

Negotiated Salary Trial Program

Annual Report for Year Three (July 2015 - June 2016)

Executive Summary

In June 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 presents data on faculty participation from each campus as well as data on use and effectiveness of the program compared to year two and in some cases to the first two years. Data presented in this and subsequent annual reports, as well as a comprehensive report in the program's fourth year, will be used to assess the program's efficacy.

In its third year, 233 faculty enrolled in NSTP. This represents an increase of eight over the previous year. The negotiated salary component for these 233 faculty members was \$7.9M; \$1.2M higher than the 2014-15 program which enrolled 225 faculty. As in the previous year, the program was most heavily used by faculty in engineering (105), biological sciences (45), public health (24), and physical sciences (25). There was representation from a wide range of other disciplines, including arts, education, marine sciences and social sciences. Teaching data from 2015-16 and previous years demonstrate that teaching loads are not negatively affected by faculty participation in the program.

Comparing the 2015-16 faculty survey responses to the prior year's responses, the results were very similar. In both years, 96% of participants in the program agreed with the statement that NSTP was an "asset to the university." The top five reasons for participating in the program were the same in the second and third 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 decreased slightly, especially among those doing the day-to-day administration of the program; administrators responded less positively to these statements: 1) "the program is a positive asset to the University", and 2) "the program's benefits outweighed the administrative burden". However, more 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.

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."

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 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, including — in year four — a comprehensive report on the first four years of the trial. Year one reporting included both an interim and an annual report; the second year report and this third year report include all elements of those two reports in a single report.

II. Faculty Participation and Demographics, 2015-16

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 in both years, 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 and one in 2015-16 (Humanities), making a total of five.

Figure 1 provides detail on the division/school/college NSTP participation. In 2015-16, one new division (Health Sciences) and three new departments at UC Irvine participated, while one division (Social Sciences) and three departments dropped out. The net was no change in the number of departments or divisions. At UCLA one new division (Humanities) and two new departments participated, but two departments dropped out, for a net increase of one division but no change in the number of departments. UC San Diego had one new department. Faculty participation increased by eight; from 225 in 2014-15 to 233 in 2015-16. Of the 233, 56 were new to the program. Seventy-nine percent of faculty participants from 2014-15 (177 of 225) continued in 2015-16.

Faculty in schools where the 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 Health Sciences Compensation Plan.

Figure 1
Campus Participation in NSTP by Divisions/Schools/Colleges and Department
2015-16 with Differences from 2014-15 Program

Category	2015-16			Difference from 2014-15		
	Irvine	Los Angeles	San Diego	Irvine	Los Angeles	San Diego
Divisions/Schools/Colleges Participating	8	5	8	0	1	0
Total Campus Divisions/Schools/Colleges	14	13	8	0	0	0
Participating Divisions/Schools/Colleges as a Percentage of Total Campus	57%	38%	100%	0%	7%	0%
Departments Participating	16	20	16	0	0	1
Total Campus Departments	50	66	32	0	0	0
Participating Departments as a Percentage of Total Campus	32%	30%	50%	0%	0%	3%

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, Health Sciences (pharmaceutical sciences).

UCLA: Engineering, Humanities, Life Sciences, Physical 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. At UC San Diego, the Division of Biology was considered a division and department through 2013-14. Although there are now four departments within the division they are aggregated under the label "Biological Sciences" for comparison purposes.

Campus participation profiles (**Figure 2a** [UC Irvine], **2b** [UCLA], and **2c** [UC San Diego]) provide headcounts of the faculty who have enrolled in 2015-16, and provide differences from 2014-15. The figures also display the percentages of enrolled faculty by department, ranging from a low of 3.1% to a high of 62.5%. 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 233 faculty enrolled, 95 (41%) are at UC San Diego. All but three enrolled faculty members hold academic year (9-month) appointments.

Figure 2a
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC Irvine
2015-16 with Differences from 2014-15 Program

Campus	School/Division/College	Department Name	2015-16				Difference from 2014-15
			Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty
Irvine	BIOLOGICAL SCIENCES	Developmental & Cell Bio.	7	14.6%	22	31.8%	2
		Ecology & Evolutionary Bio.	1	2.1%	30	3.3%	0
		Neurobiology & Behavior	8	16.7%	22	36.4%	2
	EDUCATION	Education	1	2.1%	24	4.2%	0
	ENGINEERING	Biomedical Engineering	2	4.2%	16	12.5%	0
		Civil & Environmental Engr	2	4.2%	23	8.7%	2
		Electrical Engr & Computer Sci	6	12.5%	32	18.8%	2
		Mechanical & Aerospace Engr	2	4.2%	24	8.3%	0
	INFORMATION AND COMPUTER SCIENCE	Computer Science	6	12.5%	39	15.4%	-2
		Informatics	3	6.3%	17	17.6%	3
	PHYSICAL SCIENCES	Earth System Science	1	2.1%	22	4.5%	0
		Mathematics	2	4.2%	32	6.3%	-1
		Physics & Astronomy	2	4.2%	41	4.9%	-1
	PUBLIC HEALTH*	Public Health	3	6.3%	13	23.1%	0
	SOCIAL ECOLOGY	Psychology & Social Behavior	1	2.1%	20	5.0%	0
	HEALTH SCIENCES	Pharmaceutical Sciences	1	2.1%	10	10.0%	1
Total			48	100.0%	387	12.4%	

*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
2015-16 with Differences from 2014-15 Program

Campus	School/Division/College	Department Name	2015-16				Difference from 2014-15
			Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty
UCLA	ENGINEERING	Bioengineering Department	3	3.3%	10	30.0%	1
		Chemical Engineering	6	6.7%	14	42.9%	1
		Civil & Environmental Engr	2	2.2%	17	11.8%	0
		Computer Science	9	10.0%	31	29.0%	0
		Electrical Engineering	16	17.8%	42	38.1%	0
		Mechanical & Aerospace Engr	9	10.0%	33	27.3%	0
	HUMANITIES	Asian Languages & Cultures	1	1.1%	20	5.0%	1
	LIFE SCIENCES	Integrative Bio.& Physiology	3	3.3%	18	16.7%	0
		Molecular, Cell & Develop Bio.	4	4.4%	22	18.2%	1
		Psychology	8	8.9%	56	14.3%	1
	PHYSICAL SCIENCES	Atmospheric & Oceanic Sciences	1	1.1%	14	7.1%	1
		Chemistry & Biochemistry	2	2.2%	47	4.3%	1
		Earth, Planetary & Space Sciences	1	1.1%	25	4.0%	0
		Physics & Astronomy	3	3.3%	58	5.2%	2
		Statistics	1	1.1%	10	10.0%	0
		PUBLIC HEALTH	Biostatistics	7	7.8%	13	53.8%
	Community Health Sciences		2	2.2%	14	14.3%	0
	Environmental Health Sciences		3	3.3%	7	42.9%	1
	Epidemiology		5	5.6%	8	62.5%	1
	Health Policy & Management		4	4.4%	16	25.0%	0
Total			90	100.0%	475	18.9%	

Figure 2c
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC San Diego
2015-16 with Differences from 2014-15 Program

			2015-16				Difference from 2014-15
			Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Department Faculty	Headcount of Enrolled Faculty
Campus	School/Division/College	Department Name					
San Diego	ARTS & HUMANITIES	Visual Arts	1	1.1%	24	4.2%	0
	BIOLOGICAL SCIENCES	Biological Sciences	14	14.7%	73	19.2%	1
	ENGINEERING	Bioengineering	8	8.4%	23	34.8%	-2
		Computer Science	15	15.8%	41	36.6%	-1
		Electrical & Computer Engr	12	12.6%	43	27.9%	1
		Mechanical & Aerospace Engr	7	7.4%	40	17.5%	0
		Nanoengineering	3	3.2%	19	15.8%	2
		Structural Engineering	3	3.2%	22	13.6%	-2
	GLOBAL POL. & STRATEGY*	School of Global Policy & Strategy	3	3.2%	26	11.5%	1
	RADY SCHL. OF MGMT.	Rady School of Management	7	7.4%	26	26.9%	1
	SCRIPPS INSTITUTION OF OCEANOGRAPHY	SIO Department	7	7.4%	89	7.9%	-5
	PHYSICAL SCIENCES	Chemistry & Biochemistry	7	7.4%	50	14.0%	-1
		Physics	5	5.3%	48	10.4%	1
	SOCIAL SCIENCES	Cognitive Science	1	1.1%	21	4.8%	-1
		Political Science	1	1.1%	32	3.1%	1
		Psychology	1	1.1%	23	4.3%	-1
Total			95	100.0%	600	15.8%	

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

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 2014-15, the percentage of women enrolled was slightly less than the percentage of women in the participating departments: 20.4% of enrollees vs. 24% of all faculty in participating units. In 2015-16, women made up 20.6% of enrolled faculty, almost unchanged from the previous year; at the same time, the overall percentage of women in participating departments was also almost unchanged at 24.1% (compared to 24.0% the previous year). The number of enrolled women faculty increased by 2, from 46 in 2014-15 to 48 in 2015-16.

Figure 3
Gender of Enrolled Faculty
Compared to Participating Departmental Faculty
All Three Campuses
2015-16

Gender	2015-16	
	Enrolled Faculty	Overall Population in Participating Departments
Female	20.6%	24.1%
Male	79.4%	75.9%
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; for example, there are only three Native American/American Indian faculty members in the participating departments. The percentage of enrolled faculty who were Chicano(a)/ Latino(a)/ Hispanic increased very slightly from the second year to the third year, from 3.1% to 3.4%, as a result of an increase in headcount from 7 in 2014-15 to 8 in 2015-16.

Figure 4
Race/Ethnicity of Enrolled Faculty
Compared to Participating Departmental Faculty
All Three Campuses
2015-16

Race/Ethnicity	2015-16	
	Enrolled Faculty	Overall Population in Participating Departments
African/African American	1.3%	1.4%
Asian/Asian American	30.0%	22.0%
Chicano(a)/Latino(a)/Hispanic	3.4%	5.1%
Native American/American Indian*	0.0%	0.2%
White/Other	65.2%	71.4%
Total	100.0%	100.0%

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

Figure 5 profiles enrolled faculty and all eligible faculty by rank in participating units. The number of participating Assistant Professors increased by 10 from 2014-15, which substantially increased their representation among participating faculty from 7.1% to 11.2%. Almost 89% of those enrolled are tenured — a decrease from nearly 93% in 2014-15 — with 67.0% of enrolled faculty at the rank of professor, a decrease in percentage from 69.3% in 2014-15. The relative proportions of the three ranks among participating faculty were closer to their proportions in the overall departmental populations in 2015-16 than in the previous year.

Figure 5
Headcount of Enrolled and Participating Faculty by Rank
All Three Campuses
2015-16 & 2014-15

Rank	2015-16				2014-15			
	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	26	11.2%	15.1%	-3.9%	16	7.1%	14.8%	-7.7%
Associate Professor	51	21.9%	17.8%	4.1%	53	23.6%	17.9%	5.7%
Professor	156	67.0%	67.1%	-0.2%	156	69.3%	67.3%	2.0%
	233	100.0%	100.0%		225	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 three (to 225 from 233), the total amount dedicated to NSTP salary increments increased from \$6,673,463 to \$7,941,825. The average increment also increased from \$29,660 in 2014-15 to \$34,251 in 2015-16. The various breakdowns of salary information below — by campus, rank, and discipline — provide detail on the 2015-16 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 4% 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 plus off-scale salary, if any, (academic or fiscal) or the above scale salary.

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 two. 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
2015-16 with Differences from 2014-15 Program

Campus	2015-16			Positive or negative differences in amounts from 2014-15		
	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	\$ 6,249,400	\$ 1,439,625	\$ 7,689,025	\$ 331,100	\$ 71,586	\$ 402,686
Los Angeles	\$ 14,650,500	\$ 3,364,700	\$ 18,015,200	\$ 2,137,056	\$ 608,876	\$ 2,745,932
San Diego	\$ 15,087,370	\$ 3,137,500	\$ 18,224,870	\$ (152,030)	\$ 587,900	\$ 435,870
Total	\$ 35,987,270	\$ 7,941,825	\$ 43,929,095	\$ 2,316,126	\$ 1,268,362	\$ 3,584,488

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

As shown in **Figure 7**, in 2015-16 there were 130 faculty whose increment was between 21% and 30% of their base salary. This represents an increase of 43 faculty over 2014-15; 39 of the 43 were at San Diego. One hundred thirteen of these individuals (48% of the total number of enrollees on all campuses) earned the maximum (30% of base salary). This represents an increase of 44 faculty over 2014-15, when there were 69 (31% of the total) who earned the maximum.

Figure 7
Headcount by Percent of Negotiated Salary Increment to Base Salary* by Campus
2015-16 with Differences from 2014-15 Program

Campus	2015-16				Positive or negative differences in amounts from 2014-15			
	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total
Irvine	2	18	28	48	-2	5	0	3
Los Angeles	15	22	53	90	2	1	7	10
San Diego	23	23	49	95	-5	-36	36	-5
Total	40	63	130	233	-5	30	43	8

*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 \$5.9M of the \$7.9M in the NSTP negotiated increment was paid to these full professors. Specifically, the 156 professors enrolled in the program have a collective base salary of \$27,033,570 and total negotiated salary increments of \$5,857,557. This is \$803,023 higher than the total negotiated increments of the 156² full professors in the prior year.

Figure 8
Sum of Base Salary*, Negotiated Salary Increment and Total Annual Salary
for Enrolled Faculty by Rank
2015-16 with Differences from 2014-15 Program

Rank	2015-16			Positive or negative differences in amounts from 2014-15		
	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	\$ 2,585,500	\$ 611,156	\$ 3,196,656	\$ 1,074,200	\$ 266,008	\$ 1,340,208
Associate Professor	\$ 6,368,200	\$ 1,473,111	\$ 7,841,311	\$ 32,100	\$ 199,330	\$ 231,430
Professor	\$ 27,033,570	\$ 5,857,557	\$ 32,891,127	\$ 1,209,826	\$ 803,023	\$ 2,012,849
Total	\$ 35,987,270	\$ 7,941,825	\$ 43,929,095	\$ 2,316,126	\$ 1,268,362	\$ 3,584,488

*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
2015-16 with Differences from 2014-15 Program

Rank	2015-16				Positive or negative differences in amounts from 2014-15			
	10% or Less	11% to 20%	21% to 30%	Total	10% or Less	11% to 20%	21% to 30%	Total
Assistant Professor	4	5	17	26	1	1	8	10
Associate Professor	7	10	34	51	-1	-17	16	-2
Professor	29	48	79	156	-5	-14	19	0
Total	40	63	130	233	-5	-30	43	8

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

² Coincidentally, there were 156 full professor participants in both 2014-15 and 2015-16. Of these, 130 were continuing and 26 were new in 2015-16, replacing 26 who stopped participating.

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
2015-16 with Differences from 2014-15 Program

Rank	2015-16				Difference from 2014-15		
	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	26	\$ 82,000	\$ 99,442	\$ 164,600	\$ 2,600	\$ 4,986	\$ 50,900
Associate Professor	51	\$ 98,600	\$ 126,157	\$ 227,600	\$ 16,500	\$ 6,608	\$ 8,700
Professor	156	\$ 106,900	\$ 173,751	\$ 367,900	\$ 14,800	\$ 8,214	\$ 52,700
Total	233						

Rank	2015-16				Difference from 2014-15		
	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	26	\$ 8,600	\$ 23,506	\$ 33,200	\$ (669)	\$ 1,934	\$ (900)
Associate Professor	51	\$ 6,100	\$ 29,098	\$ 64,900	\$ (3,080)	\$ 5,064	\$ 1,900
Professor	156	\$ 7,000	\$ 37,726	\$ 80,100	\$ 841	\$ 5,325	\$ 15,200
Total	233						

Rank	2015-16				Difference from 2014-15		
	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	26	\$ 94,004	\$ 122,948	\$ 191,600	\$ 204	\$ 6,920	\$ 43,800
Associate Professor	51	\$ 109,400	\$ 155,255	\$ 281,300	\$ 15,000	\$ 11,672	\$ 8,200
Professor	156	\$ 118,900	\$ 211,477	\$ 415,700	\$ (800)	\$ 13,539	\$ 59,524
Total	233						

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

Figure 11
Minimum, Average and Maximum of Base Salary*, Negotiated Salary Increment
and Total Annual Salary for Enrolled Faculty by Discipline
All Three Campuses
2015-16 with Differences from 2014-15 Program (revised disciplinary groupings)³

Disciplinary Group	2015-16				Difference from 2014-15		
	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	45	\$ 82,000	\$ 136,313	\$ 367,900	\$ 2,600	\$ (3,550)	\$ 52,700
Engineering	105	\$ 85,700	\$ 159,160	\$ 269,800	\$ (6,400)	\$ 5,959	\$ 16,700
Information and Computer Science	9	\$ 113,700	\$ 166,967	\$ 220,700	\$ 4,600	\$ 6,579	\$ 21,600
Management	7	\$ 164,600	\$ 228,471	\$ 293,400	\$ (1,200)	\$ 26,311	\$ 63,200
Marine Sciences	7	\$ 117,100	\$ 185,043	\$ 283,200	\$ 35,500	\$ 27,951	\$ 14,200
Other**	8	\$ 90,000	\$ 155,638	\$ 252,100	\$ (29,500)	\$ (1,705)	\$ 17,400
Physical Sciences	25	\$ 94,400	\$ 158,344	\$ 263,600	\$ 2,200	\$ 5,044	\$ 11,500
Public Health	24	\$ 99,500	\$ 137,258	\$ 225,800	\$ 7,700	\$ 6,965	\$ 20,700
Social Sciences	3	\$ 101,300	\$ 127,833	\$ 153,600	\$ 19,200	\$ 2,750	\$ (51,000)
Total	233						

Disciplinary Group	2015-16				Difference from 2014-15		
	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	45	\$ 7,000	\$ 29,046	\$ 66,900	\$ 841	\$ 687	\$ 3,900
Engineering	105	\$ 8,600	\$ 38,837	\$ 80,100	\$ 900	\$ 7,366	\$ 15,200
Information and Computer Science	9	\$ 14,209	\$ 41,324	\$ 63,001	\$ (13,557)	\$ (3,818)	\$ 4,733
Management	7	\$ 15,000	\$ 23,214	\$ 37,500	\$ 1,200	\$ 3,474	\$ 9,700
Marine Sciences	7	\$ 14,100	\$ 20,771	\$ 28,300	\$ 4,700	\$ 3,696	\$ 1,400
Other**	8	\$ 14,397	\$ 27,754	\$ 58,000	\$ 990	\$ (313)	\$ 3,000
Physical Sciences	25	\$ 12,200	\$ 37,106	\$ 79,100	\$ 2,900	\$ 5,579	\$ 18,400
Public Health	24	\$ 10,000	\$ 30,519	\$ 51,100	\$ 820	\$ 906	\$ 2,080
Social Sciences	3	\$ 6,100	\$ 11,167	\$ 19,300	\$ (2,607)	\$ (2,993)	\$ (2,800)
Total	233						

Disciplinary Group	2015-16				Difference from 2014-15		
	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	45	\$ 94,004	\$ 165,360	\$ 415,700	\$ (7,965)	\$ (2,863)	\$ 59,524
Engineering	105	\$ 94,300	\$ 197,997	\$ 347,100	\$ (20,700)	\$ 13,325	\$ 43,300
Information and Computer Science	9	\$ 147,810	\$ 208,291	\$ 276,201	\$ 5,976	\$ 2,761	\$ 23,733
Management	7	\$ 191,600	\$ 251,686	\$ 315,900	\$ 12,000	\$ 29,786	\$ 66,600
Marine Sciences	7	\$ 131,200	\$ 205,814	\$ 311,500	\$ 37,400	\$ 31,648	\$ 15,600
Other**	8	\$ 104,397	\$ 183,392	\$ 310,100	\$ (35,310)	\$ (2,018)	\$ 20,400
Physical Sciences	25	\$ 122,700	\$ 195,450	\$ 342,700	\$ 20,400	\$ 10,623	\$ 65,400
Public Health	24	\$ 109,500	\$ 167,777	\$ 271,000	\$ 8,520	\$ 7,872	\$ 24,880
Social Sciences	3	\$ 109,400	\$ 139,000	\$ 159,700	\$ 15,000	\$ (243)	\$ (60,750)
Total	233						

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

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

³ The NSTP Annual Report for Year Two (July 2014-June 15) reported data from the divisions of the College of Letters and Sciences at UCLA under the disciplinary group “Letters and Science”. Tables 11 and 13 in this report show data from UCLA Life Sciences under “Biological Sciences”, Physical Sciences under “Physical Sciences” and Humanities under “Other”.

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 47.3% of the total funds used, down 5.5% from 2014-15. Private contracts and grants accounted for 21.2% of the funds, up 10.3 percentage points from 2014-15. Gift funds accounted for 17.0% and other allowable funds for 9.2%, with all other sources accounting for just over 5.0% total.

Figure 12a
Negotiated Salary Increment Source by Fund Type
All Campuses
2015-16 & 2014-15

Fund Type	2015-16		2014-15	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 42,500	0.5%	\$ 28,000	0.4%
Federal C&G Funds	\$ 3,758,122	47.3%	\$ 3,525,595	52.8%
Federal Indirect Cost Recovery Funds	\$ 0	0.0%	\$ 2,166	0.0%
Gift Funds	\$ 1,353,225	17.0%	\$ 1,199,594	18.0%
Opportunity Funds	\$ 0	0.0%	\$ 86,672	1.3%
Patent Funds	\$ 21,223	0.3%	\$ 0	0.0%
Private C&G Funds	\$ 1,685,394	21.2%	\$ 729,327	10.9%
Self-Supporting and Prof. Degree Fees	\$ 237,300	3.0%	\$ 159,800	2.4%
State C&G funds	\$ 105,174	1.3%	\$ 112,500	1.7%
Summer Session Fees	\$ 8,601	0.1%	\$ 8,742	0.1%
Other Allowable Funds	\$ 730,286	9.2%	\$ 821,066	12.3%
Total	\$ 7,941,825	100.0%	\$ 6,673,463	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
2015-16 & 2014-15

Fund Type	2015-16		2014-15	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 0	0.0%	\$ 0	0.0%
Federal C&G Funds	\$ 789,858	54.9%	\$ 834,044	61.0%
Federal Indirect Cost Recovery Funds	\$ 0	0.0%	\$ 2,166	0.2%
Gift Funds	\$ 271,290	18.8%	\$ 177,642	13.0%
Opportunity Funds	\$ 0	0.0%	\$ 86,672	6.3%
Patent Funds	\$ 21,223	1.5%	\$ 0	0.0%
Private C&G Funds	\$ 292,363	20.3%	\$ 224,748	16.4%
Self-Supporting and Prof. Degree Fees	\$ 0	0.0%	\$ 0	0.0%
State C&G funds	\$ 0	0.0%	\$ 0	0.0%
Summer Session Fees	\$ 8,601	0.6%	\$ 8,742	0.6%
Other Allowable Funds	\$ 56,290	3.9%	\$ 34,025	2.5%
Total	\$ 1,439,625	100.0%	\$ 1,368,039	100.0%

Figure 12c
Negotiated Salary Increment Source by Fund Type
UCLA
2015-16 & 2014-15

Fund Type	2015-16		2014-15	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 0	0.0%	\$ 0	0.0%
Federal C&G Funds	\$ 1,797,414	53.4%	\$ 1,550,801	56.3%
Federal Indirect Cost Recovery Funds	\$ 0	0.0%	\$ 0	0.0%
Gift Funds	\$ 495,186	14.7%	\$ 361,077	13.1%
Opportunity Funds	\$ 0	0.0%	\$ 0	0.0%
Patent Funds	\$ 0	0.0%	\$ 0	0.0%
Private C&G Funds	\$ 606,331	18.0%	\$ 295,879	10.7%
Self-Supporting and Prof. Degree Fees	\$ 0	0.0%	\$ 0	0.0%
State C&G funds	\$ 32,774	1.0%	\$ 64,200	2.3%
Summer Session Fees	\$ 0	0.0%	\$ 0	0.0%
Other Allowable Funds	\$ 432,995	12.9%	\$ 483,866	17.6%
Total	\$ 3,364,700	100.0%	\$ 2,755,824	100.0%

Figure 12d
Negotiated Salary Increment Source by Fund Type
UC San Diego
2015-16 & 2014-15

Fund Type	2015-16		2014-15	
	Amount	% of Total	Amount	% of Total
External Start-up Funds	\$ 42,500	1.4%	\$ 28,000	1.1%
Federal C&G Funds	\$ 1,170,850	37.3%	\$ 1,140,750	44.7%
Federal Indirect Cost Recovery Funds	\$ 0	0.0%	\$ 0	0.0%
Gift Funds	\$ 586,750	18.7%	\$ 660,875	25.9%
Opportunity Funds	\$ 0	0.0%	\$ 0	0.0%
Patent Funds	\$ 0	0.0%	\$ 0	0.0%
Private C&G Funds	\$ 786,700	25.1%	\$ 208,700	8.2%
Self-Supporting and Prof. Degree Fees	\$ 237,300	7.6%	\$ 159,800	6.3%
State C&G funds	\$ 72,400	2.3%	\$ 48,300	1.9%
Summer Session Fees	\$ 0	0.0%	\$ 0	0.0%
Other Allowable Funds	\$ 241,000	7.7%	\$ 303,175	11.9%
Total	\$ 3,137,500	100.0%	\$ 2,549,600	100.0%

Figure 13 displays the same fund source information for all three campuses by disciplinary groups. Four disciplinary groups account for 83% 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
2015-16 with Differences from 2014-15 Program (revised disciplinary groupings)

Disciplinary Group	2015-16											
	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 & Comp. Sci.	\$ 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

Disciplinary Group	Difference from 2014-15											
	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	\$ 194,794	\$ (850)	\$ (44,175)	\$ (10,211)	\$ 0	\$ 116,477	\$ 0	\$ (22,200)	\$ 4,826	\$ (34,226)	\$ 229,435
Engineering	\$ (10,500)	\$ 298,052	\$ 0	\$ 34,796	\$ 0	\$ 0	\$ 616,576	\$ 0	\$ 15,445	\$ 0	\$ (109,385)	\$ 844,985
Information & Comp. Sci.	\$ 0	\$ (144,697)	\$ (1,316)	\$ 91,829	\$ (22,550)	\$ 21,223	\$ 66,289	\$ 0	\$ 0	\$ 0	\$ 0	\$ 10,778
Management	\$ 0	\$ 4,500	\$ 0	\$ 5,200	\$ 0	\$ 0	\$ 19,100	\$ 71,900	\$ 0	\$ 0	\$ 0	\$ 62,500
Marine Sciences	\$ 0	\$ (16,300)	\$ 0	\$ 1,350	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ (54,150)	\$ (69,100)
Other*	\$ 0	\$ 15,387	\$ 0	\$ 0	\$ (15,005)	\$ 0	\$ 0	\$ 5,600	\$ 0	\$ 0	\$ 19,584	\$ 25,566
Physical Sciences	\$ 0	\$ (128,627)	\$ 0	\$ 50,431	\$ (38,906)	\$ 0	\$ 183,255	\$ 0	\$ 16,800	\$ 0	\$ 56,527	\$ 139,480
Public Health	\$ 0	\$ 73,854	\$ 0	\$ 0	\$ 0	\$ 0	\$ (7,431)	\$ 0	\$ (17,371)	\$ 1,055	\$ 30,870	\$ 80,976
Social Sciences	\$ 0	\$ (64,435)	\$ 0	\$ 14,200	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ (6,022)	\$ 0	\$ (56,257)
Total	\$ 14,500	\$ 232,527	\$ (2,166)	\$ 153,631	\$ (86,672)	\$ 21,223	\$ 956,068	\$ 77,500	\$ (7,326)	\$ (141)	\$ (90,781)	\$ 1,268,362

* "Other" includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian Languages and Cultures 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. See the reports from the campus EVC/Ps for more information on this point.

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, the participating schools at UCLA have managed 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).

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
2015-16

Campus	2015-16					Total
	3 months	2 months	1 month	No Summer Salary	N/A - Fiscal Year Appt.	
Irvine	48	0	0	0	0	48
Los Angeles	89	0	0	1	0	90
San Diego	84	7	1	0	3	95
Total	221	7	1	1	3	233

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 12% of NSTP enrollees in 2015-16, a decrease of 4% from 2014-15, 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 2015-16 program, the average amount was \$11,796, a 17% increase over the previous year average of \$10,100.

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 three report, data was collected for 2015-16 to compare to the previous two years, 2013-14 and 2014-15. The year one report compared data from 2013-14 to that from the two prior years (2011-12 and 2012-13), and the year two report compared data from 2014-15 to that from 2012-13 and 2013-14.

Each campus collected teaching data for all departments that had participants 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 213 student credit hours (SCH) in the 2015-16 year versus 209 in the prior two years, an increase of 2% (See [Figure 15](#)). By comparison, non-participating faculty in the same units decreased their teaching load slightly from an average of 248 SCH in 2013-14 and 2014-15 to 241 SCH in 2015-16 (See [Figure 16](#)).

Figure 15
NSTP Enrollees
Teaching Workload, Graduate and Undergraduate
All Three Campuses
Includes Fall, Winter and Spring Quarters Only
2013-14 & 2014-15 to 2015-16

Discipline	Two Year Average of Three Quarters Average 2013-14 and 2014-15		Three Quarters Average 2015-16		Percent change to current program year (2015-16) from prior two years (2013-14 and 2014-15)	
	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	32.1	298.9	37.1	321.9	15%	8%
Engineering	90.5	202.7	90.2	205.3	0%	1%
Information and Computer Science	8.0	186.6	9.0	224.7	13%	20%
Management	4.5	135.1	6.3	174.6	42%	29%
Marine Sciences	5.3	96.8	0.7	225.4	-87%	133%
Other*	5.8	185.2	7.0	175.0	19%	-6%
Physical Sciences	18.1	290.8	21.4	185.8	19%	-36%
Public Health	18.5	63.0	23.0	93.8	24%	49%
Social Sciences	3.2	252.4	2.1	425.3	-35%	68%
NSTP Units Overall	186.0	209.0	196.8	213.4	6%	2%

* "Other" includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian 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
2013-14 & 2014-15 to 2015-16

Discipline	Two Year Average of Three Quarters Average 2013-14 and 2014-15		Three Quarters Average 2015-16		Percent change to current program year (2015-16) from prior two years (2013-14 and 2014-15)	
	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	173.3	276.1	166.6	254.0	-4%	-8%
Engineering	289.1	240.1	290.5	258.0	1%	7%
Information and Computer Science	45.6	259.6	46.2	266.3	1%	3%
Management	11.0	181.3	9.7	231.5	-12%	28%
Marine Sciences	14.8	264.7	18.3	244.4	23%	-8%
Other*	89.6	261.6	95.1	253.4	6%	-3%
Physical Sciences	284.9	235.0	291.6	206.9	2%	-12%
Public Health	37.0	108.4	45.2	86.8	22%	-20%
Social Sciences	47.2	353.3	46.7	392.4	-1%	11%
NSTP Units Overall	992.4	248.0	1,009.8	240.6	2%	-3%

* "Other" includes Education, Global Policy and Strategy, Pharmaceutical Sciences, Psychology and Social Behavior, Asian 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 would not be 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. While the direct evidence cannot be assembled, participating faculty were asked in the on-line survey, "has the program affected your support of postdoc/graduate students?" Almost all participants (over 98%) indicated either no change or an increase in postdoc /graduate student support as a result of NSTP participation. Only 1.2% of respondents (2 out of 164) indicated postdoc and graduate student support decreased as a result of NSTP participation.

The executive vice chancellors/provosts commented on these issues of faculty responsibilities in their campus reports. 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.

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 three, the surveys were administered in June and July 2016 (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 (84%), augmenting salary (54%), allowing the faculty member to spend more time on research (46%), and making it possible to turn down an outside offer (34%). Similar to the previous year, over 98% 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, none had indicated that their teaching load decreased as a result of program participation.

Sixty-three percent of the non-participants surveyed felt that the program was a positive asset to the University⁴. Among the concerns expressed by non-participants with misgivings about the program were the following: the possibility that participants would reduce their support of graduate students; the potential negative effect of pay disparities on departmental climate; a perception of unfairness because extramural funding is more available to certain academic disciplines; the possibility that the ability to obtain grant funding would be valued over general academic merit; and concerns that the University would use the NSTP to reward individual faculty members instead of working to improve faculty salaries overall. Ten percent of non-participants were concerned that the program could cause conflicts in their departments.

The survey of those administering the NSTP was distributed to a wide range of those involved in the implementation of the program, from provosts and deans to department CAOs and MSOs. Those at higher levels of authority — deans, for example — had the highest level of satisfaction, while those who dealt with the transactional details were more likely to feel that the benefits to faculty did not outweigh administrative costs. Administrators expressed satisfaction with the program. Seventy-two percent of all respondents believed the NSTP to be an asset to the University. These views were held most strongly by the executive vice chancellors/provosts/vice provosts/associate vice provosts (100%), deans and college provosts (93%), and department chairs (87%).

Compared to the past year, administrators cited slightly less satisfaction with the program with respect to its administrative burden; 73% of respondents believed the benefits of the program outweighed its administrative burden compared to 78% in the prior year.

With respect to recruitment and retention, the administrative respondents reported that NSTP was used more often in recruitment in 2015-16. Forty-five percent of respondents cited it being a valuable tool in recruitment, an 8% increase from the prior year. Thirty-seven percent reported that the NSTP was a valuable tool in retention, only slightly less than the 39% who reported NSTP's value in retention the previous year.

IX. Campus Reports from Executive Vice Chancellors/Provosts

This “Campus Reports from Executive Vice Chancellors/Provosts” section of the report is responsive to Taskforce direction that the executive vice chancellors/provosts (EVC/Ps) report to the Provost annually with an administrative assessment of the program (see 3.2.2 in [Appendix B](#)).

As a part of the standard annual reporting process, each campus executive vice chancellor/provost was asked to provide “an administrative assessment of relevant issues, including a review of the personnel process at all levels.” Vice Provost Susan Carlson emailed each campus a set of thirteen questions on the NSTP program, with questions drawn from the metrics table developed by the 2013 Taskforce. The questions covered the development and use of the contingency fund; the impact of the NSTP on recruitment and retention of faculty; and the effect of the program on teaching, research

⁴ 2015-16 was the first year that non-participants were specifically asked whether they felt the program was a positive asset to the University

productivity, research funding, postdoc and graduate student support, academic review, allocation of FTEs, and department climate.

In addition to an overall response to the survey from the Associate Vice Chancellor of Academic Personnel, UC San Diego submitted responses from each participating division as well as the results of a faculty survey conducted by the Jacobs School of Engineering.

For the 2015-16 program year, EVC/Ps reported direct evidence of the positive impacts of the NSTP across several areas, including recruitment and retention, support of graduate students and postdocs, and faculty morale. In terms of faculty recruitment, all campuses reported that the NSTP was a contributing factor in one or more faculty recruitments. For example, UC San Diego reported that the program was a factor in five of seven successful hires in one division alone. All three of the campuses reported that there were no changes in recruitment priorities or FTE allocations as a result of NSTP.

On the subject of faculty retention, all three campuses reported that the NSTP had a positive impact. At UC Irvine, 3 NSTP participants had retentions in the past 2 years, and 12⁵ participants had retentions in the past 5 years. UC San Diego reported a 50% drop in pre-emptive retention cases compared to the year before the NSTP pilot began. UCLA reported a reduction in the number of requests for a Health Sciences Compensation Plan split appointment, from both the Physical Sciences and Life Sciences divisions.

UC San Diego and UCLA both reported seeing no evidence of negative impact on the support of postdocs and graduate students, and UCLA mentioned that the program has had a positive effect on support of postdocs/graduate students in the School of Public Health. Data that UC Irvine has collected on the number of postdocs, graduate students and research staff supported by NSTP participants before and after the start of the pilot program indicate an increase of 11 FTE of research staff supported by participating faculty.

Two campuses reported that the NSTP had an overall positive impact on faculty morale while one campus reported that they are “not aware of any strong cross campus opposition” to the program.

Campuses reported some improvements in the processes of application and evaluation in the third year, but some room for improvement still remains. UC Irvine reported that new, campus-designed application forms reduced administrative burden on faculty and staff, but that the July 1 2015 salary adjustment process, which occurred after NSTP applications had been completed and which necessitated revised calculations, added to administrative workload. UCLA reported an increased staff workload to administer the program in the third year. And UC San Diego reported that “the fund managers seemed to better understand the budgeting process”, leading to fewer changes in requests; however, “the approval process remained laborious”.

⁵ Revised data received after the initial EVC/P response from UC Irvine, which noted 23 retentions

The overall assessments indicate that, from the administrative point of view, the program is working as designed, with some continuing concerns about administrative burden. UC Irvine's refinements to its participant application forms for 2015-16 have streamlined the collection of data required for assessment. UC San Diego stated that the campus remains enthusiastic about NSTP with about 10% of all General Campus and Scripps Institution ladder rank faculty participating. UCLA called the program "a resounding success" and advocated for the program to continue beyond the trial period.

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

X. Cross-campus Discussion and Next Steps

This report on the program's third 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 will present a report to Provost and Executive Vice President Aimée Dorr in June 2017 so that planning for continuation or termination of the program can occur during the fifth year of the trial.

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, 2015-16
- E. Executive Vice Chancellor Response Memos, 2016 (UC Irvine, UCLA, UC San Diego)

Appendix A: NSTP Basic Program Document

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.

Appendix B: NSTP Goals and Quantitative and Qualitative Metrics Documents

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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

Appendix C: Data Collection for NSTP - Clarifying Metrics

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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 2015-16 Faculty and Administrator Survey Results

NSTP 2015-16 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 2015-16 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; results of those surveys are available in the first and second annual reports. During the administration of the third annual survey, the questions in the survey remained the same as in the first and second years. On June 1, 2016, the faculty web-based survey was sent to 1,522 faculty members in units participating in the third year of the program on the Irvine, Los Angeles, and San Diego campuses. Four hundred eleven faculty members took the survey, yielding an overall response rate of approximately 27%. Response rates varied substantially between program participants and non-participants. Among NSTP participants, 164 of the 233 individuals surveyed responded to at least one of the survey questions, yielding a response rate of 70%. Two hundred forty-seven of the 1,289 surveyed non-participants took part in the survey, resulting in a response rate of approximately 19%.

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

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 2015-16 academic year?	All Respondents
2. Have you applied to participate in the program in academic year 2016-17?	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 2015-16 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 (2015-16)?	Participants Only
7. Have you modified your SERVICE ACTIVITIES in the past year (2015-16)?	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 2015-16 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

NSTP 2015-16 Faculty Survey Response Summary

Faculty participants in this third 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 – 68% and 76%, respectively. A large majority – 88% – reportedly reapplied for 2016-17, and 96% of program participants indicated that the program was a “positive asset to the University.” In contrast, 92% of non-participants did not apply for 2016-17, and only 63% indicated that the program was a “positive asset to the University.”¹

The top five reasons faculty gave for participating in the program were: 1) to bring my salary to market rates (84%), 2) to augment my salary (54%), 3) to allow me to spend more time on my University research (46%), 4) to make it possible to turn down an outside offer (34%), and 5) to allow me to reduce outside consulting as additional income (32%).

Comments from program participants also indicate general satisfaction with the program. The final question of the survey was: “Any additional comments about the program?” More than two-thirds 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 compete for top faculty, offering more opportunities for retention incentives, providing an additional incentive to perform research, and allowing faculty to spend less time consulting and more time with students.

Program participants were less satisfied with the administrative process. Thirty-percent of the participants’ comments voiced concerns, most commonly about the burdensome application process; restrictive funding deadlines; and excessive contingency fund requirements. A small minority of comments also reflected concerns about how NSTP compensation factored into retirement benefits.

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. None of the program participants indicated that they reduced their teaching load or service activities as a result of the program. Two faculty members indicated that they reduced their support for graduate students and postdocs as a result of participation in the program. Summary responses to the survey are below.

NSTP 2015-16 Faculty Survey Response Summary Relative to Prior Years

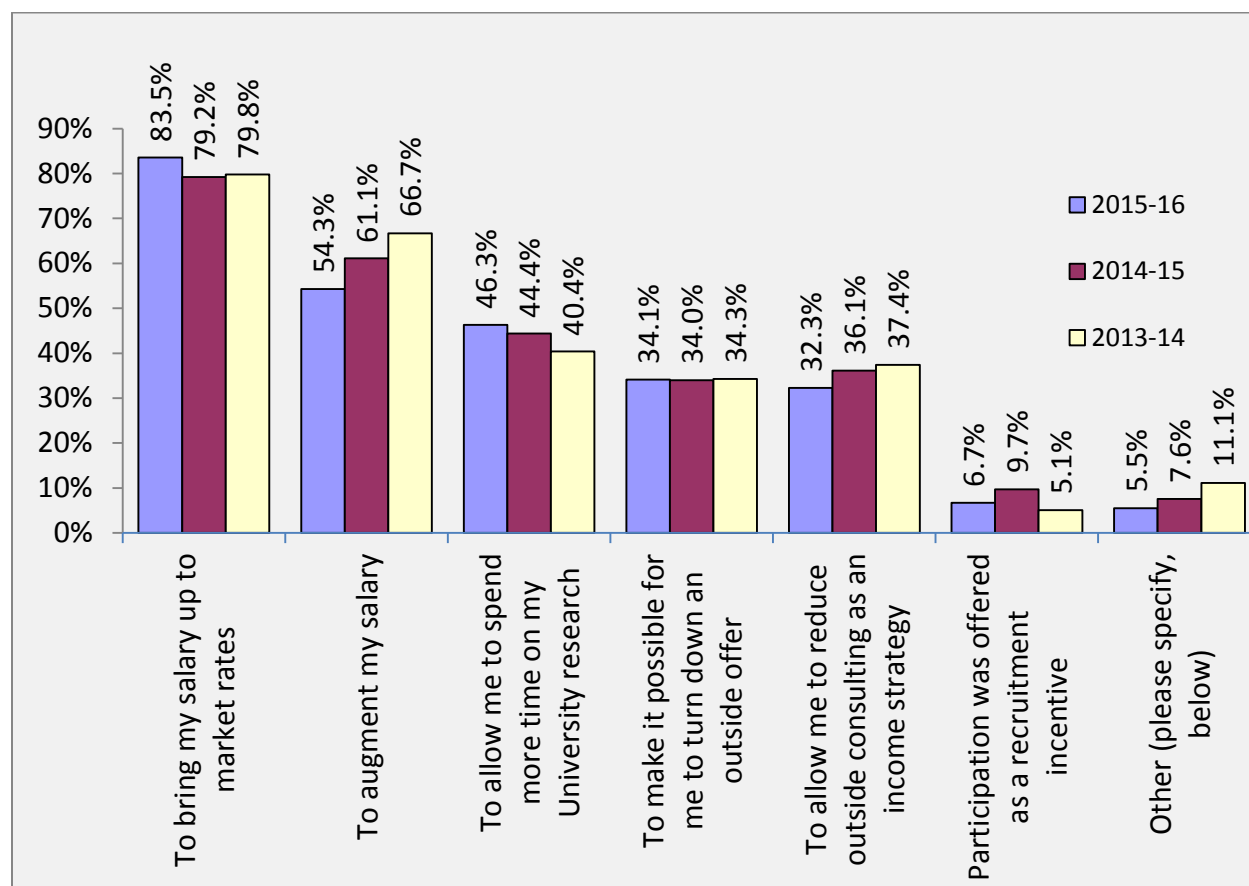
Compared to the two prior years, the third year survey results are largely the same. In all three years, 96% of participants in the program agreed that it was an asset to the university. The top five reasons

¹ 2015-16 was the first year that Non-Participants were asked whether they felt the program was a positive asset to the University

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 three 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”. Since the first year of the pilot, bringing salary up to market rates has increased in percentage as a motivation for participating (from 78% to 84%), as has allowing faculty to spend more time on University research (40% to 46%). At the same time, augmenting salary has decreased as a motivation (from 67% to 54%), as has reducing outside consulting (37% to 32%).

Figure 1.

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

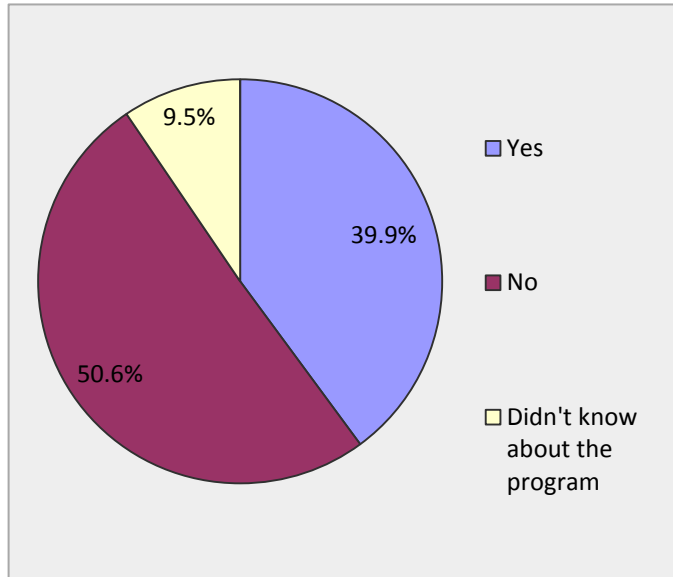


In the current year, participants were less satisfied with the application process than in the prior year. Twelve percent of individuals in 2015-16 were unsatisfied with the application process compared to 9% in 2014-15. Other findings include the fact that the NSTP program’s use as a recruitment incentive decreased from 10% in 2014-15 to 7% in 2015-16.

Non-Participant sentiments are largely the same as those expressed last year, as well. A notable difference is that non-participants were more aware of the program compared to the prior year. Twenty-six percent of non-participants were unaware the program in the current year compared to 31% of participants in 2014-15. Additionally, in 2014-15 30% 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 only 11%.

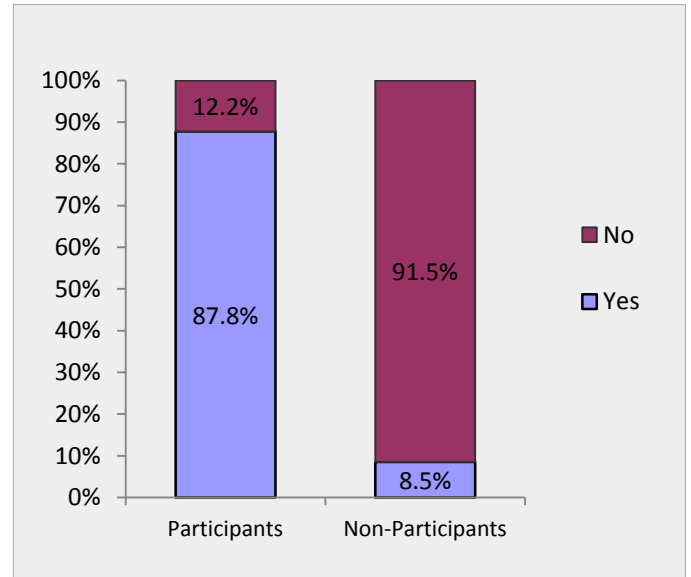
Question 1.

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 2015-16 academic year? (All Respondents)



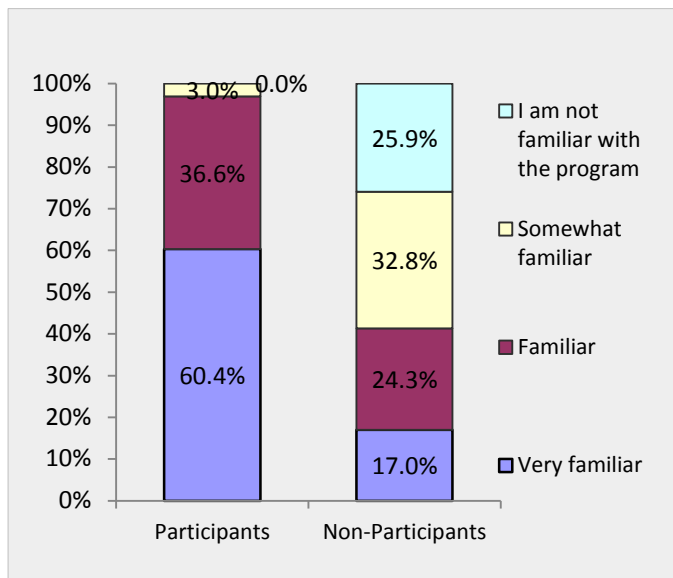
Question 2.

Have you applied to participate in the program in academic year 2016-17? (All Respondents)



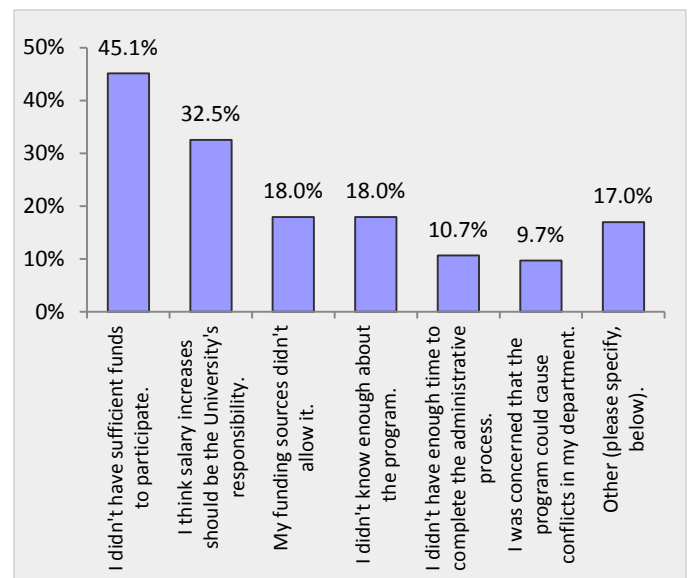
Question 3.

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



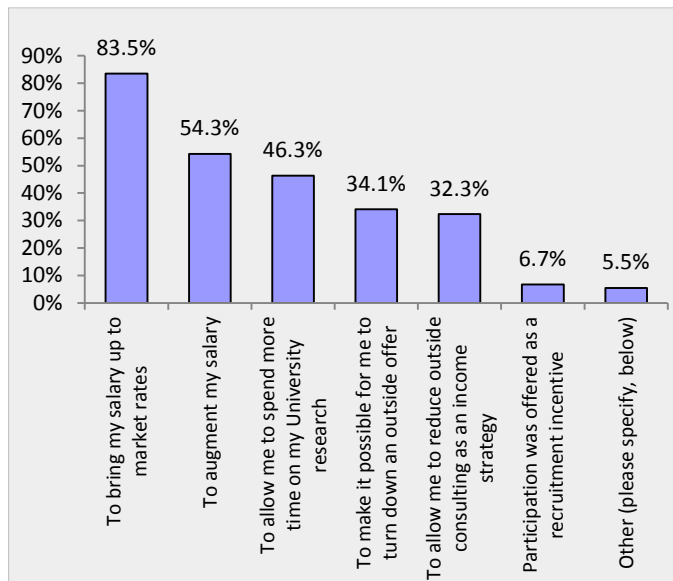
Question 4.

Please explain why you did not participate in the program in the 2015-16 academic year. Check all that apply. (Non-Participants Only)



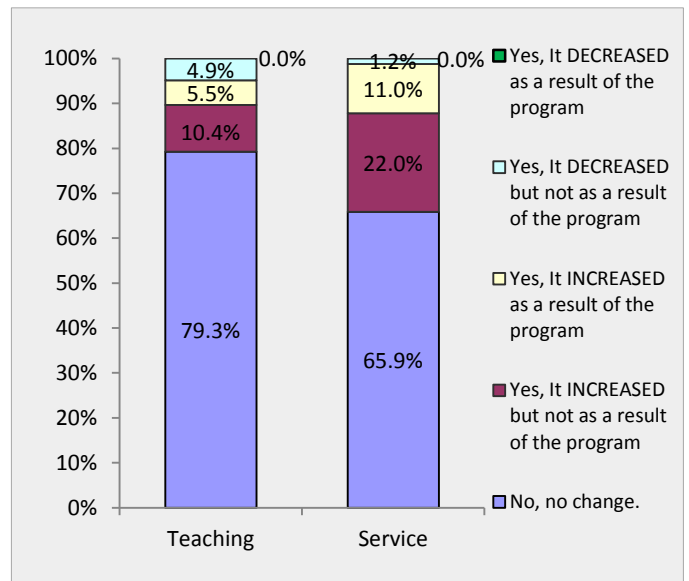
Question 5.

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



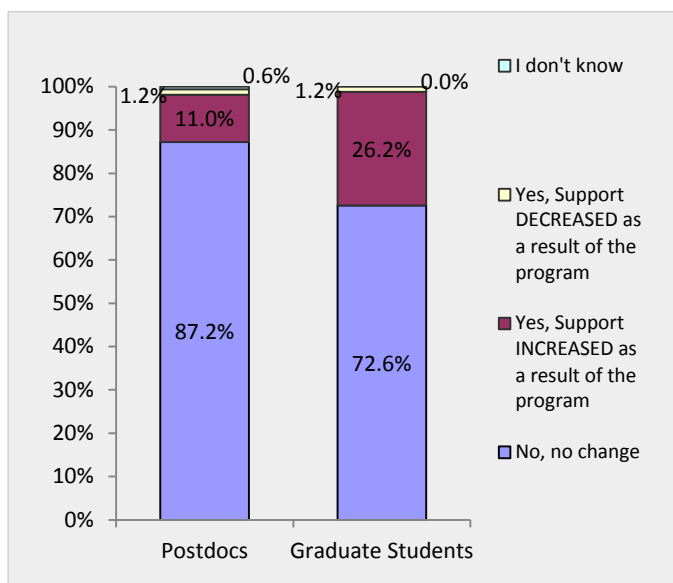
Questions 6 and 7.

Have you modified your Teaching Load/Service in the past year (2015-16)? (Participants Only)



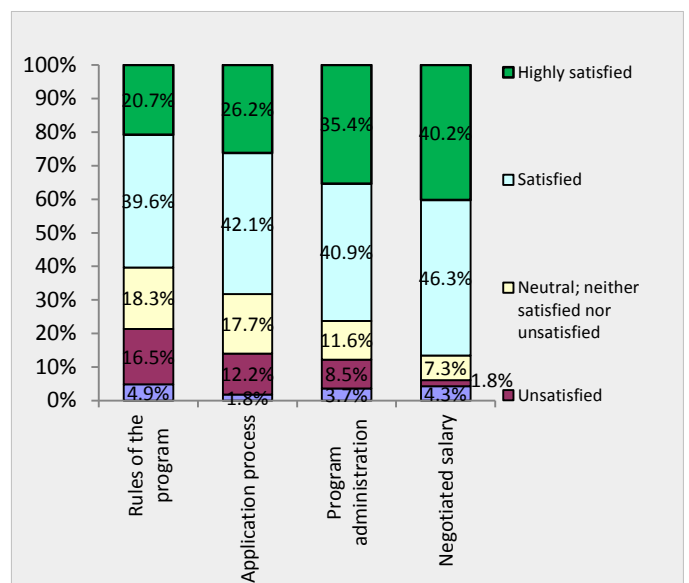
Questions 8 and 9.

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



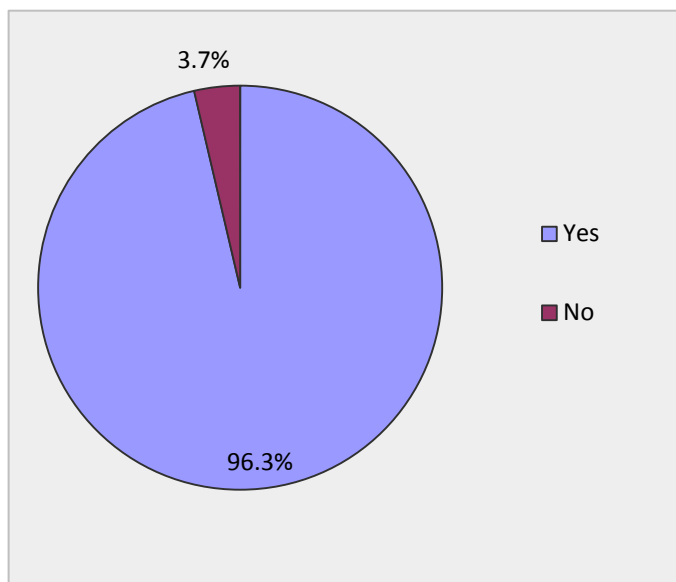
Question 10.

Based on your experiences in the 2015-16 program, please rate your level of satisfaction with the following aspects of the program. (Participants Only)



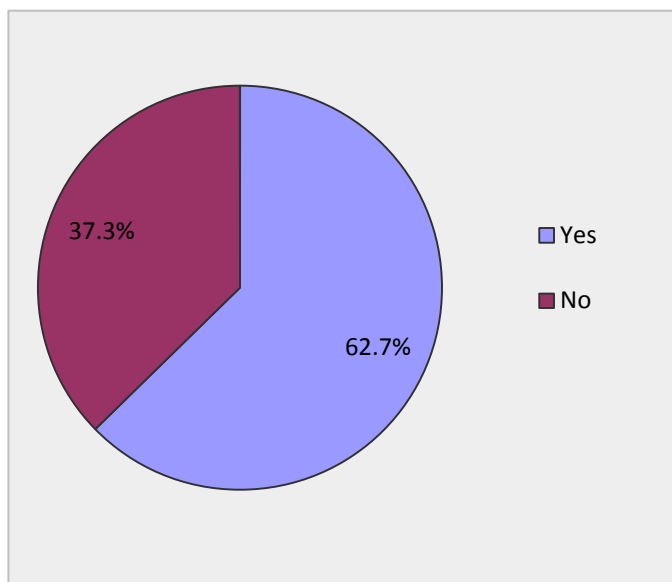
Question 11.

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



Question 11.

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



* 2015-16 was the first year that this question was asked of Non-Participants.

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 higher than in previous years. Of the 164 NSTP participants (70% of all NSTP participating faculty) who responded to the survey, 98%-99% (160-162 individuals) provided information regarding their demographic characteristics. This represents 69%-70% of all 233 NSTP participating faculty (compared to 49%-61% in 2014-15). Among the 247 non-participants who responded to the survey, the response rate to demographic questions was 96%-100% (238-247 individuals). This represents an overall response rate of 18%-19% for the entire population of 1,289 non-participants surveyed (compared to 13%-17% in 2014-15).

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 32 women participants and 68 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. For other analyses of interest, the sample size is too small to draw meaningful conclusions. The summary responses are below.

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	164	233	70%	160	69%	162	70%
Non-Participants	247	1,289	19%	238	18%	247	19%

Campus						
Group	UCI	UCLA	UCSD	Response Count	No Answer	Response Rate
NSTP-Participants	44	59	58	161	3	69%
Non-Participants	65	82	100	247	0	19%

Faculty Rank							
Group	Assistant Professor	Associate Professor	Professor	In Residence	Response Count	No Answer	Response Rate
NSTP-Participants	18	32	107	3	160	4	69%
Non-Participants	46	38	153	1	238	9	18%

Race/Ethnicity									
Group	African/ African-American	Asian/ Asian-American	Chicano(a) /Latino(a) /Hispanic	Native American/ American Indian	White	Prefer not to answer	Response Count	No Answer	Response Rate
NSTP-Participants	1	44	4	0	85	26	160	4	69%
Non-Participants	3	32	11	1	167	32	246	1	19%

Gender							
Group	Female	Male	Other	Prefer not to answer	Response Count	No Answer	Response Rate
NSTP-Participants	32	117	0	13	162	2	69%
Non-Participants	68	166	2	13	247	0	18%

NSTP 2015-16 Administrator Survey administration

The annual survey to administrators was similarly sent out after year three of the NSTP program. On June 22, 2016, the NSTP web-based administrator survey was sent to 316 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 or in faculty recruitment, retention, or review. One hundred thirty of these individuals responded to the survey, yielding a response rate of approximately 41%. 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 2015-16 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 2015-16 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 2015-16 Administrator Survey Response Summary

Administrators expressed general satisfaction with program. Seventy-two percent of all respondents believed it to be a positive asset to the University (see Table 1). These views were held most strongly by the EVC/Ps (100%), deans and college provosts (93%), department chairs (87%), and academic personnel offices (70%).

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	100%	93%	87%	70%	63%	58%	72%
No	0%	7%	13%	30%	37%	42%	28%

A large portion of the surveyed group expressed uncertainty about the program's effectiveness in helping faculty recruitment and retention (see Table 2). Almost no respondents answered "no" to the questions about whether the program helped with recruitment and retention, but a majority of respondents to both questions indicated that they felt the program had no effect, or they did not know whether it had any effect.

On one hand, top administrators indicated great confidence in the program's role in recruiting and retaining faculty: EVC/Ps had the most confidence in the role of the program in recruitment (100% saw the program as helpful) and in retention (88% saw the program as helpful). Deans and other senior administrators were also positive, but they found the program more helpful in recruitment (86%) than retention (64%). Department chairs were more ambivalent: 48% felt that the program helped with recruitment, and 39% felt that it helped with retention. Other staff expressed less confidence in the effectiveness of the NSTP in these areas: only 30% of academic personnel office staff stated definitively that the program helped with recruitment, and only 10% 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	100%	86%	48%	30%	48%	25%	45%
No	0%	0%	0%	0%	0%	0%	0%
No effect/don't know.	0%	14%	52%	70%	52%	75%	55%
7. Has the program helped faculty retention?							
Yes	88%	64%	39%	10%	30%	29%	37%
No	0%	0%	0%	0%	4%	0%	1%
No effect/don't know.	13%	36%	61%	90%	67%	71%	62%

Satisfaction with the program's administrative burden varied by group. Seventy-three 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, including 100% of those at the EVC/P level, 44% of the academic personnel staff respondents indicated that the benefits do not outweigh the burdens.

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	100%	64%	65%	22%	52%	14%	46%
Benefit to faculty somewhat outweighs admin. costs	0%	21%	13%	33%	8%	31%	19%
Benefit to faculty slightly outweighs admin. costs	0%	0%	4%	0%	16%	11%	8%
Benefit to faculty does not outweigh admin. costs	0%	7%	9%	44%	12%	29%	18%
Don't know enough to comment	0%	7%	9%	0%	12%	14%	10%

Seventy-seven of the 130 respondents (59%) 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 (34%) followed by concerns about the program's administrative burden (16%). The remainder of the comments focused on various issues within the administrative process, the program's efficacy, and other compensation issues outside the scope of the program. Several of the comments reflected administrators' opinions that faculty sought out new grants as a result of the program.

Eleven 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 reducing or eliminating the need for revisions (for example, by changing the timing of calculations and approvals to coordinate more seamlessly with July 1 salary changes). One respondent requested that unused contingency funds each year should be shared, with half going to school/ department operating budgets and half distributed as additional compensation to staff who administer the program.

Respondents were also asked for "Any additional comments about the program?" Sixty-two respondents (48%) provided comments. Half of these (31) mentioned the burden on staff who administer the program; these concerns weighed equally on those who considered the program a positive asset (16) and those who did not (15). Other comments mentioned concerns about inequity between faculty with sufficient funding to participate in NSTP and those without; and uncertainty on the part of faculty and staff regarding the appropriate use of various types of funding in the program. Summary responses to the survey are below.

NSTP 2015-16 Administrator survey relative to prior years

Compared to the prior years, administrative support for the program has declined slightly. Seventy-two percent of respondents believe the program is asset for the University, compared to 78% in the second year of the pilot and 74% in the first year.

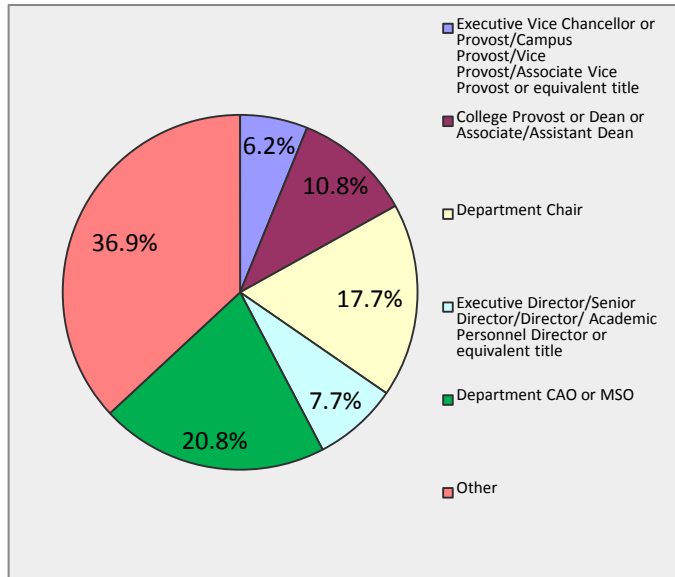
Compared to the second year, administrators cited less support for the program with respect to its administrative burden, but they still showed more support than in the first year of the program. For 2015-16, 73% of all respondents believed the program outweighed its administrative burden compared to 78% in the second year and 71% in the first year. 100% of EVP/Ps felt this way in both 2015-16 and 2014-15. Deans and college provosts also felt quite positive about the benefits of the NSTP outweighing the administrative burden: 85% felt this way in 2015-16 vs. 87% in the previous year. On the other hand, only 56% of the academic personnel staff respondents found that that the benefits outweigh the burdens in 2015-16, compared to 60% in the previous year.

With respect to faculty recruitment, favorability ratings continued to climb. Forty-five percent of respondents cited that NSTP helped in recruitment in 2015-16, which is 8% more than in 2014-15 and 19% more than in the first year of the pilot (2013-14).

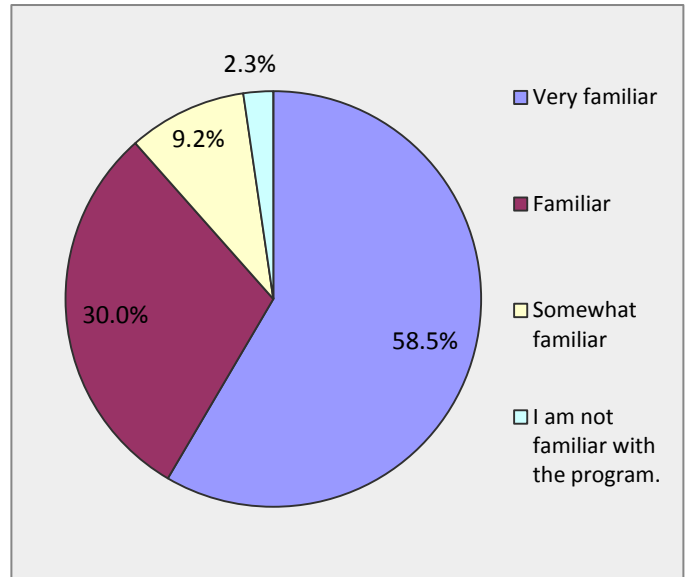
With respect to retention, the favorable rating slipped very slightly. Thirty-seven percent indicated that NSTP was helpful in retention, compared to 39% in 2014-15 and 38% in 2013-14.

Levels of dissatisfaction with various aspects of the program remained about the same. Nineteen percent were unsatisfied with the rules of the program (vs. 18% in 2014-15) and the 18% were unsatisfied with the application process (vs. 19% in 2014-15). Dissatisfaction with the negotiated salary increment decreased slightly to 6.9% in 2015-16 from 8.9% in 2014-15 (vs. 6.8% in the first year); this decrease was not statistically significant. However, noticeably more administrators were unsatisfied with program administration (23% in 2015-16 vs. 15% in 2014-15).

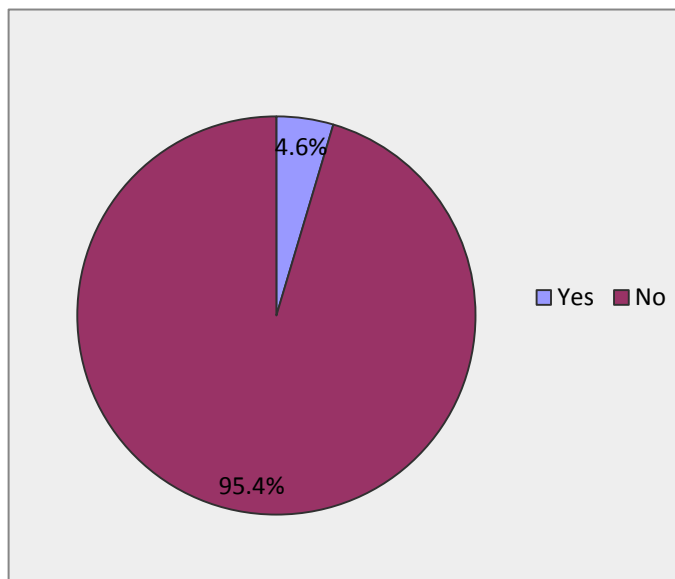
Question 1.
What is your title?



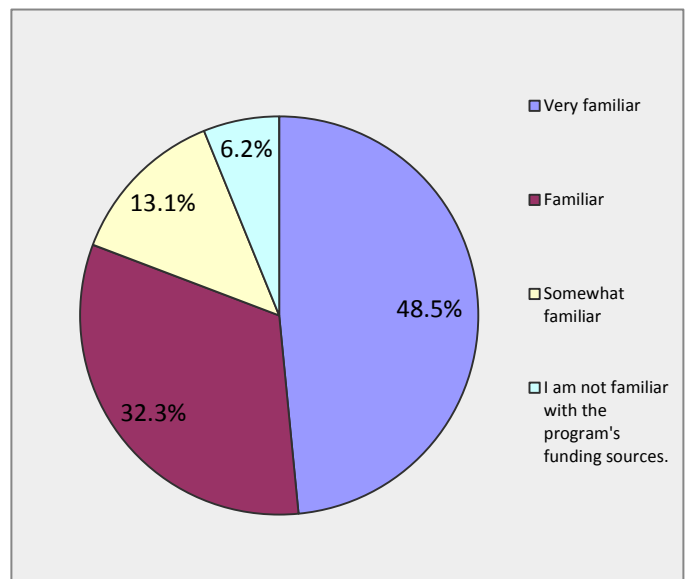
Question 2.
How familiar are you with the NSTP Plan?



Question 3.
Were you also a program participant (as a faculty member) in 2015-16?

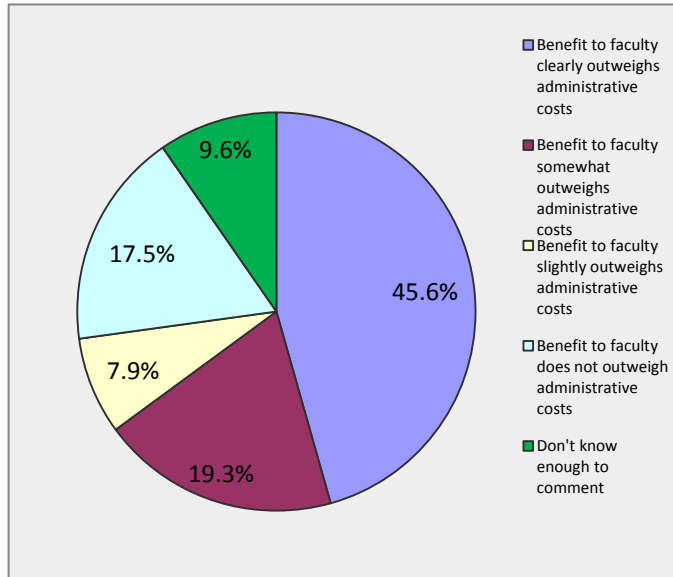


Question 4.
How would you characterize your knowledge of the different types of funds that can be used in the program (e.g., grants, contracts, Chair income, etc.)?



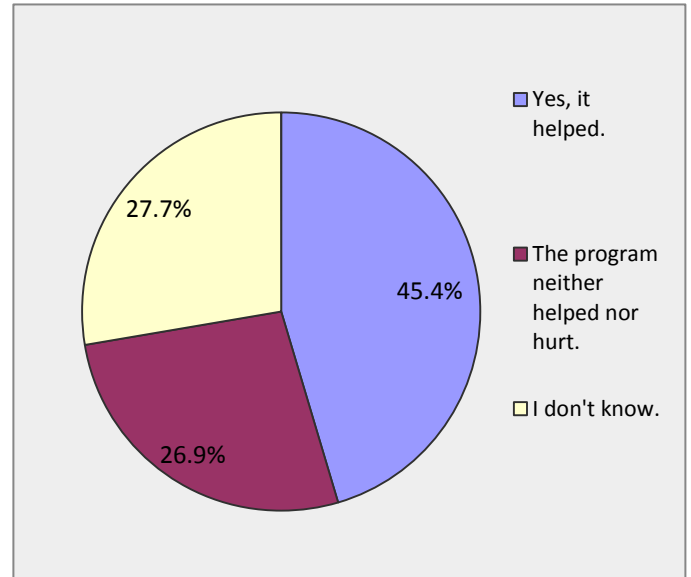
Question 5.

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



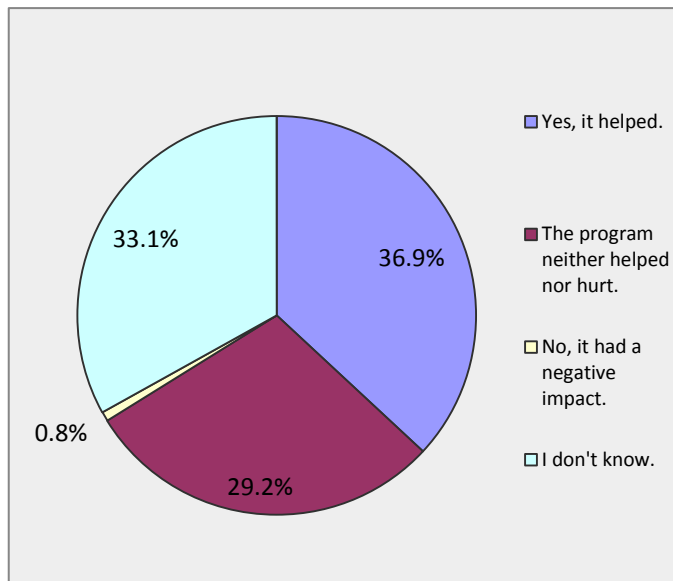
Question 6.

Has the program helped faculty recruitment?



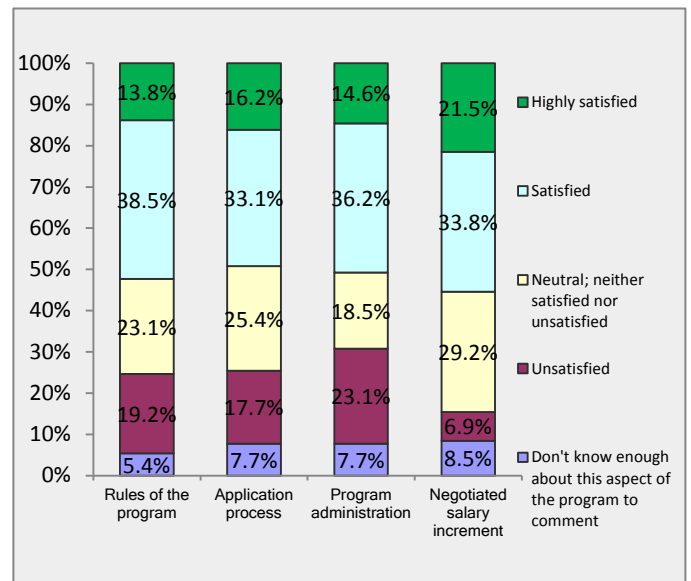
Question 7.

Has the program helped faculty retention?



Question 8.

Based on your experience as an administrator or staff member involved in the administration of the 2015-16 program, please rate your level of satisfaction with the following aspects of the program.



September 30, 2016

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

Dear Vice Provost Carlson:

In response to your August 16, 2016 request for administrative assessment of the third year of the Negotiated Salary Trial Program (NSTP) at the Irvine campus, we provide the following information reflecting our experience in 2015-16. Our campus joint Administration/Academic Senate committee modified our application materials for 2015-16 participants so that we could better collect data to specifically answer some of the questions that were defined by Office of the President (UCOP) in July 2015, including those on recruitment and retention.

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

Response – *Each participating school is responsible for creating and administering its own contingency fund. One school used a small portion of their contingency fund this year (see question 12).*

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

Response – *Each participating unit (school) was required to establish a contingency fund, meaning that the funds are disaggregated across the campus. The minimum amount of each contingency fund was set at ten percent of the Negotiated Salary Component. Schools with higher faculty participation are starting to consider using the contingency for other programs. The School of Engineering has already used a portion of their contingency fund for other projects (see question 12).*

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

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

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

Response – *Three newly recruited faculty members participated in the NSTP in 2015-16 and information about NSTP was included in their offer letters. Our 2015-16 application form specifically asks the Chair to indicate if/how the NSTP was communicated to the requestor so that we can capture the use of the NSTP in hiring negotiations. In addition, information about the NSTP is now routinely included in most of our offer and retention letters.*

Question 5 – Did the program have positive, negative, or no impact on faculty retention? Please describe its impact (e.g. fewer retention or preemptive offers; successful counter-offers; fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in participating units in 2014-15. (2.2.2)

Response – *Our 2015-16 application form specifically asks the Chair to indicate whether the requestor had a formal retention offer in the past two or past five years. Three of our participants had retentions in the past two years. Twenty-three had retentions in the past five years. In addition, when negotiating salary increases associated with retentions, we provide calculations of how the proposed increase in offscale component will affect total maximum salary if they elect to use summer salary and NSTP.*

Question 6 – On your campus, did any faculty member who participated in the program buy-out of their teaching assignment? If so, please explain the circumstance(s). (1.3.2).

Response – *Six of our faculty participants bought out of teaching assignments this year, one conducted research on two NIH Research Project Grants (R01s) and one NIH Exploratory/Developmental Research Grant Award (R21). During our application process, all of our Chairs certified that each participant, including those with course buyouts fulfilled their teaching responsibilities. Other buyouts were attributed to administrative responsibilities or were in place prior to program participation.*

Question 7 – Has there been an effect, attributable to the NSTP, on research productivity for either participant or non-participant faculty in the units involved with the program? For example, did you find that participation in the program incentivizes faculty to increase outside funding? (1.3.4)

Response – *This year was the first year our forms captured data for total expenditures from all fund sources for the previous academic year. That said, while this will help us assess activity, it will be difficult to attribute any increase/decrease directly to the NSTP. Almost 25% of this year's participants were new, which can be interpreted as anecdotal evidence that their participation was due to new funding.*

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

Response – *We monitor the layoff process centrally and have engaged a process to review potential staffing reductions for program participants, before they occur. This year was the first year we captured data on each participants' research group members (research staff, postdocs and graduate students) for both the current and previous years. Our data shows that there was a total increase of over 11 FTE for those who participated in both the 2014-15 and 2015-16 academic years.*

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

Response – *We do not yet have evidence that suggests that the NSTP has impacted grant awards, size of awards or in-direct costs associated with the same. We attempted to collect information on our 2015-16 application; however, participant responses were not consistent, making it difficult to make any comparisons. We plan to revise our future form to address this inconsistency.*

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

Response – *The NSTP continues to have no impact on qualitative aspects of academic personnel review processes. Our new application forms this year substantially reduced the burden for faculty and staff in applying for and in administering the NSTP program. Unfortunately, the July 1, 2016 across the board and discretionary salary adjustment process occurs after our NSTP applications been completed, so this significantly added to the workload.*

Susan Carlson
Vice Provost, Academic Personnel and Programs
September 30, 2016
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Question 11 – Has department/school/college climate and functioning been positively or negatively impacted as a result of the program? (3.1-3.3)

Response – *This program was particularly important for hiring several new senior faculty from outside competitors in the past year and therefore viewed as an important tool by those Departments and Schools. We continue to work closely with the Senate in administering and reviewing the program and are not aware of any strong cross campus opposition at this time. We think this is in part due to our administration working closely with the Academic Senate in revising the application forms for 2015-16, which gave both parties a better understanding of the other's perspective. We will continue to work closely with the Academic Senate throughout this trial program.*

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

Response – *Given the extra pressure and workload for staff, the School of Engineering used a small portion of their contingency fund to fund staff awards in 2015-16. This year, they are looking into using 50% of the contingency fund for research support (e.g., competitive seed funding initiatives).*

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

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

If you require additional information, please contact me.

Sincerely,



Diane K. O'Dowd
Vice Provost, Academic Personnel

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



MICHAEL LEVINE
INTERIM VICE CHANCELLOR, ACADEMIC PERSONNEL
OFFICE OF THE CHANCELLOR
2138 MURPHY HALL, BOX 951405
LOS ANGELES, CALIFORNIA 90095-1405

September 30, 2016

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

Dear Vice Provost Carlson:

On behalf of Executive Vice Chancellor Scott Waugh, I am pleased to provide you with the attached summary of responses to the third-year evaluation questions concerning the Negotiated Salary Trial Program (NSTP). For FY 2015-16, UCLA expanded from four to five participating units. The participating units are the Fielding School of Public Health, the Henry Samueli School of Engineering & Applied Science, and three of the four academic divisions in the College: Humanities, Life Sciences, and Physical Sciences.

As indicated in the responses, the NSTP continues to be a resounding success across the participating units. Except for the administrative burdens associated with implementing the program, participating units have not experienced noticeable negative effects or unanticipated consequences. There is no evidence, either anecdotal or from the analyses of relevant data and information, that the program has altered campus priorities or compromised the campus commitment to excellence and diversity. On the whole, the program proves to be beneficial to faculty recruitment, retention, and morale. It is our hope that the program can continue beyond its trial period.

Please contact me if you have further questions. Thank you for the opportunity to comment on the program.

Sincerely,

A handwritten signature in dark ink, appearing to read "Michael Levine", written over a light blue circular stamp.

Michael Levine
Interim Vice Chancellor, Academic Personnel

Attachment

cc: Chancellor Gene D. Block
Executive Vice Chancellor and Provost Scott L. Waugh
Dean David Schaberg
Dean Jayathi Murthy
Dean Jody Heymann
Dean Miguel García-Garibay
Dean Victoria Sork

[Attachment]

RESPONSES TO NSTP EVALUATION QUESTIONS

September 30, 2016

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

The campus implementation guidelines require every participating unit to establish a contingency fund or have a contingency funding plan in place to cover any shortfall should something unexpected happen with designated NSTP funds.

In the third year of the program, no contingency funds were used in any of the participating units. All participants were able to meet their NSTP salaries using the funds that they had reported in their NSTP requests.

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

Contingency funds are handled differently in different participating units. Some units are fully responsible for any shortfall that may occur with their own faculty. Other units either choose to require faculty participants to identify alternative eligible funding sources for contingency purpose or ask departments to guarantee faculty's negotiated salaries with unrestricted, gifts or other extramural funds. For those departments that are willing to allow the use of departmental funds, they make the provision that if it becomes necessary to use these funds, the participant will not be permitted to participate in the NSTP in subsequent years. In using this approach, participants provide diligent consideration to the amount that they can afford, to ensure their ability to continue future participation in the program.

The Fielding School of Public Health is the only campus unit that has established its contingency fund based on a designated percentage rate. In FY 2015-16, every faculty participant within the unit was required to contribute to the school's Contingency Fund an amount equal to 35% of the negotiated salary increment. The school anticipates that the contingency percentage, plus the required history of obtaining grants will minimize the impact of any potential shortfalls.

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

The NSTP neither adds to nor detracts from recruitment priorities or FTE allocations for participating units.

It is apparent that FTE allocations are based on campus goals and priorities related to enrollment needs, diversity and excellence initiatives, research, scholarship and other criteria. There has always been, and will always be, a strong need to recruit faculty with the potential to bring extramural funding to campus. However, recruitment priorities are determined by consideration of teaching needs, research priorities, and other academic programming. Participating units do not and cannot change recruitment policies as a result of the NSTP.

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

The availability of NSTP remained a significant factor in successful faculty recruitments in this third year of the program. Throughout the recruitment and appointment process, NSTP was used as a bargaining tool and an important incentive to attract and recruit outstanding candidates. For example, the School of Engineering & Applied Science had some new faculty members that had participated and stated that participating in NSTP has given them close to the salary they expected. Similarly, the Division of Physical Sciences had one new faculty and two early-career faculty participants. The potential for program participation enabled the division to compete successfully with other institutions that offered similar types of compensation packages.

In the School of Public Health, NSTP is extremely helpful in recruiting faculty with successful research portfolios. In FY 2015-16, the school was able to recruit one new Department Chair and two additional ladder faculty members, all top researchers, and provide competitive offers solely because of the NSTP program. The school envisions using NSTP in all future recruitments, providing circumstances are such that the future recruit would have a steady source of summer ninths and the projected means to also fund the NSTP.

5. Did the program have positive, negative, or no impact on faculty retention? Please describe its impact (e.g. fewer retention or preemptive offers, successful counter-offers, fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in participating units in 2015-16.

None of the actual retention cases at UCLA involved faculty participating in the NSTP this past year. While there was no immediate impact on an actual retention case in the third year, NSTP was an effective tool to help with the campus efforts to reduce preemptive cases and retain highly accomplished faculty members. For example, the Physical Sciences Division had one fewer request for a split appointment with the School of Medicine as a result of NSTP. The Division of Life Sciences had less complaints about not being in the School of Medicine. In the School of Public Health, NSTP is a crucial component to be able to offer competitive salaries to faculty who have active research programs. It helps to preempt faculty from seeking outside offers.

6. On your campus, did any faculty member who participated in the program buy-out of their teaching assignment? If so, please explain the circumstance(s).

There was no buy-out of teaching assignments reported for any faculty participants in FY 2015-16.

Similar to prior years, all the NSTP participating units continued to follow the guidelines set forth by the Academic Personnel Office, which include the requirement that faculty “fulfill the approved teaching load.” Participation in the NSTP program requires being a faculty member in good standing, which means teaching a certain number of courses. All faculty members were required to report their teaching loads in their requests for participating in the program. Moreover, all NSTP applications were rigorously evaluated by department chairs, deans, and academic personnel offices to ensure that approved teaching loads are fulfilled.

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

There is no appropriate way to gauge the impact that NSTP has had on incentivizing faculty to seek additional funding in order to participate in the program. Although all participating units express confidence that the program serves as an incentive for increased research activity, they also note the difficulty in measuring the effect. In participating units such as the School of Public Health, there are indicators showing that there has been and continues to be substantial research growth over past years. However, it is difficult to determine a pattern based on the available data.

In theory, this program may reward faculty members for applying for funds by submitting additional proposals. However, highly active faculty are already submitting grant applications, and it is difficult to determine if the NSTP is responsible for an increase in the level of grant applications.

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

There is no evidence that graduate student support or postdoc hiring have been negatively impacted by NSTP. In order to participate in the NSTP program, all faculty are required to follow the UCLA guidelines set forth by the Academic Personnel Office, which includes the requirement that faculty “fulfill research support responsibilities including current and incoming graduate students, tuition benefits, and post-docs.” Additionally, all faculty are required to report in their NSTP requests graduate student support or postdoc and other staff hiring, and verify that they will not reduce funding for graduate students in order to maintain funding for participation in the NSTP.

For the School of Public Health, this program has positively impacted hiring of graduate student researchers and postdocs over the years as a result of the increased number of contract and grant funding and expanded research programs. As to the other participants, we are not aware of any reduction in graduate student support or postdoc hiring triggered by the program. Although it is too early to determine any positive or negative impact, the NSTP seems to have the potential to positively impact graduate student support or postdoc hiring because of the heightened level of external funding and expanded research.

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

NSTP provides an incentive for faculty to seek external funding. However, we as yet do not have convincing data that can show an increase or decrease in the number or size of grant awards and indirect costs in most of the participating units.

The School of Public Health has a program similar to NSTP that started 15 years ago. Over the years, they have indicated, the number of contracts and grants in the program has doubled.

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

The NSTP has not affected the academic personnel review process at UCLA. One downside, however, is that the program has significantly increased the workload of the unit staff during critical review periods. Due to the timing and nature of the NSTP program, departmental staff, Chairs and the Dean’s office have had the additional duty of evaluating funding sources and ensuring that the funds were eligible and sufficient for the faculty to participate in the program.

We understand that with the implementation of any programs there will always be additional administrative duties. Given the overall positive response for the program, we feel that this increased burden is worth the extra work for having the program on campus. That said, it would be useful to better prepare during the program planning stage to avoid undue administrative burdens.

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

Four out of the five participating units reported that faculty have been positively affected by their NSTP participation. The faculty in those units feel that the NSTP puts them on a more level playing field with their colleagues in medical fields, which traditionally have higher compensation and salaries. The morale in those units is high because entrepreneurial faculty are rewarded for their efforts and more research grants are available for graduate student participation.

The campus leadership continues to encourage schools and divisions to utilize the NSTP in recruiting and retaining excellent and diverse faculty. So far, we only have compliments about the availability and timeliness of this program. The concern expressed relates to the potential negative impact on faculty morale if this trial program fails to become permanent.

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

It appears that faculty members who did not participate in the program did not directly benefit from the availability of the contingency funds. The rationale behind this is that contingency funds were held for contingency purposes only and could not be redirected for use to support other programs.

That being said, participating units such as the Fielding School of Public Health consider the benefits of the program to extend to non-NSTP participants because of the increased research, service, and public impact from the grants. The NSTP provides faculty the incentive to search for grant opportunities to be able to participate. Because of the program's flexibility, faculty know that they have the option to participate if and when they have eligible funding sources. This has contributed to the increase in morale among faculty members.

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

At this time, there is no easy way to assess how NSTP has affected the quality of teaching or research. Most of the NSTP participating units observe no direct effects of the program on quality of teaching or research. However, it remains too early to determine any long term effects.

The School of Public Health is an exception. Since the launch of a similar program 15 years ago, as stated above, the quality of the research and type of grants increased substantially as more faculty began to participate in the program. Nevertheless, the school is unaware of any change in teaching quality over the years.



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September 30, 2016

Susan Carlson
Vice Provost
Office of the President
University of California
1111 Franklin Street
Oakland, CA 94607-5200

Dear Susan:

On behalf of Interim Executive Vice Chancellor Cowhey, I am pleased to provide you our annual report on Year 3 of the Negotiated Salary Trial Program (NSTP), or General Campus Compensation Plan (GCCP) as it is called at UC San Diego. NSTP and GCCP are used interchangeably throughout our report.

The NSTP continued to provide a competitive edge in our recruitment efforts and was an essential tool for retaining our prized faculty. In Year 3, we had 95 enrollees, which represents about 10% of our ladder rank faculty population on the General Campus and Scripps Institution of Oceanography. Program participation remained relatively steady compared to Year 2. The average negotiated increment rose from 17% to 22% in Year 3.

The fund managers seem to better understand the budgeting process this third round, which resulted in fewer changes to initial requests. However, the approval process remained laborious for the department, divisional deans, and academic compensation staff. There is a significant lag in processing time due to 7/1 wage implementations (revisions to requests based on the range amount) and late-to-resolve academic review cases. We continue to plan for ways to improve upon the process post-pilot.

The metrics and questions specified in your memo of August 16, 2016, are addressed below. In addition, as an addendum to the report, you will find responses from our heavy-use divisions on specific questions related to the metrics. The Jacobs School of Engineering, which represents about one third of NSTP enrollees, provided a substantial report of the program's effectiveness including survey results.

1. There are no reports of actual usage of the contingency fund surplus. Some departments were not aware that the surplus could be used after it reached steady state and other departments have not yet generated a sufficient surplus. It is reported that departments in one division plan to use the surplus to strengthen graduate teaching and research.

One division with exponential growth participation rates over the first three years reported contingency pool balances less than the required 20%. Because of the very small number of enrollees and subsequently low contingency contributions in year 1 of the program, it will take this division an extra year to build the pool to 20% of the current year's negotiated increments.

2. As we do not allow individuals to enroll in the program unless funding has been secured in advance, we do not expect funding shortfalls related to loss of the negotiated increment. Most departments believe the contingency amount is enough to cover any shortfall, but one is wary that it is sufficient.
3. Our recruitment priorities have not been altered based on the departments' participation in the program. Faculty FTE allocations at UC San Diego are based on strategic goals and priorities related to enrollment needs, diversity and excellence initiatives, research, scholarship, and other criteria.
4. As expected, the NSTP has been a contributing factor in the successful recruitment of faculty. It is common for high level recruits to participate as soon as they arrive. Junior faculty are less likely to enroll because of the lack of external fund sources but some are able and do participate. One department reported that while their junior recruits are not able to use the program initially, it has motivated them to be successful in their research funding efforts. In one division, the program was used in hiring negotiations, with success, for five of seven new positions.
5. The faculty have provided direct evidence that the NSTP is a key to retaining them at UC San Diego. Comments from faculty include:

"GCCP is essential for my staying at UC San Diego and declining recruitment overtures from other universities."

"I think that absent state funds to make UC salaries competitive against peer institutions, the GCCP is a reasonable tool to manage retention. I think that if we were to discontinue the GCCP, we would have significant retention issues especially among our best known faculty in STEM fields."

"If the GCCP program is cancelled, I would actively pursue employment at another University."

Data support this anecdotal evidence. There has been a steady decline in the number of actual retention cases over the past three years. In 2015-16, the number of retentions was 50% less than in the year before the NSTP pilot began, 7 versus 14 faculty. The reduction in retentions not only allows us to keep our stellar faculty, but also reduces the burden on permanent salary costs due to retention off-scales.

6. UC San Diego does not allow faculty who enroll in the NSTP to participate in the Faculty Leverage Buyout Program.

7. Deans have reported the NSTP has had a positive effect on research productivity and survey results support this notion. There is evidence that faculty are actively pursuing grants and seeking funding from sources other than the typical agencies (e.g., NSF, NIH). Faculty comments include the following:

“Yes, definitely.... It has motivated me to seek funding that makes this possible. It has motivated me to go the extra mile on a number of initiatives.”

“Participation in the program has greatly incentivized me to increase my research productivity (as well as my group members' productivity).”

8. Divisions and departments report that the program has had no effect on graduate support levels. Faculty must certify that graduate support obligations have been met before their participation request is considered.

Faculty recognize the important role postdocs offer towards the campus research mission and would not likely substitute NSTP participation for postdoc hiring. Though there has been a gradual reduction in postdocs for the last several years, this change does not appear to be tied to the NSTP. The Office of Research Affairs attributes the declining postdoc rate to fewer training grant slots and loss of ARRA funding.

9. The Office of Contract and Grant Administration provided evidence that award amounts have increased significantly since the NSTP pilot began. Although the increase in funding cannot be attributed to the NSTP, award amounts in NSTP-participating departments have increased 16.4% over the past three years. Departments that did not participate in the NSTP saw only an 8% growth in award amounts over the same period. Over the past three years, the overall number of awards declined by 9% in participating departments and by 11% in non-participating departments.
10. In Year 3, the Committee on Academic Personnel (CAP) again reviewed the good standing status of each faculty proposed for NSTP participation. CAP considered the most recent review result for each proposed faculty member. In Year 3, no faculty were denied NSTP participation for not meeting the good standing criteria based on CAP's review.
11. All divisions reported that the program has had a positive or no effect on the department/division/school climate. Biological Sciences reported that the program has ended the resentment felt towards faculty who had split appointments with Health Sciences and who were therefore allowed to participate in the Health Sciences Compensation Plan. Thus, the NSTP has served as an equalizer in that division.

In the Jacobs School of Engineering, the NSTP has been seen to improve the climate because salary disparities are traceable to grant productivity rather than to bonus or market off-scale increments. However, there is a small subset of faculty with dissenting views on the program. The Jacobs School of Engineering surveyed their faculty on various program metrics, including climate, and that feedback is included in the addendum.

12. We have not measured for direct evidence that non-participants are benefitting from the program. However, the fewer permanent salary dollars spent on individual retentions results in more money available for other uses that impact a broader number of faculty. Examples include our local equity programs, including spot compression adjustments and Career Milestone Salary Incentive awards.
13. Divisions have reported no effect of the program on teaching quality, but there is anecdotal evidence of improved teaching in one case as well as increased research productivity and funding described above. To enroll in the NSTP, faculty must meet good standing criteria including effective teaching and maintenance of a positive research trajectory. In the one case that was denied enrollment in the NSTP by CAP in Year 2 due to poor teaching, the individual actively engaged in teaching development activities and showed improvement that warranted participation in Year 3. Thus, the program appears to be a motivating factor for faculty behavior in both teaching and research.

After reviewing the participation and feedback of the first three years of the program, UC San Diego remains very enthusiastic and optimistic about the NSTP. It is imperative that the program be continued beyond the pilot period else we risk losing over 10% of our world-class faculty. The NSTP allows us to provide market competitive salaries that motivate our faculty like no other program. The NSTP is integral to our recruitment and retention efforts and ensures success in our academic mission.

Sincerely,



Tamara L. Wall
Associate Vice Chancellor
Academic Personnel

Attachments

- c: Interim Executive Vice Chancellor Cowhey
Associate Vice Chancellor Hodgkiss
Assistant Vice Chancellor Palmer
Director Maheu

ATTACHMENT 1

DIVISIONAL RESPONSES TO SELECT NSTP (GCCP) METRICS QUESTIONS

DIVISION OF ARTS & HUMANITIES

Dean C. Della Coletta:

"In four years, the Division of Arts & Humanities has had only one faculty member participate, so this program has had little to no impact on our Division. The faculty member is Sheldon Brown, Dept. of Visual Arts. It may be possible that Sheldon Brown's participation may have stopped him from seeking employment elsewhere, though I got no feedback on this question from his department."

DIVISION OF PHYSICAL SCIENCES

Interim Dean J. Rummel:

"I am strongly in favor of keeping the GCCP program. I think that it has been a valuable tool for both retention and recruitment of senior faculty. I fear that if it went away that several senior faculty who now use would be tempted to look at other institutions which we don't want. We also use the existence of the GCCP program as a selling point to junior faculty. While they can not use it right away, they like to know that they can use it if they become very successful in their research. Of course, we have been careful to tell all faculty that this is a pilot program, but I think that faculty would be very disappointed if it were to go away.

I also have not heard any complaints that the GCCP program has limited funds for graduate students and postdocs. This may have happened, but it is not an issue that we in the Dean's office have ever had the chairs bring up.

I have provided responses to your inquiry from our two large research departments below. I think that they confirm my points above."

Chemistry and Biochemistry

Faculty have begun including GCCP in their planning, and along with the current faculty participating, a number of faculty have mentioned participating in future years. A number of the Chem/Biochem faculty have split appointments with Health Sciences, and are able to take advantage of the HSCP. If GCCP were to go away I imagine there would be an onslaught of requests from Chem/Biochem faculty who will want continued access to a negotiated salary. Keep in mind, these are faculty who are typically heavily funded and I do not believe Academic Affairs wants to encourage awards migrating to Health Sciences.

Physics

Describe the impact GCCP has had on the success of faculty recruitments. If possible, please quantify the number of successful recruitments in 2015-16 where the GCCP was used as an incentive. Describe the impact GCCP has had on faculty retention (e.g., fewer retention or preemptive cases; successful counter-offers; fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in 2015-16 where the GCCP was used as an incentive.

- It has had a positive impact on faculty retention. One successful retention offer was accepted in 2015-16 due to this program. Although only a relatively small number of faculty choose or are able to participate in this program, it's benefit to these faculty clearly will have some impact on their decisions to stay at UCSD.

Has there been an effect, attributable to the GCCP, on research productivity for participants or non- participants? For example, have you found that participation in the program incentivizes faculty to increase their effort to secure outside funding?

- Feedback from faculty who are participating in the program is mixed, but is weighted heavily toward those faculty who feel it greatly incentivizes them to secure external funding and increase research productivity. Comments include:
 - “Yes, definitely.... It has motivated me to seek funding that makes this possible. It has motivated me to go the extra mile on a number of initiatives.”
 - “Participation in the program has greatly incentivized me to increase my research productivity (as well as my group members productivity).”
 - “Absolutely.”

Has the program affected the quality of teaching in participating departments?

- Most felt the program has a positive effect or no effect on the quality of the teaching in the department.

Has graduate student support been impacted by the program? If so, describe any positive or negative effect.

- No impact on graduate student support.

Has the climate in participating departments and the division been positively or negatively impacted as a result of the program?

- Most felt the program has had a positive impact on the climate of the department, but not all felt that way. Others felt it had no impact because this information is not advertised, nor readily available and most faculty don't want to know and don't care about salaries of colleagues. Others felt it creates a bit of a “class” system since many faculty are not in position to benefit from the program, no matter how excellent a scholar they may be.

The program guidelines require each participant to contribute an amount equal to 10% of the negotiated salary increment to a contingency fund in the department. Is that percentage sufficient to support the program?

- Yes, this seems sufficient.

GCCP guidelines state that once the contingency fund reached a steady state of 20% (after year 2), the surplus could be used for other academic purposes including, but not limited to, graduate support or faculty and/or staff salaries. In 2015-16, did participating departments utilize the surplus contingency funds and if so, for what purpose?

- Not much was generated as contingency funds. As such the funds were not used.

DIVISION OF BIOLOGICAL SCIENCE

Dean W. McGinnis

Describe the impact GCCP has had on the success of faculty recruitments. If possible, please quantify the number of successful recruitments in 2015-16 where the GCCP was used as an incentive.

- In the Bio Division, we hired 7 new faculty members in 2015-16. Five of those were 100% in the Division, 2 were shared appointments with their primary in SOM or SIO. In all five cases solely in our Division, GCCP was instrumental in competing for the new faculty and all are taking advantage of it.

Describe the impact GCCP has had on faculty retention (e.g., fewer retention or preemptive cases; successful counter-offers; fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in 2015-16 where the GCCP was used as an incentive.

- Biology had 4 retentions in 2015-16. 2 of these are still ongoing. In the two faculty that were successfully retained, GCCP undoubtedly made a difference, probably the crucial difference in their retention, as the salary that they were offered by the private universities or institutes who were trying to attract them was much more than they could ever make with their UCSD 9 month plus summer salary. For the 2 retentions that are still ongoing, we are competing with another private university, and GCCP will allow them to get close to or exceed the stratospheric salary offers at the private. The signs are that both those faculty will stay, and again, one reason that they are very likely to stay is that they can pay themselves about what they would make at the private.

Has there been an effect, attributable to the GCCP, on research productivity for participants or non- participants? For example, have you found that participation in the program incentivizes faculty to increase their effort to secure outside funding?

- This is much harder to answer. For the dozen or so investigators who work in fields where one can get 3 R01 grants, a few of them indeed have more money (i.e. 3 R01s or equivalent) than they did 5 years ago.

Has the program affected the quality of teaching in participating departments?

- No effect on teaching. Bio doesn't allow people to buy out their teaching.

Has graduate student support been impacted by the program? If so, describe any positive or negative effect.

- There hasn't been any effect on grad student support.

Has the climate in participating departments and the division been positively or negatively impacted as a result of the program?

- The faculty who can take GCCP (about a third of the Biology faculty) are certainly happier. They don't complain as much about SOM faculty who are doing more or less the same job but were able to pay themselves a lot more under the Health Sciences Compensation plan. The faculty who can't take GCCP don't seem to be jealous or to feel they are being treated as second class citizens. Of course, most faculty don't know who is making what salary.

The program guidelines require each participant to contribute an amount equal to 10% of the negotiated salary increment to a contingency fund in the department. Is that percentage sufficient to support the program?

- We have not have anyone who has defaulted, so we have no experience with whether or not it would be sufficient in an emergency. Depending upon who defaults, it might not be sufficient, depending upon the GCCP of the defaulted faculty.

GCCP guidelines state that once the contingency fund reached a steady state of 20% (after year 2), the surplus could be used for other academic purposes including, but not limited to, graduate support or faculty and/or staff salaries. In 2015-16, did participating departments utilize the surplus contingency funds and if so, for what purpose?

- I don't think we have reached steady state since this year we had a greater number of faculty taking GCCP. In any case, we haven't used the contingency fund for any purpose at this point.

JACOBS SCHOOL OF ENGINEERING

Assistant Dean Tana Troke Campana

“The Jacobs School of Engineering contends that the Faculty General Campus Compensation Plan (GCCP) is the most effective system to allow highly productive faculty to retain and reward themselves. In addition, the GCCP has become a critical recruiting tool, allowing us to be both more competitive amongst other top ranked engineering schools and to increase the caliber of our ladder-rank faculty. We also see the GCCP as a very important retention tool as is evidenced by faculty comments noted later in this report. The loss of faculty is very expensive and disruptive for the campus, division, departments and students.”

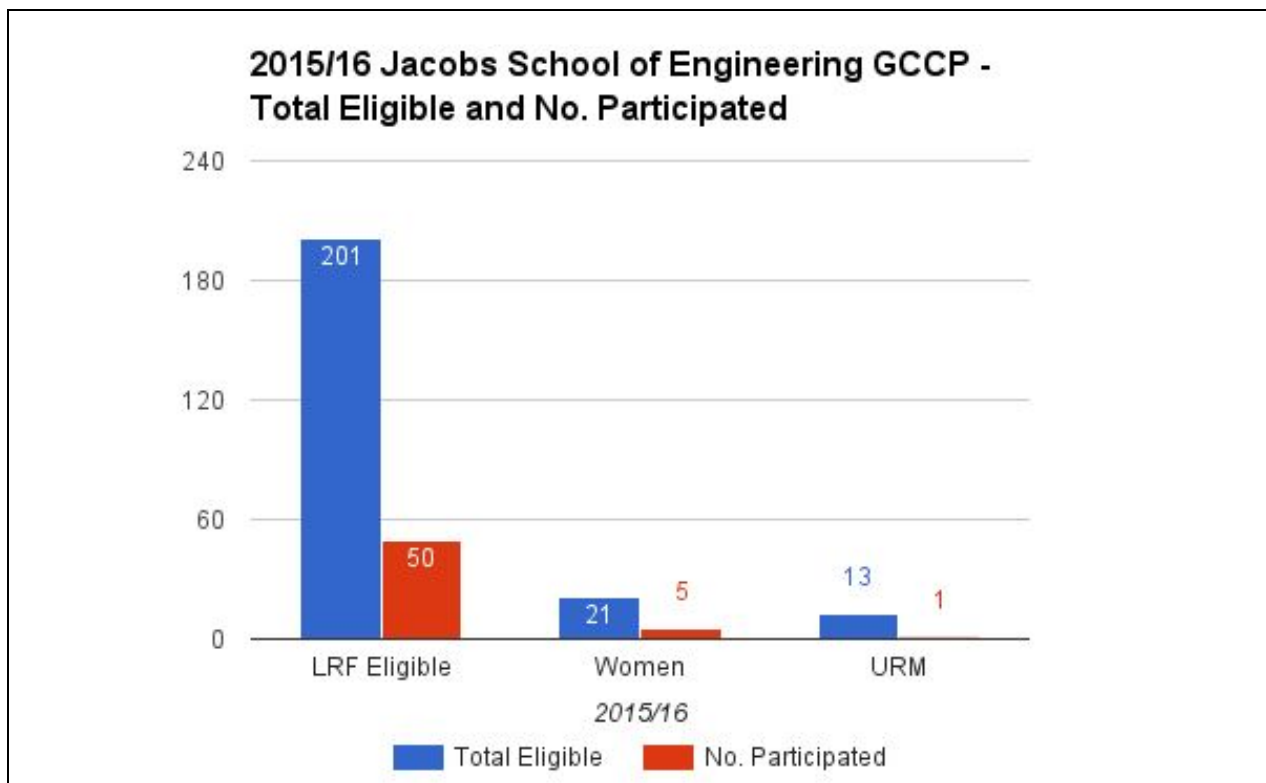
See attachment 2 for the JSOE survey results.

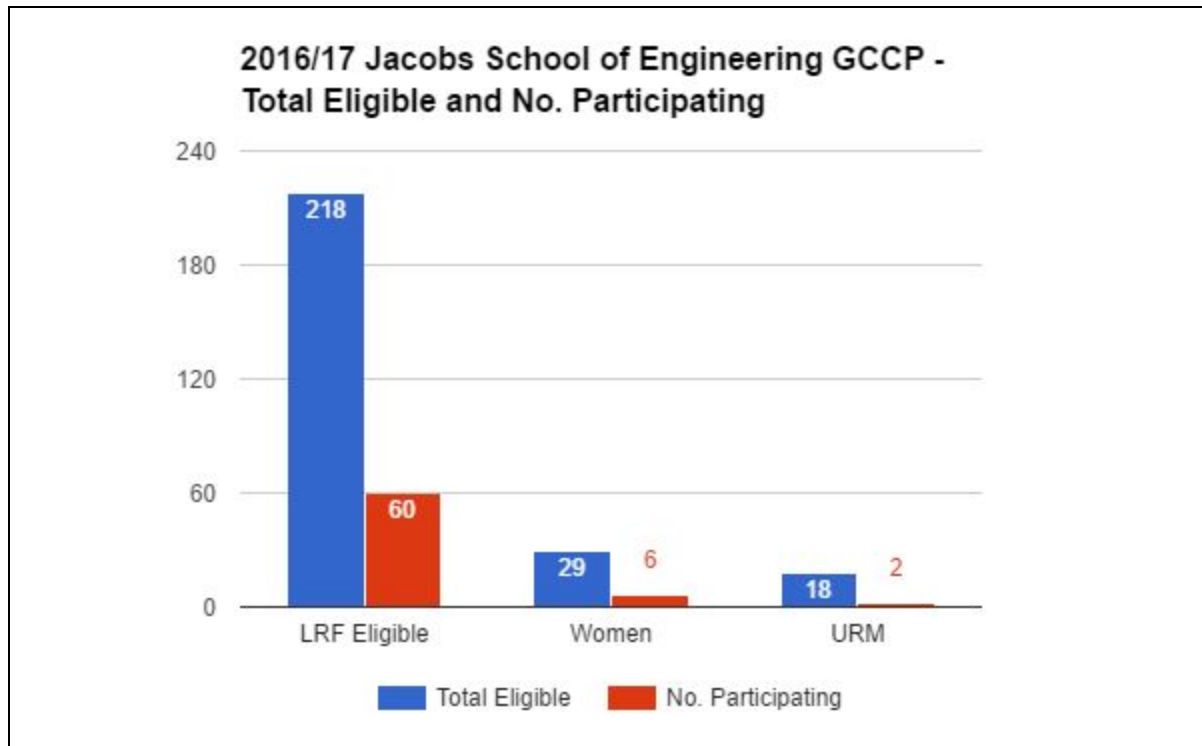
ATTACHMENT 2

Jacobs School of Engineering GCCP Survey Results and Feedback September 13, 2016

The Jacobs School of Engineering contends that the Faculty General Campus Compensation Plan (GCCP) is the most effective system to allow highly productive faculty to retain and reward themselves. In addition, the GCCP has become a critical recruiting tool, allowing us to be both more competitive amongst other top ranked engineering schools and to increase the caliber of our ladder-rank faculty. We also see the GCCP as a very important retention tool as is evidenced by faculty comments noted later in this report. The loss of faculty is very expensive and disruptive for the campus, division, departments and students.

As the two charts below depict, an increasing number of faculty are electing to participate, with 25% of all Jacobs School ladder-rank faculty (LRF) participating in the GCCP in 2015/16 and 27% planning to in 2016/17. Note that the 2016/17 eligibility count includes new faculty who began July 2016.





In order to learn more about individual faculty's eligibility to participate, as well as their reasons for electing not to participate in the GCCP, we initiated a survey that was sent to all Jacobs School LRF in June 2016. The survey was not sent to new faculty with start dates in 2016/17.

The survey went out to 214 LRF, of which 89 or 42% responded. Of the 89 respondents, 9 (10%) are women, 78 (88%) are men and 2 (2%) declined to state. Faculty ranks responding breakdown as: 69% full professors, 10% associate and 17% assistant.

Some items that are noteworthy include: 1) assistant professors provided only positive comments about the GCCP program, with mixed comments from those at the Associate and Full ranks, regardless of whether they had adequate funding to participate (full details are attached); and 2) of those who responded, the data indicates considerable differences by gender as to those who elect to participate, even if they have adequate funding, as can be seen below.

Gender	15/16 Funds?	Participate Y/N	16/17 Funds?	Participate Y/N
Male	73%	60%	69%	72%
Female	56%	40%	67%	17%

When looking at all respondents, the reasons for not participating are predominantly the use of funding to support graduate students and/or other academics (48%). Other reasons include using funding for other priorities (16%), funding came in too late (6%) and process for requesting was unclear (6%). The survey allowed for an Other response, to which 10 faculty made comments that can be read in the full survey results.

In summary, we find that the GCCP is an essential program for the Jacobs School. While not all faculty are participating, those that have the funding are able to increase their salaries if electing to participate, which is a major incentive. Should the GCCP be discontinued beyond 2016/17, it would be highly detrimental to the retention and recruitment of faculty in the Jacobs School. Comments from faculty such as those below are foundational reasons why the GCCP must become permanent.

- “This program is very important to me. I would be very upset if it was discontinued.”
- “It’s an important mechanism for us to stay competitive. It’s one of the reasons I am happy to be at ucsc.”
- “Fantastic program that helps make our salary more competitive for both hiring and retention purposes.”
- “GCCP is very important for us to recruit faculty to UCSD.”
- “The GCCP is key in dealing with retention issues and allowing faculty to self-adjust their salary to market rates.”
- “The GCCP is an important program that allows UCSD to stay competitive.”
- “If the GCCP program is cancelled, I would actively pursue employment at another University.”
- “GCCP is essential for my staying at UCSD and declining recruitment overtures from other universities.”

The Jacobs School of Engineering is eager to partner with the campus in preparation for continuation of the program. Full details of our survey are attached.

In addition to the survey conducted in June, we posed the questions from AVC Tammy Wall to each of our departments. The collective responses from all six departments are below.

1. Describe the impact GCCP has had on the success of faculty recruitments. If possible, please quantify the number of successful recruitments in 2015-16 where the GCCP was used as an incentive.

During the 2015-16 recruitment cycle, the GCCP was used as a hiring incentive. For many Departments, it has been an important element in the creation of a competitive offer package. Without the GCCP program, we do not expect some of our offers would have been accepted, particularly given the low Entry Level Salary Agreements (ELSAs) that have been approved. Below are collective comments from our departments.

At least one department commented that the GCCP is part of the conversation with final candidates and the Chair. Information regarding the GCCP is provided in all Jacobs School letters of intent, which is then reiterated in a final offer. The availability of supplemental funding was of interest to all of our final candidates and it is believed that it was a major incentive to candidates accepting our offer.

Another Department had would not have received an offer acceptance without the GCCP. The new female professor immediately applied for GCCP in her first year. The same department hired a new joint female faculty who utilized the Health Sciences Compensation Plan, which was an incentive to accept the offer; had she not had that option, the GCCP would have been essential to her acceptance.

Other departments have seen new faculty recruits apply to participate in the program the following Spring, after their initial appointment. Two Departments had 3 of 6 new faculty inquire about participation in their first year at UC San Diego.

Departments commented that for junior level faculty recruits, the GCCP is mentioned during the recruiting process yet it's not clear whether the program made a difference since their research may not be fully up and running to allow for immediate participation in the program. This becomes apparent when looking at the number of Full Professors participating and eligible for GCCP versus Assistant-rank faculty, at least in 2015/16. In 2016/17, our survey indicates that 59% of Assistant Professors had sufficient funding vs. 41% in 2015/16. In addition, survey comments from Assistant Professors are all positive.

2. Describe the impact GCCP has had on faculty retention (e.g., fewer retention or preemptive cases; successful counter-offers; fewer requests for split appointments with Health Sciences). If possible, please quantify the number of successful retentions in 2015-16 where the GCCP was used as an incentive.

Overall Jacobs School has had 2 official successful retention of senior faculty in 2015-16 using GCCP. Without GCCP in one case, the Department would not have been able to fully match the offer.

ECE commented on the GCCP program since inception, stating that they have had 5 pre-emptive retention cases (a total of 10 since 2009). Of the 5 recent pre-emptive retention cases, 4 of the retained faculty have participated in GCCP.

In addition, there are quite a few current GCCP participants across each department who commented in our survey that GCCP has been a strong incentive to stay at UCSD. Several of the current participants commented in our survey that they are regularly approached by outside universities for faculty administrator positions, but they make the decision not to apply or engage in interviews because of the GCCP. These faculty felt they would be more inclined to look at these outside positions if the GCCP program ended.

3. Has there been an effect, attributable to the GCCP, on research productivity for participants or non-participants? For example, have you found that participation in the program incentivizes faculty to increase their effort to secure outside funding?

Yes, across the Jacobs School several Departments note that faculty are more actively pursuing grants and searching for sources of funding beyond their additional summer salary. Many are seeking funding outside of the agencies they typically work with (i.e. NSF). It appears that those who are participating in GCCP have continued to increase their research funding. Some describe their research productivity as greater than it ever has been. Other faculty have noted that as a result of GCCP, they have increased their research effort and frequently turn down non-research opportunities (like consulting).

4. Has the program affected the quality of teaching in participating departments?

Departments have not seen a change in the quality or level of teaching by participants. Faculty are still required to participate in teaching and to meet the Department's required workload and quality.

5. Has graduate student support been impacted by the program? If so, describe any positive or negative effect.

A majority of Departments have not seen a significant shift in graduate student support from GCCP faculty. However some Departments note that they have increased the number of students they are able to support which in turn expands their research groups and aids the graduate students in participating in broader, multidisciplinary research projects. Several Departments verify appropriate graduate student support by GCCP participants while processing the faculty member's GCCP application and verifying funding. This prevents funds from being taken away from graduate students.

6. Has the climate in participating departments and the division been positively or negatively impacted as a result of the program?

The climate within most participating Departments has positively improved for those that use this option. There have been increases in research productivity as well as mitigation of tensions and efforts pertaining to retention cases. Departments note that the program's administration and implementation can be improved by strengthening the "negotiated" piece of GCCP. Some chairs take the view that the entire approval authority for negotiation occurs outside of the department, giving the Chair little to no authority to set the terms, level of participation, etc.

There is a view that GCCP improves department climate because salary disparities are traceable to disparities in grant productivity rather than to bonus or market off scale increments.

One Department did not believe the Department's climate had shifted due to GCCP.

In surveying faculty anonymously however, several faculty raised concerns related to a conflict between funding students versus themselves, difficulties with

the general administration of the program, and the belief that this is a misuse of research funds.

7. The program guidelines require each participant to contribute an amount equal to 10% of the negotiated salary increment to a contingency fund in the department. Is that percentage sufficient to support the program?

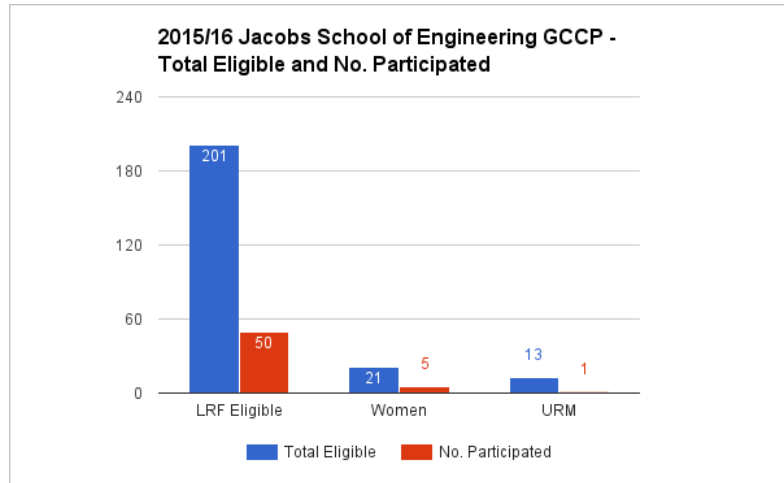
A majority of Departments feel the contribution is sufficient however one Department did not. Most vet applications to ensure that the contingency fund is not needed.

8. GCCP guidelines state that once the contingency fund reached a steady state of 20% (after year 2), the surplus could be used for other academic purposes including, but not limited to, graduate support or faculty and/or staff salaries. In 2015-16, did participating departments utilize the surplus contingency funds and if so, for what purpose?

Departments seem to have not been aware of this option and thus, did not use surplus for other purposes. Some expect to use it to strengthen graduate teaching and research now that they are aware of it. Others will use it based on Departmental need. Other Departments have not yet accumulated enough funds to have a surplus.

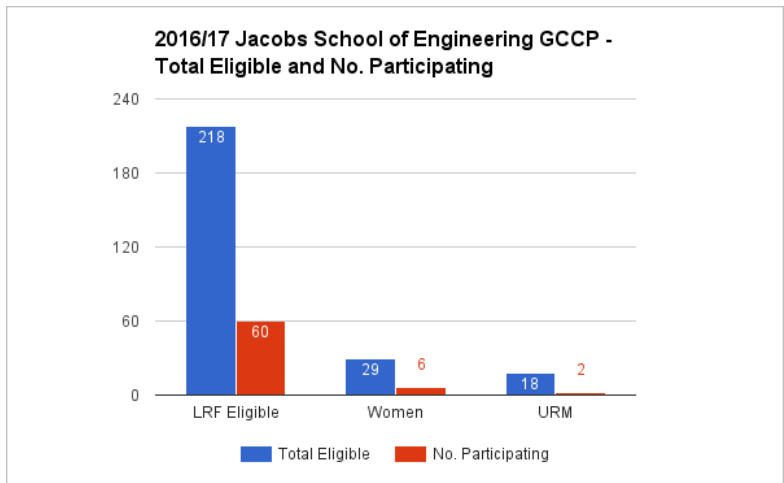
2015/16 Jacobs School of Engineering GCCP - Total Eligible and No. Participated

	LRF Eligible	Women	URM
Total Eligible	201	21	13
No. Participate	50	5	1



2016/17 Jacobs School of Engineering GCCP - Total Eligible and No. Participating

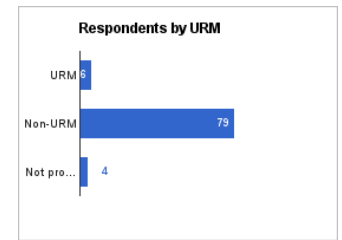
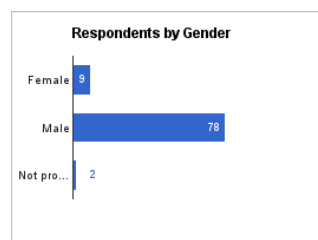
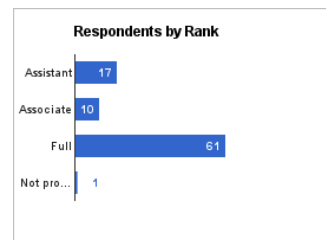
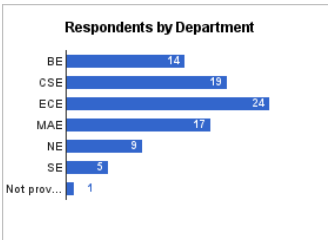
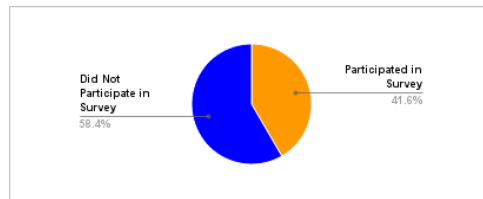
	LRF Eligible	Women	URM
Total Eligible	218	29	18
No. Participati	60	6	2



Jacobs School of Engineering
General Campus Compensation Plan Survey
Results as of 07/01/2016
SUMMARY

Participation Rate

	Count	Percentage
Participated	89	42%
Did Not Participate	125	58%
	214	100%



Respondents by Department

Department	Count	Percentage
BE	14	16%
CSE	19	21%
ECE	24	27%
MAE	17	19%
NE	9	10%
SE	5	6%
Not provided	1	1%
	89	100%

Respondents by Rank

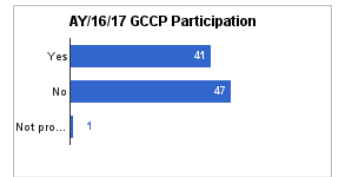
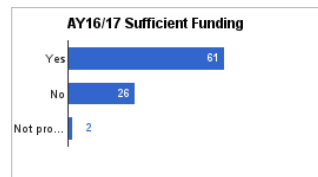
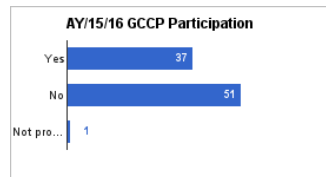
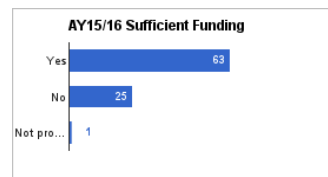
Rank	Count	Percentage
Assistant	17	19%
Associate	10	11%
Full	61	69%
Not provided	1	1%
	89	100%

Respondents by Gender

Rank	Count	Percentage
Female	9	10%
Male	78	88%
Not provided	2	2%
	89	100%

Respondents by URM

Rank	Count	Percentage
URM	6	7%
Non-URM	79	89%
Not provided	4	4%
	89	100%



AY15/16 Sufficient Funding

Response	Count	Percentage
Yes	63	71%
No	25	28%
Not provided	1	1%
	89	100%

AY15/16 GCCP Participation

Response	Count	Percentage
Yes	37	42%
No	51	57%
Not provided	1	1%
	89	100%

AY16/17 Sufficient Funding

Rank	Count	Percentage
Yes	61	69%
No	26	29%
Not provided	2	2%
	89	100%

AY16/17 GCCP Participation

Rank	Count	Percentage
Yes	41	46%
No	47	53%
Not provided	1	1%
	89	100%

AY15/16 Sufficient Funding and GCCP Participation

Response	Number	Percentage
Sufficient Fund and Participated	37	59%
Sufficient Fund but did NOT Participate	26	41%
	63	100%

AY16/17 Sufficient Funding and GCCP Participation

Response	Number	Percentage
Sufficient Fund and Participated	41	67%
Sufficient Fund but did NOT Participate	20	33%
	61	100%

Reasons for Not Participating

Reason	Number	Percentage
Funding Used for Graduate Students	22	46%
Funding Used for Other Priorities	10	21%
Funding Used for Other Academics	8	17%
Funding Too Late	4	8%
Do Not Understand the Process	4	8%
Missed the Deadline	0	0%
Did not Receive Communication from Dept	0	0%
Did Not Meet Criteria	0	0%
	48	100%

Other Reasons for Not Participating in GCCP

From my rough understanding of it, this is a disastrous program, potentially sacrificing the goal of public education. It should be the campus that provide a fair salary to all faculty members and that is it! No more sweat shops on campus.

GCCD is an inappropriate use of research funds, and represents a move by the University to shift faculty support to soft money.

I am against the GCCP since it is encouraging faculty to get bogus projects so as to pay themselves more. Also, the University does not see a reason anymore to increase the salaries and this affects our recruitment and the retention/happiness of other faculty.

i believe this program is unethical

I could have participated at a higher rate but am using my extra funds to support an additional postdoc. The overhead rate of the university for this prog

I did not have unrestricted funds it is currently not possible in ece to participate in the program using federal funding

I do not believe this is a good policy. We need to pay our professors competitively with top ten schools if we hope to become one. If our faculty have to spend extra time obtaining funds to pay themselves competitive salaries, the school's research and teaching will suffer.

I refuse to undertake an action that threatens the climate of cooperation and goodwill in the department.

I wanted sufficient time to understand the political implications of participation in the GCCP. As of this year I have felt comfortable participating without concern about administrative influence.

My time is far too valuable to waste on possibly fruitless searches for money. Faculty should be spending their time on improving their teaching skills and in doing basic research. The present spiral of the UC system toward the useless profit making mode exemplified by Trump University is heartbreaking to see for those of us that knew UC when it obeyed its own rules. GCCP damages our teaching and research, and should be abandoned along with other similar efforts.

Other Feedback on GCCP

Excellent program, please continue!

Fantastic program that helps make our salary slightly more competitive to what we could get in industry (which is usually substantially more)

GCCP is a great program to have!

GCCP is essential for my staying at UCSD and declining recruitment overtures from other universities.

GCCP is very important for us to recruit faculty to UCSD.

Good program -- for now. A 30% salary bump is enough to make UCSD above market salary. But with 15 more years of base salary erosion, you will need to raise GCCP to 60% to salary to be above market. And then the transition of UCSD's professors to essentially soft-money positions is complete.

Great program

I have not used GCCP myself, but I am in favor of keeping it, provided that it is only used by faculty who support a lot of grad students. It should not be available to people who support only 1-3 grad students.

I think that absent state funds to make UC salaries competitive against peer institutions the GCCP is a reasonable tool to manage retention. I think that if we were to discontinue the GCCP we would have significant retention issues especially among our best known faculty in STEM fields.

I think this is a great initiative that makes UCSD competitive for both hiring and retention purposes

If the GCCP program is cancelled, I would actively pursue employment at another University.

It is a great program that offsets the fact that UC underpays faculty when compared to other institutions of the same caliber. The GCCP is also a great recruitment and retention tool. My only suggestion is to allow more flexibility to the program, so that if funds suddenly become unavailable, the GCCP portion can be recalculated proportionally. With today's flexibility in accounting, this should not be an issue.

It is a great program, please keep it up!

It is really good motivator. Also, NIH/NSF are getting very tight about expending funds in the year they are allocated. Therefore, having the GCCP provides yet another source of flexibility.

It's an important mechanism for us to stay competitive. It's one of the reasons I am happy to be at ucscd.

It's great. I hope to be able to use someday.

The GCCP is an important program for ECE to be competitive. I strongly feel it should continue.

The GCCP is an outstanding program that allows UCSD to stay competitive.

THE GCCP is key in dealing with retention issues and allowing faculty to self-adjust their salary to market rates

This is a good program for allowing us to reach parity with the commercial world and other universities. However, there should be more flexibility regarding funds. The most likely issue is that not everyone has all of their funds available at the beginning of the year.

This is a very good program that must continue

This is a very important program that should be continued

This is an important program that contributes to bringing the school to top 10.

This program is very important to me. I would be very upset if it was discontinued.

changes to participate should be allowed. Participation should be made easier. The university overhead is unjustifiably high.

creates a conflict between funding students versus self

GCCP distorts university priorities and is a bad deal for faculty.

GCCP is not a good program since it shifts the responsibility of salary from the University to the contracts, and encourages faculty to accept low level work just to get money. Also, many faculty, and I know of several, use the funds to pay themselves more (even if they are Chair funds!!!) and not support students - Chair funds should be to do research and support students and not pay yourself extra.

It would be better if we all just got a raise. Personally, my compensation is inadequate compared to other faculty in my department with similar/worse performance.

Please read and follow the UC policies and procedures. Stop making the students and faculty pay UC expenses.

Process for applying is VERY disorganized. Each time I have been asked to complete forms, modify them, re-sign etc 4-5 times. Leads to lots of excess work and confusion

See above (GCCD is an inappropriate use of research funds, and represents a move by the University to shift faculty support to soft money.)

The plan is used at the detriment of supporting grad students and post-docs and should be discontinued

The UC system should take care of the faculty salaries!

Allow to use federal funding

For budgeting purposes, it would be helpful to have a spreadsheet/calculator that breaks down the costs of participating in the GCCP program.

GCCP should be extended to include all Academic Senate members, not just Ladder-Rank.

Survey is limited. There should be questions as to whether the GCCP is serving its purpose and whether it is abused.

Thanks..

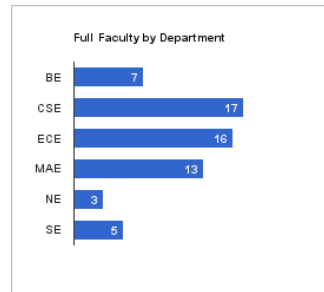
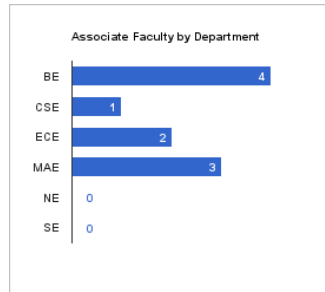
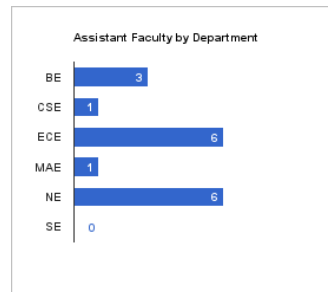
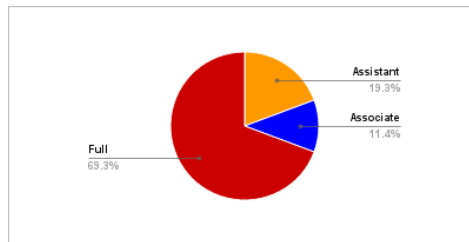
To be competitive with other private institutions, the school should established a permanent fund to support GCCP for all faculty members. Sources for the fund: 1) a portion of the overhead should be used; 2) faculty grants (if the faculty can afford it); 3) other incomes (e.g. IP royalty).

Jacobs School of Engineering
General Campus Compensation Plan Survey
Results as of 07/01/2016

By Rank

Participation Rate

Rank	Count	Percentage
Assistant	17	19%
Associate	10	11%
Full	61	69%
Not provided	1	1%
	89	100%



Assistant

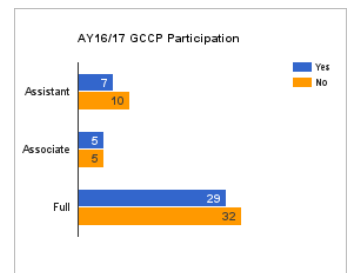
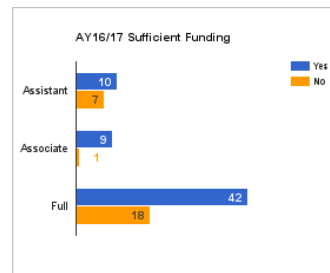
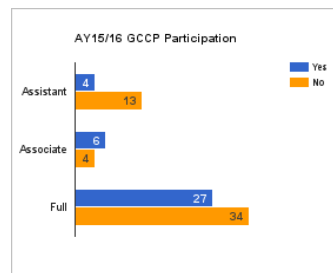
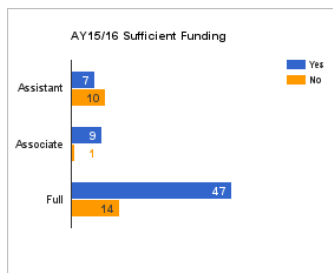
Department	Count	Percentage
BE	3	18%
CSE	1	6%
ECE	6	35%
MAE	1	6%
NE	6	35%
SE	0	0%
	17	100%

Associate

Department	Count	Percentage
BE	4	40%
CSE	1	10%
ECE	2	20%
MAE	3	30%
NE	0	0%
SE	0	0%
	10	100%

Full

Department	Count	Percentage
BE	7	11%
CSE	17	28%
ECE	16	26%
MAE	13	21%
NE	3	5%
SE	5	8%
	61	100%



AY15/16 Sufficient Funding

Rank	Yes	No
Assistant	7	10
Associate	9	1
Full	47	14
	63	25

AY15/16 GCCP Participation

Rank	Yes	No
Assistant	4	13
Associate	6	4
Full	27	34
	37	51

AY16/17 Sufficient Funding

Rank	Yes	No
Assistant	10	7
Associate	9	1
Full	42	18
	61	26

AY16/17 GCCP Participation

Rank	Yes	No
Assistant	7	10
Associate	5	5
Full	29	32
	41	47

AY15/16 Sufficient Funding and GCCP Participation

Response	Assistant	Associate	Full
Sufficient Fund and Participated	4	6	27
Sufficient Fund but did NOT Participate	3	3	20
	7	9	47

AY16/17 Sufficient Funding and GCCP Participation

Response	Assistant	Associate	Full
Sufficient Fund and Participated	7	5	29
Sufficient Fund but did NOT Participate	3	4	13
	10	9	42

Reasons for Not Participating

Reason	Funding Too Late	Funding Used for Graduate Students	Funding Used for Other Academics	Funding Used for Other Priorities	Missed the Deadline	Did not Receive Communication from Dept	Do Not Understand the Process	Did Not Meet Criteria	TOTAL
Assistant	1	5	1	1			1		9
Associate	1	2	1	2			1		7
Full	2	15	6	7			2		32
	4	22	8	10	0	0	4	0	48

Other Reasons for Not Participating in GCCP

ASSOCIATE

From my rough understanding of it, this is a disastrous program, potentially sacrificing the goal of public education. It should be the campus that provide a fair salary to all faculty members and that is it! No more sweat shops on campus.

i believe this program is unethical

FULL

GCCD is an inappropriate use of research funds, and represents a move by the University to shift faculty support to soft money.

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ASSISTANT

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This is an important program that contributes to bringing the school to top 10.

This program is very important to me. I would be very upset if it was discontinued.

For budgeting purposes, it would be helpful to have a spreadsheet/calculator that breaks down the costs of participating in the GCCP program.

ASSOCIATE

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FULL

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I think that absent state funds to make UC salaries competitive against peer institutions the GCCP is a reasonable tool to manage retention. I think that if we were to discontinue the GCCP we would have significant retention issues especially among our best known faculty in STEM fields.

If the GCCP program is cancelled, I would actively pursue employment at another University.

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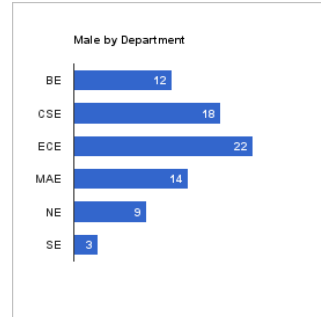
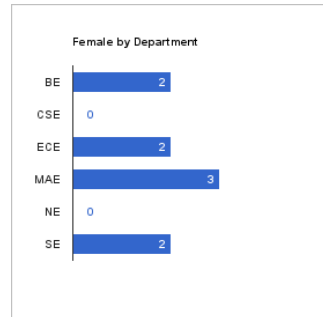
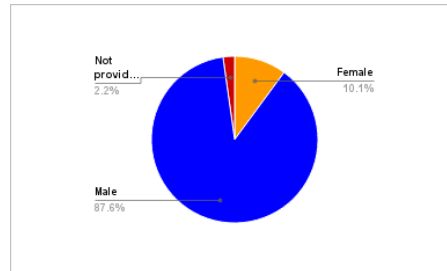
NO RANK PROVIDED

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Jacobs School of Engineering
General Campus Compensation Plan Survey
Results as of 07/01/2016
By Gender

Participation Rate

Gender	Count	Percentage
Female	9	10%
Male	78	88%
Not provided	2	2%
	89	100%

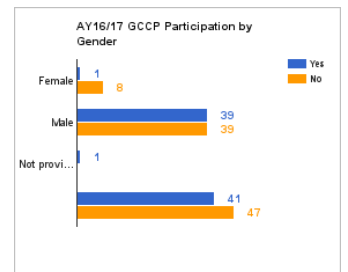
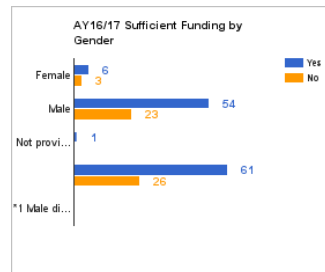
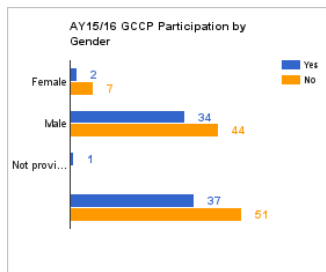
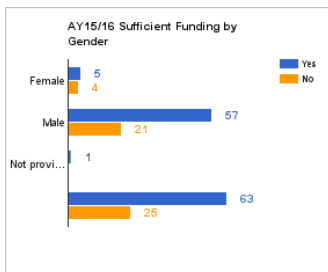


Female

Department	Count	Percentage
BE	2	22%
CSE	0	0%
ECE	2	22%
MAE	3	33%
NE	0	0%
SE	2	22%
	9	100%

Male

Department	Count	Percentage
BE	12	15%
CSE	18	23%
ECE	22	28%
MAE	14	18%
NE	9	12%
SE	3	4%
	78	100%



AY15/16 Sufficient Funding

Gender	Yes	No
Female	5	4
Male	57	21
Not provided	1	25

AY15/16 GCCP Participation

Gender	Yes	No
Female	2	7
Male	34	44
Not provided	1	51

AY16/17 Sufficient Funding

Gender	Yes	No
Female	6	3
Male	54	23
Not provided	1	26

AY16/17 GCCP Participation

Gender	Yes	No
Female	1	8
Male	39	39
Not provided	1	47

*1 Male did not answer question

AY15/16 Sufficient Funding and GCCP Participation

Response	Female	Male	Not Provided
Sufficient Fund and Participated	2	34	1
Sufficient Fund but did NOT Participate	3	23	
	5	57	1

AY16/17 Sufficient Funding and GCCP Participation

Response	Female	Male	Not Provided
Sufficient Fund and Participated	1	39	1
Sufficient Fund but did NOT Participate	5	15	
	6	54	1

Reasons for Not Participating

Reason	Funding Too Late	Funding Used for Graduate Students	Funding Used for Other Academics	Funding Used for Other Priorities	Missed the Deadline	Did not Receive Communication from Dept	Do Not Understand the Process	Did Not Meet Criteria	TOTAL
Female		4		2					6
Male	4	18	8	8			4		42
	4	22	8	10	0	0	4	0	48

Other Reasons for Not Participating in GCCP

FEMALE

I refuse to undertake an action that threatens the climate of cooperation and goodwill in the department.

MALE

From my rough understanding of it, this is a disastrous program, potentially sacrificing the goal of public education. It should be the campus that provide a fair salary to all faculty members and that is it! No more sweat shops on campus.

GCCD is an inappropriate use of research funds, and represents a move by the University to shift faculty support to soft money.

I am against the GCCP since it is encouraging faculty to get bogus projects so as to pay themselves more. Also, the University does not see a reason anymore to increase the salaries and this affects our recruitment and the retention/happiness of other faculty.

i believe this program is unethical

I could have participated at a higher rate but am using my extra funds to support an additional postdoc. The overhead rate of the university for this program seems very high.

I did not have unrestricted funds it is currently not possible in ece to participate in the program using federal funding

I do not believe this is a good policy. We need to pay our professors competitively with top ten schools if we hope to become one. If our faculty have to spend extra time obtaining funds to pay themselves competitive salaries, the school's research and teaching will suffer.

I wanted sufficient time to understand the political implications of participation in the GCCP. As of this year I have felt comfortable participating without concern about administrative influence.

My time is far too valuable to waste on possibly fruitless searches for money. Faculty should be spending their time on improving their teaching skills and in doing basic research. The present spiral of the UC system toward the useless profit making mode exemplified by Trump University is heartbreaking to see for those of us that knew UC when it obeyed its own rules. GCCP damages our teaching and research, and should be abandoned along with other similar efforts.

Other Feedback on GCCP

FEMALE

I have not used GCCP myself, but I am in favor of keeping it, provided that it is only used by faculty who support a lot of grad students. It should not be available to people who support only 1-3 grad students.

The plan is used at the detriment of supporting grad students and post-docs and should be discontinued

For budgeting purposes, it would be helpful to have a spreadsheet/calculator that breaks down the costs of participating in the GCCP program.

MALE

Excellent program, please continue!

Fantastic program that helps make our salary slightly more competitive to what we could get in industry (which is usually substantially more)

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GCCP is essential for my staying at UCSD and declining recruitment overtures from other universities.

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Good program -- for now. A 30% salary bump is enough to make UCSD above market salary. But with 15 more years of base salary erosion, you will need to raise GCCP to 60% to salary to be above market. And then the transition of UCSD's professors to essentially soft-money positions is complete.

Great program

I think that absent state funds to make UC salaries competitive against peer institutions the GCCP is a reasonable tool to manage retention. I think that if we were to discontinue the GCCP we would have significant retention issues especially among our best known faculty in STEM fields.

I think this is a great initiative that makes UCSD competitive for both hiring and retention purposes

If the GCCP program is cancelled, I would actively pursue employment at another University.

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It is really good motivator. Also, NIH/NSF are getting very tight about expending funds in the year they are allocated. Therefore, having the GCCP provides yet another source of flexibility.

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It's great. I hope to be able to use someday.

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This is a very good program that must continue

This is a very important program that should be continued

This is an important program that contributes to bringing the school to top 10.

This program is very important to me. I would be very upset if it was discontinued.

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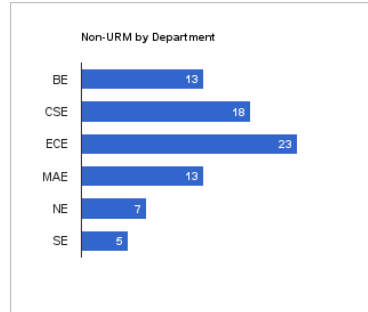
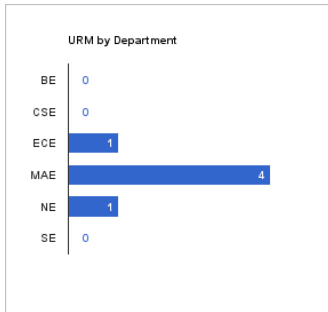
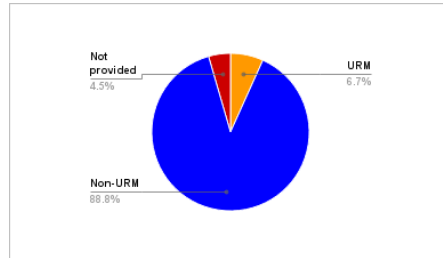
NO GENDER PROVIDED

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Jacobs School of Engineering
General Campus Compensation Plan Survey
Results as of 07/01/2016
By URM

Participation Rate

	Count	Percentage
URM	6	7%
Non-URM	79	89%
Not provided	4	4%
	89	100%

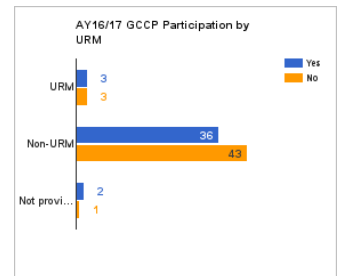
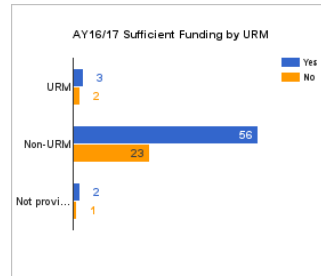
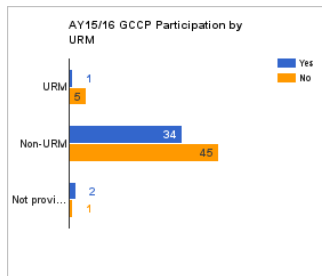
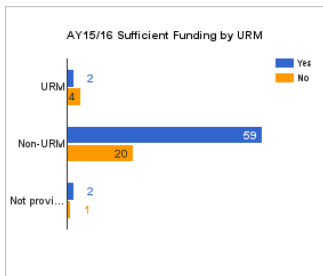


URM

Department	Count	Percentage
BE	0	0%
CSE	0	0%
ECE	1	17%
MAE	4	67%
NE	1	17%
SE	0	0%
	6	100%

Non-URM

Department	Count	Percentage
BE	13	16%
CSE	18	23%
ECE	23	29%
MAE	13	16%
NE	7	9%
SE	5	6%
	79	100%



AY15/16 Sufficient Funding

	Yes	No
URM	2	4
Non-URM	59	20
Not provided	2	1
	63	25

AY15/16 GCCP Participation

	Yes	No
URM	1	5
Non-URM	34	45
Not provided	2	1
	37	51

AY16/17 Sufficient Funding

	Yes	No
URM	3	2
Non-URM	56	23
Not provided	2	1
	61	26

AY16/17 GCCP Participation

	Yes	No
URM	3	3
Non-URM	36	43
Not provided	2	1
	41	47

*1 URM did not answer question

AY15/16 Sufficient Funding and GCCP Participation

Response	URM	Non-URM	Not Provided
Sufficient Fund and Participated	1	34	2
Sufficient Fund but did NOT Participate	1	25	
	2	59	2

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Response	URM	Non-URM	Not Provided
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URM		2	2	1					5
Non-URM	4	19	6	9			3		41
Not provided		1					1		2
	4	22	8	10	0	0	4	0	48

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