	33	44	107	184
Total	71	25	58	154	45	93	87	225	40	63	130	233	42	73	160	275

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

Disciplinary Group	2013-14				2014-15				2015-16				2016-17			
	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment	Headcount	Min. of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Biological Sciences	34	\$7,056	\$28,879	\$61,200	38	\$6,159	\$28,359	\$63,000	45	\$7,000	\$29,046	\$66,900	57	\$6,000	\$30,960	\$74,600
Engineering	41	\$7,500	\$15,400	\$39,300	102	\$7,700	\$31,471	\$64,900	105	\$8,600	\$38,837	\$80,100	114	\$3,900	\$40,822	\$84,900
Information and Computer Science	9	\$19,330	\$36,728	\$54,750	8	\$27,766	\$45,143	\$58,268	9	\$14,209	\$41,324	\$63,001	13	\$14,168	\$41,910	\$68,014
Management	2	\$13,500	\$16,100	\$18,700	6	\$13,800	\$18,950	\$27,800	7	\$15,000	\$23,214	\$37,500	10	\$10,000	\$25,480	\$54,200
Marine Sciences	8	\$7,100	\$14,850	\$26,100	12	\$9,400	\$17,075	\$26,900	7	\$14,100	\$20,771	\$28,300	6	\$10,200	\$18,650	\$28,700
Other*	6	\$12,260	\$27,459	\$55,000	6	\$13,407	\$30,245	\$55,000	8	\$14,397	\$27,754	\$58,000	11	\$5,500	\$33,512	\$76,700
Physical Sciences	24	\$8,300	\$27,777	\$58,900	25	\$9,300	\$31,527	\$60,700	25	\$12,200	\$37,106	\$79,100	32	\$7,900	\$30,831	\$80,500
Public Health	25	\$8,910	\$28,307	\$43,950	22	\$9,180	\$29,613	\$49,020	24	\$10,000	\$30,519	\$51,100	22	\$15,000	\$35,355	\$61,900
Social Sciences	5	\$10,000	\$15,451	\$26,775	6	\$8,707	\$14,160	\$22,100	3	\$6,100	\$11,167	\$19,300	10	\$7,800	\$19,446	\$31,500
Total	154				225				233				275			

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

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

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

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

Fund Type	2013-14		2014-15		2015-16		2016-17	
	Amount	% of Total	Amount	% of Total	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$3,133	0.1%	\$28,000	0.4%	\$42,500	0.5%	\$0	0.0%
Federal C&G Funds	\$1,788,098	48.8%	\$3,525,595	52.8%	\$3,758,122	47.3%	\$4,938,372	51.1%
Federal Indirect Cost Recovery Funds	\$11,534	0.3%	\$2,166	0.0%	\$0	0.0%	\$0	0.0%
Gift Funds	\$302,904	8.3%	\$1,199,594	18.0%	\$1,353,225	17.0%	\$1,023,559	10.6%
Opportunity Funds	\$181,973	5.0%	\$86,672	1.3%	\$0	0.0%	\$0	0.0%
Patent Funds	\$0	0.0%	\$0	0.0%	\$21,223	0.3%	\$0	0.0%
Private C&G Funds	\$906,674	24.7%	\$729,327	10.9%	\$1,685,394	21.2%	\$1,901,055	19.7%
Self-Supporting and Prof. Degree Fees	\$79,423	2.2%	\$159,800	2.4%	\$237,300	3.0%	\$407,334	4.2%
State C&G funds	\$166,129	4.5%	\$112,500	1.7%	\$105,174	1.3%	\$103,253	1.1%
Summer Session Fees	\$7,842	0.2%	\$8,742	0.1%	\$8,601	0.1%	\$63,049	0.7%
Other Allowable Funds	\$217,814	5.9%	\$821,066	12.3%	\$730,286	9.2%	\$1,220,832	12.6%
Total	\$3,665,524	100.0%	\$6,673,462	100.0%	\$7,941,825	100.0%	\$9,657,454	100.0%

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

2013-14

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

2014-15

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

2015-16

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

2016-17

Disciplinary Group	External Start-up Funds	Federal C&G Funds	Federal Indirect Cost Recovery Funds	Gift Funds	Opportunity Funds	Patent Funds	Private C&G Funds	Self-Supporting and Prof. Degree Fees	State C&G funds	Summer Session Fees	Other Allowable Funds	Grand Total
Biological Sciences	\$0	\$1,179,869	\$0	\$2,997	\$0	\$0	\$277,798	\$0	\$0	\$11,290	\$292,770	\$1,764,724
Engineering	\$0	\$2,266,163	\$0	\$930,728	\$0	\$0	\$904,306	\$0	\$103,253	\$0	\$449,256	\$4,653,707
Information and Computer Science	\$0	\$279,454	\$0	\$20,515	\$0	\$0	\$236,047	\$0	\$0	\$411	\$8,405	\$544,831
Management	\$0	\$13,500	\$0	\$0	\$0	\$0	\$0	\$237,200	\$0	\$0	\$4,100	\$254,800
Marine Sciences	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$111,900	\$111,900
Other*	\$0	\$102,852	\$0	\$0	\$0	\$0	\$44,655	\$170,134	\$0	\$0	\$50,995	\$368,637
Physical Sciences	\$0	\$557,516	\$0	\$34,548	\$0	\$0	\$295,931	\$0	\$0	\$0	\$98,600	\$986,595
Public Health	\$0	\$449,218	\$0	\$17,500	\$0	\$0	\$87,210	\$0	\$0	\$42,069	\$181,806	\$777,803
Social Sciences	\$0	\$89,800	\$0	\$17,271	\$0	\$0	\$55,106	\$0	\$0	\$9,279	\$23,000	\$194,456
Total	\$0	\$4,938,372	\$0	\$1,023,559	\$0	\$0	\$1,901,053	\$407,334	\$103,253	\$63,049	\$1,220,832	\$9,657,454

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

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

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

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

Appendix E: NSTP/GCCP 4 Year Compilation of Key Indicators

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

Discipline	Two Years Prior to Program: Average of 2011-12 and 2012-13		2013-14		2014-15		2015-16		2016-17	
	FTE of 2013-14 Enrolled Faculty*	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	30.9	219.1	32.2	175.2	30.1	309.7	37.1	321.9	43.8	271.1
Engineering	37.9	168.0	40.3	202.6	85.2	233.8	90.2	205.3	98.3	224.2
Information and Computer Science	8.9	149.9	9.0	195.4	8.0	171.7	9.0	224.7	13.0	223.4
Management	2.0	85.6	2.0	94.0	5.1	143.1	6.3	174.6	7.7	228.4
Marine Sciences	5.5	51.6	5.8	86.7	4.4	111.0	0.7	225.4	1.0	160.8
Other*	5.5	161.0	5.8	174.2	5.7	176.1	7.0	175.0	9.3	230.6
Physical Sciences	22.0	181.2	24.0	197.9	21.8	268.2	21.4	185.8	28.1	225.4
Public Health	18.8	100.9	19.0	88.1	19.0	61.2	23.0	93.8	25.0	48.7
Social Sciences	4.9	291.1	4.5	309.1	4.2	492.2	2.1	425.3	8.1	288.0
All NSTP/GCCP Enrolled Faculty	136.3	169.5	142.5	175.8	183.6	228.4	196.8	213.4	234.3	216.6

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

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

Discipline	Two Years Prior to Program: Average of 2011-12 and 2012-13		2013-14		2014-15		2015-16		2016-17	
	FTE of 2013-14 Non-Enrolled Faculty*	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE	FTE of Non- Enrolled Faculty	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	176.5	308.3	178.3	297.7	175.9	266.2	166.6	254.0	195.3	205.7
Engineering	141.5	233.2	142.4	260.9	280.4	239.6	290.5	258.0	324.1	231.0
Information and Computer Science	28.7	209.8	27.6	250.0	28.5	337.5	46.2	266.3	54.9	352.5
Management	10.9	202.5	12.8	170.5	10.2	204.5	9.7	231.5	12.5	209.1
Marine Sciences	12.5	272.8	17.1	227.2	14.7	272.6	18.3	244.4	6.4	218.6
Other*	66.8	322.8	61.7	339.2	83.1	331.8	95.1	253.4	105.8	234.9
Physical Sciences	202.5	282.8	205.2	300.3	303.0	252.6	291.6	206.9	293.8	238.6
Public Health	43.7	134.4	41.7	129.6	38.5	95.9	45.2	86.8	62.4	71.9
Social Sciences	70.4	361.0	72.5	315.2	50.7	256.4	46.7	392.4	120.1	326.8
All Non-Enrolled Faculty, Participating Depts.	753.6	277.6	759.2	281.9	985.1	254.3	1,009.9	240.6	1,175.3	235.8

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

Notes: "Other" includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian Languages and Cultures, Germanic Languages, and Visual Arts
The distribution of faculty by discipline changed notably in 2014-15 with the addition of the School of Engineering and the Division of Physical Sciences at UCLA.