Report of the Negotiated Salary Trial Program Phase Two Taskforce

1. Executive Summary and Recommendations

On October 11, 2021, Provost and Executive Vice President for Academic Affairs Michael T. Brown charged our Taskforce with reviewing the Negotiated Salary Trial Program (NSTP) and making recommendations about continuance of the program.

Our review of the NSTP reveals that it is a program that is generally well received on the six campuses (Davis, Irvine, Los Angeles, Riverside, San Diego, and Santa Cruz) where it is used. Its utilization is somewhat limited, involving from just 1.0 to 12.3% of the faculty on any given campus (6.4% of all eligible faculty across the six campuses participate). Yet it provides considerable amounts of additional compensation to the participating faculty ($41,280 additional compensation on average among the participants and representing an augmentation of more than 20% of salary for 63.2% of the participants). Survey results indicate that it is very popular with participants. Non-participants are more mixed in their attitudes toward it: some non-participants see it as a valuable way for the campuses to compete with other universities to attract and retain the best faculty; other non-participants see it as unfair and arguably at odds with the University's ethos and mission.

As detailed below, the available evidence, while not perhaps as conclusive as might be desired, indicates that the NSTP is not harmful to the University's mission. It does not appear to result in reductions in teaching nor in graduate student support. There is some evidence to suggest that it may even expand the research enterprise, thereby enhancing graduate and postdoctoral education. Clearly, at least in terms of pay, participants find the program beneficial. The open question is whether the program provides benefits in terms of enhancing faculty recruitment and retention. Arriving at a definitive answer for that question is challenging. There is no clear statistical or other quantitative evidence to say that the program does. At the same time, many participants and department chairs aver that the program has been an important component of attracting and retaining the best faculty. As we discuss below, we conclude that the program likely helps with keeping program participants at UC. The impact of the program on junior faculty recruitment appears to be minimal since they typically need several years to expand their research program to be able to participate. We note, too, that there appears to be little effect of the program on recruitment and retention for non-participants, who are the overwhelming majority of UC faculty.

There continue to be some concerns about potential negative effects of the program, in addition to the equity and educational mission concerns to which we've already alluded. A significant concern is that the NSTP reduces the pressure on the UC system and its campuses to ensure that faculty salaries are competitive. Especially given the low participation rate, the NSTP or a successor program should not be seen as a substitute for having competitive pay scales. At best, the NSTP or successor program is merely one arrow in a quiver of strategies for ensuring that UC is competitive in terms of attracting and retaining the best faculty. Furthermore,

to the extent that UC uses the NSTP or successor program as a tool to attract and retain faculty, it will have to address the salary inequities that will likely ensue (*e.g.*, via a salary equity program that might be mandated as part of a range adjustment).

After considerable discussion and review of materials, the taskforce has concluded that ending the negotiated salary program would be so disruptive that we cannot recommend such a course of action. Rather, accepting that it needs to continue, we have addressed how it can be improved and expanded. In Section 4 of this report, we offer some broad recommendations for a permanent negotiated salary plan (NSP). The highlights of those recommendations are:

- It should be available on all campuses for the use of faculty that are not on the health sciences compensation plan (HSCP).

- Its implementation on each campus should allow for some local campus autonomy on issues such as fund sources, defining good standing, etc.

- There are a number of features and principles that an NSP should adhere to, as set forth in detail in Section 4.

We believe that the earlier proposed system-wide policy, which would have been Section 668 of the Academic Personnel Manual (APM), provides a good starting place for drafting a new system-wide policy, one that should be informed by the lessons we've learned from the NSTP.

The next section, Section 2, lays out the background of the NSTP, summarizes its history and connection with the HSCP, and reviews previous assessments of it. Section 3 is our assessment of the NSTP. We discuss its utilization, which, as already observed, is limited. It is also, as we discuss, effectively restricted to certain fields, principally STEM fields. While that is not necessarily a problem, it does underscore the point that NSTP or a successor program is unlikely to address salary issues broadly, which means other steps will need to be taken to ensure faculty salaries that are competitive and equitable; with regard to the latter objective, we again emphasize that steps will likely be necessary to ensure that the NSTP or successor program doesn't serve to exacerbate the salary inequities that are already present. We also review other features of the NSTP and discuss, in depth, the evidence on how it may be affecting matters such as recruitment, retention, faculty workload, and graduate/postdoc support.

Report Contents (note the actual appendices don't have page numbers)

2. Background

This section derives largely from (i) the Negotiated Salary Trial Program (NSTP) Fourth Year Taskforce Report (June 2017); (ii) the Senate Response to the Fourth Year Taskforce Report (December 2017); and (iii) the Goals, Data Collection, Metrics, and Reporting document produced by the NSTP Metrics Working Group (October 2018).

A. History of Negotiated Salary Programs at UC

Discussions and development of a general campus negotiated salary program at UC. Discussions of a possible negotiated salary program for general campus faculty have occurred at UC for over 20 years, at both the campus and systemwide levels. Often drawing from the plans for negotiated salary used by schools in the health sciences, these discussions have promoted various mechanisms and funding sources. They have generally been targeted at specific disciplines. In the 1990s, the Council of Vice Chancellors (COVC) circulated a proposal for such a plan, which had been developed at UCLA, that was structured on a three-part salary component system with ranges at each salary step. COVC members were divided in their views about the plan with three in favor, two opposed, and four not commenting. Around the same time, UC San Diego drafted a pilot compensation plan for the biological sciences, but it was never put in operation. In the first decade of the 21st century, discussions of a general campus negotiated salary plan continued. This included a COVC discussion in 2003, as well as continuing campus-level discussions, particularly at UC San Diego and UCLA. Throughout these various proposals, the conversation has included issues of non-state funding, discipline-based needs, definition of covered compensation, summer income, and outside professional activities.

Proposed APM Policy. The discussions that culminated in the Negotiated Salary Trial Program (NSTP), phase one, stem from a June 2010 report to then UC Provost Lawrence Pitts. A Joint Senate-Administration Compensation Plan Steering Committee, chaired by then UC Irvine Executive Vice Chancellor and Provost Mike Gottfredson, delivered a report noting that "new approaches to funding faculty salaries are critical to sustaining a superior faculty, and to maintaining the superior public education that exemplifies the University of

California." The report proposed development of APM policy, characterizing such policy "as a relief valve on the pressures otherwise mounting through reliance on ad hoc use of retention requests, which would further consume constrained state funds and impinge on the UCRP."[1] A working group of Senate faculty and campus-level academic personnel representatives put together a draft policy. The proposed policy, which would have been section 668 of the Academic Personnel Manual (APM 668), was circulated for both management review (review limited to systemwide senate committees and some academic administrators) and systemwide review in 2011. Response to the policy was mixed, with strong objections as well as strong support among reviewers.

NSTP, phase one. Provost Pitts determined that concerns about the proposed APM 668 were so strong that the best alternative was to meet the salary needs by charging a Taskforce to develop "possible paths forward" and to generate a report by June 15, 2012. The Taskforce endorsed the idea of instituting a General Campus Negotiated Salary Trial Program; additionally, it proposed components of the program for review. These documents were subsequently reviewed by the Academic Council as well as the COVC in fall 2012.

In February of 2013, then Provost Aimée Dorr decided to accept the Taskforce recommendations for a trial program to begin on July 1, 2013, on three campuses, assuming that the campus Senate leaders and the administration could each demonstrate that the conditions were right for a successful program. Specifically, she asked that each campus provide her with documentation of the campus consultations on the trial program, involving both Senate members and administration. She asked each campus to develop campus-based implementation procedures, based on a common template, and extended the length of the trial from four to five years. She also asked Vice Provost Susan Carlson to work with the three campuses (Irvine, Los Angeles, and San Diego) and Senate members to further refine metrics, reporting, and assessment.

The three campuses that decided to take part in the program developed campus implementation documents that were approved by the Office of the President. Irvine, Los Angeles, and San Diego all began a trial program on their campuses effective July 1, 2013. This phase one of the program concluded on June 30, 2018.

In year four of phase one, UC Provost Dorr appointed a joint Senate-administrative Taskforce to review the NSTP. The Taskforce began its work in the fall of 2016. The Taskforce's review included requests for additional data and a survey of the leaders of NSTP participating department leaders. Its work culminated in a report that recommended an extension and expansion of the trial program to allow for more data collection and review of the effects of the program. The report was forwarded to the Provost on June 22, 2017 and circulated to faculty leaders and campus academic administration on July 13, 2017 for review.

NSTP, phase two. In January, 2018, based on input from the systemwide review, UC Provost Michael T. Brown approved an expansion and continuation of the NSTP in a second phase, to begin on July 1, 2018 and run through June 20, 2022, with a possible one-year extension to facilitate determination at that time whether to establish the program as APM policy, terminate it, or alter it.

In addition to the three phase-one campuses, three new campuses (Davis, Riverside, and Santa Cruz) joined the program during phase two. On September 17, 2021, UC Provost Brown approved a one-year extension of the

---

[1] UCRP = University of California Retirement Plan.

NSTP for an additional fifth year for phase two for fiscal year 2022–23. Additionally, he requested that the six participating campuses provide a plan for possible rescindment should the program end. On October 12, 2021, UC Provost Brown appointed this new Taskforce to review the program and make a recommendation on whether to institutionalize the program in policy or to end it.

B. Relation to HSCP

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

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

Neither the Y nor Z component is UCRP-covered compensation.

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

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

C.   Summary of Previous Reviews

i.   Discussion of key issues raised in previous reviews

In its June 2017 report, the NSTP Fourth Year Taskforce considered the following questions with regard to its evaluation of the NSTP:

(1)   What is the program's effect on faculty recruitment and retention? While Department Chairs and Faculty placed great importance on the program as a tool for recruitment and retention, the Taskforce found little quantitative evidence to support or refute this claim. Having more data was, therefore, viewed as important.

(2)   What is the program's effect on graduate student support and the size of research groups? Based on data from a single campus, the Taskforce found an increase in student support and research group size during participation years as compared to non-participation years.

(3)   What were average total research expenditures? The Taskforce found increases in total research expenditures during the first year of program participation as compared to prior years.

(4)   What were the effects of the program on teaching and service? While teaching loads of enrolled faculty were less than those of non-enrolled faculty, they found no difference in the teaching workload of enrolled faculty before and during their participation in the program; that is, the difference in teaching loads was a "preexisting condition."

(5)   Were faculty and administrators supportive of the program? Substantial support for the program was expressed by Department Chairs, administrators, and enrolled faculty. At the same time, non-enrolled faculty expressed concerns.

(6)   What were the costs of administering the program? Annual surveys of administrators showed negative reactions from staff due to the administrative burden of administering the program.

Overall, the Taskforce stated that there was a need for better evaluation of the program in the future. Consequently, it made additional data collection recommendations for the program going forward.

In December 2017, in response to the NSTP Fourth Year Taskforce report, the Academic Senate expressed conditional support for continuing the NSTP on a trial basis and expanding it to other campuses. However, they also had concerns about the NSTP's potential to exacerbate salary inequities, undermine the merit and promotion system, and compromise the core mission of the University by shifting faculty effort from teaching, service, and graduate student support to revenue-producing research activities. In addition, many reviewers found the report lacked sufficient data to support clear conclusions about either the program's positive impact on recruitment and retention or its detrimental impact on equity, faculty teaching effort, or graduate student support. The Senate also noted that it was unfair to grant such a benefit to UC Faculty on some campuses but not others. A further concern was that in creating a pilot program that allows for this supplemental salary

funding, the University could not easily withdraw such an entitlement. In essence, the creation of a pilot program, without a plan to end the program, was seen to create a systemwide policy by default. The Senate recommended that a rescindment plan needed to be created before the trial program could be extended.

ii.   Questions that previous reviews left to be addressed

In May 2018, UC Provost Brown charged a joint Senate-Administration NSTP Working Group to design data collection, metrics, and an evaluation for phase two of the NSTP. The Working Group determined that, based on its review of phase two, it would make a recommendation for continuation, alteration, or termination of the program. Its basis for its recommendation would, in part, depend on whether the program had contributed sufficiently to recruitment and retention and whether the level of faculty participation pointed to a continued need for this type of program. The Working Group also requested that the Taskforce that would ultimately review the program should weigh the benefits vs. the potential drawbacks in areas such as 1) salary equity; 2) research focus; 3) department morale; 4) department workload distribution; 5) graduate student support, teaching, and service; and 6) administrative burden.

The Working Group developed the following set of questions to guide the review and data collection for phase two (we have organized them to parallel, somewhat, the six questions raised above):

1.   What is the program's effect on faculty recruitment and retention?
2.   What is the program's effect on graduate student support and the size of research groups? In particular, have the number of graduate students and postdoctoral fellows been affected? Does the program create or exacerbate salary inequities? (By gender, race/ethnicity, discipline, college, or rank?)
3.   What has happened to total research expenditures? What have the effects been at the department/school level? Have department climate and functioning been impacted?
4.   Does the program unduly encourage research in better-funded areas to the detriment of less-lucrative lines of research?
5.   Are faculty and administrators supportive of the program?
6.   Are administrative costs in line with the size and impact of the program?

3. Assessment of the NSTP

A.   Utilization

It is important, at the outset, to recognize that NSTP is not a heavily utilized program and that its utilization is principally limited to certain areas of scholarship within the participating campuses. Using data from the "Negotiated Salary Trial Program Phase Two Annual Report for Year Three (July 2020 - June 2021)" ("NSTP P2Y3"), only 6.4% of all faculty participated in NSTP in 2020–21.[2] Among the six campuses in which faculty could participate,[3] the participation rates varied from a low of 1.0% (Davis) to a high of 12.3% (San Diego). A more

---

[2] Faculty is defined as ladder rank and in-residence faculty not in a HSCP school.
[3] The participating campuses are Davis, Irvine, Los Angeles, Riverside, San Diego, and Santa Cruz.

nuanced understanding of participation can be had by recognizing that not all departments and schools in the six participating campuses are participating. Considering only faculty in participating departments on participating campuses, utilization rates vary from 7.1% (Davis) to 18.3% (San Diego).[4] Utilization is primarily in STEM fields (including public health). It is exclusively STEM fields at Davis, Riverside, and Santa Cruz. At the other campuses, STEM faculty account for 88% of utilizations at Irvine, 94% at Los Angeles, and 84% at San Diego.

Utilization can also be assessed by demographic attributes. There appears to be no notable difference in utilization by gender, controlling for participating units: 27.8% of the participants identify as female and female-identifying faculty make up 29.1% of the faculty in the participating units. Racial/ethnic utilization demonstrates greater variation: Asian/Asian American faculty utilize the program above their representation in participating units, while African/African American faculty, Chicanx/Latinx/Hispanic, and White faculty have utilization rates below their representation in participating units (see Figure 4 of the NSTP P2Y3).

Utilization rates tend to climb with seniority: eligible Assistant Professors use the program at a rate less than their percentage of eligible faculty, while Associate and full Professors use the program at a rate above their percentages of the eligible faculty.

A further question is the amount of salary augmentation that NSTP represents. Overall, considering eligible faculty only, the total salary augmentation from NSTP equals 23.0% of the total base salaries of participants. That aggregate number conceals considerable variation across participants: for 14.8% of participants, the augmentation is 10% or less of their base salary; for 22.1%, it is 10–20%; and for the remaining 63.2%, it is 20–30%.[5] Female-identifying faculty tend to augment their salaries at roughly the same percentages as male-identifying faculty measured as a percentage of their base salaries (see Figures 9 and 15 in NSTP P2Y3). On the other hand, reflecting that female-identifying faculty tend to have lower base salaries, the dollar amount of their augmentation tends to be less than that of male-identifying faculty (average augmentation for females is $37,433, average for males is $42,762).[6] There does not seem to be much variation across racial/ethnic groups with regard to the augmentations as percentage of base salaries (see Figures 10 and 16 in NSTP P2Y3). In dollars terms there is also little variation by racial/ethnic groups (average augmentation is $42,811 for Whites, $39,811 for Asian/Asian Americans, and $37,919 for URMs); what differences in augmentation amounts exist are probably explained by differences in base salaries (average for Whites is $184,857; it's $175,722 for Asian/Asian Americans and $151,473 for URMs).

In summary, NSTP is not a heavily utilized program, although it is more heavily used in some areas (STEM notably) than others and on some campuses more than others (*e.g.*, by almost one in eight faculty at San Diego). For those faculty who do participate, it represents a non-trivial amount of additional income: $41,280 on average and over a 20% augmentation for 63.2% of the participants. It is difficult to see how the loss of this compensation mechanism would be other than very disruptive at the participating campuses, potentially leading to demands for significant increases to base salaries and/or retention issues.[7]

---

[4] The rates for the other four campuses are 16.3% at Irvine, 17.1% at Los Angeles, 9.5% at Riverside, and 10.3% at Santa Cruz.

[5] The NSTP does not allow augmentation beyond 30%.

[6] The average base salary for females is $163,665. The average for males is $185,075.

[7] Although there are not good data on the role the NSTP might play in retentions, surveys of participants suggest that the NSTP could be an important factor in the participants' decisions to remain at UC. As one participant who was surveyed

B.   Assessment of the Current Program

Although a challenge to quantify, the NSTP would appear to be important on campuses where it has been implemented, albeit not for every department and school. It is valued by participating faculty and it is generally seen as an asset by administrators.[8] For those areas in which NSTP can be utilized, it is viewed positively in terms of recruitment and retention (although quantitative data to support that view is difficult to assemble) and as an incentive to grow sponsored research; hence, many see it as having positive effects on the research mission of the University of California (see previous two footnotes).

NSTP has also played an important role in reducing the tension that arose because of the desire of some general campus faculty to participate in a salary plan akin to the Health Sciences Compensation Plan (HSCP).[9] In particular, it lessened the desire of those general campus faculty to move their appointments to health science units under the HSCP. Since the NSTP was first implemented on three campuses (Irvine, Los Angeles, and San Diego) in 2013, there are survey data to show that, while of limited use, NSTP has been positively received. In this regard, the Taskforce finds the case for establishing a permanent program more compelling than it was when reviewed by the NSTP Fourth-Year Senate-Administration Taskforce in 2017. At that time, it was noted that the project was relatively modest in scale and impact. In this section, evidence regarding the effects of the program on faculty recruitment and retention, on teaching, and on the support of graduate and postgraduate researchers are reviewed. This is followed by a discussion of the equity concerns inherent in the program. Finally, we address the critical point that the program should in no way replace the need to raise the salary scales for ladder faculty to maintain the excellence of our faculty across the University. This last point is particularly important for fields and disciplines where extramural funds to support a negotiated salary program are unlikely to be available.

i.   Evidence concerning recruitment and retention

A major motivation for establishment of the NSTP was to improve success in recruitment and retention of faculty in disciplines that generate significant extramural funding. Department chairs and campus administrators with direct experience with the program express the view that the NSTP has proved a useful tool for both

---

wrote, "I am in a discipline that is in high demand with no shortage of academic and industrial research positions. I know many of my colleagues, as well as I, would have long departed because of the grossly under-market-rate base salary. NSTP's discontinuation will cause huge talent loss" (source: 2021 NSTP Faculty Survey).

[8] Surveys indicate that *participating* faculty view it favorably (see, *e.g.* 2021 NSTP Faculty Survey). This seems generally to be the impression of senior administrators; for example, "... NSTP helps us to recruit top-notch scholar[s] to our school and [retain] several highly sought-after faculty. In every single successful retention case I have worked on in the past three years, NSTP played an essential role in keeping our faculty stay. Without NSTP, we would have lost many productive faculty."

[9] From one senior administrator (responding to an anonymous survey): "NSTP allows us to compete with medical school compensation programs. For that reason alone it is an essential tool for campus use. Should NSTP be sunsetted, then an alternative would have to be established for faculty in biological and physical schools that could run their grants and payroll through medicine. The consequence would be less undergraduate teaching for those faculty that place their appointments in the health sciences."

recruitment and retention.[10,11] However, given the small numbers of faculty members involved in the NSTP in any given academic unit, it is difficult to obtain quantitative evidence for such an impact. As one member of the Taskforce, with considerable experience in faculty retention matters, wrote, "While the effect of NSTP on retention is difficult to document in a statistically rigorous manner, it is without question an important tool for competing with external offers."

Although quantitative measures of the NSTP's effects on recruitment and retention are difficult to obtain, an examination of faculty, staff, and administrator comments suggest that the effects have been positive and valuable. Numerous respondents to the 2021 Faculty and 2021 Administrative surveys noted that, with the high cost of living near many UC campuses, any means of increasing faculty compensation will be valuable in recruitment and retention. Although generally positive about the value of NSTP for recruitment, a number of respondents noted that the restrictions on fund sources represented a limitation on using NSTP in recruitment; it is these respondents' belief that a broader set of possible fund sources would make NSTP an even more powerful tool for recruitment. That said, many respondents opined that the *existence* of this compensation mechanism had a positive effect on faculty recruiting in fields where extramural funding to support a negotiated salary increment tended to be available.

Although many survey respondents expressed the view that NSTP was an asset for faculty recruitment and retention, this was not a universal view: some respondents said that the program had had negligible effects on recruitment and retention.[12]

---

[10] For example, "[NSTP is] a huge positive for our dep[artmen]t. As chair, I clearly have seen that the ability to participate in NSTP has decreased salary complaints, decreased retention issues, and increased positive perception of the dept, school, and [my campus]" (source: 2021 NSTP Administrative Survey). Or consider, "The [NSTP] was essential in my decision to remain at [campus name]. Other Universities were able to offer far more salary than UC when trying to recruit my lab. Even with the [NSTP] my salary is significantly lower than what was offered elsewhere, but it made it closer so that I could rationalize staying for other factors ... [NSTP] is important for retention of successful faculty that are capable of maintaining highly funded research programs" (source 2021 NSTP Faculty Survey).

[11] For example, "[NSTP] is key to successful recruitments, the front[-]end salaries are much more attractive and UCRP is not a strong selling point" (source: 2021 NSTP Administrative Survey). Another respondent to the same survey: "As dep[artment] chair, I interact closely with faculty participating in NSTP. It is a very important factor for faculty who struggle with the high local cost of living. It is also a major element of discussions with prospective faculty recruits." Or consider, "I accept the offer to join [campus name], this NSTP is one of the major reasons which makes [campus name] recruitment competitive. It is clearly stated in my offer letter about participating [in] NSTP. I transferred multiple grants to [campus name] and I am getting more grants because this incentive of NSTP is driving me to bring in more funds. I will feel [campus name] cheated if NSTP does not continue after I join [campus name]" (source 2021 NSTP Faculty Survey).

[12] For example, from the 2021 NSTP Administrative Survey: "This program tends to only increase the income dramatically for those who can afford to participate, which in my experience has been minimal. I believe that in my division alone, out of over 150 faculty members, that only 6 faculty are participating this year. Of the 3 NSTPs that I helped faculty with this year, all 3 already have quite a high salary rate, which causes even more disparagement between them and younger/newer faculty who are not making as much. There are those who cannot participate because they do not have sufficient funding, or sufficient grants. I don't think this helps with retention because it can be used as a bargaining tool for an outside entity trying to recruit faculty. If the entity can match what they make with NSTP (or close) without them having to use grant funds on their own payroll, then it does not keep them in the UC system. It also does not really benefit our campuses in any way or the grants they use, as it doesn't require more time to be spent on those projects unlike Summer Salary.

Administrators' responses to the question "NSTP has helped with faculty recruitment" found 14.8% disagreed or strongly disagreed and 42.6% agreed or strongly agreed (the remaining 42.6% either "didn't know" or were "neutral").[13] Administrators' responses to the question "NSTP has helped with faculty retention" found 14.8% disagreed or strongly disagreed and 46.9% agreed or strongly agreed (the remainder either didn't know or were neutral).[14]

A potential study that has not been conducted, but which would perhaps help shed light on the role of NSTP in recruitment and retention, would be to look at intra-campus differences in recruitment and retention success between participating and non-participating departments and schools. One could also look at differences between participating departments at campuses in the NSTP and the corresponding departments at campuses that are not participating.

ii.   Engagement in Instruction

The data collected since the beginning of the NSTP show that there has been no negative effects on the instructional mission of the University of California. The most recently collected data continue to support that conclusion. As noted in the Senate-Administration 4th year Taskforce report in 2017, no evidence for a reduction in teaching effort was found. The data collected since that report are consistent with those earlier findings. The inference to be drawn is that, in implementing the NSTP, the participating campuses have paid attention to ensuring participating faculty sustain their teaching efforts. Since the 4th year report, the NSTP was expanded from the original three campuses (Irvine, Los Angeles, and San Diego, the "phase-one campuses") to include Davis, Riverside, and Santa Cruz (the "phase-two campuses"). The new data collected from all of the participating campuses confirm no deleterious effects on faculty engagement in regular instruction. The data also indicate a positive effect on research mentorship, part of UC's educational mission; that result is not surprising in light of the increase in extramural funding obtained by participating faculty. Indeed, it could be argued that the NSTP program, as implemented at some campuses, actually led to an increase in teaching efforts when compared to programs allowing research-active faculty to buy out of teaching with extramural funds. As implemented at San Diego, for example, teaching buyouts were not allowed for faculty participating in the NSTP.

Focusing on the phase-one campuses, the average student credit hours for NSTP enrollees and non-enrollees are seen not to differ in any significant manner, as shown in Figures 21–24 of NSTP P2Y3.

This impression that NSTP has not reduced teaching seems supported by surveys of participating faculty: 96.4% of the surveyed participants report that their teaching either stayed the same (87.3%) or increased (9.1%) while participating in the program.[15]

---

[13] See "Negotiated Salary Trial Program Phase Two Faculty and Administrator Survey Results."
[14] Source: ibid.
[15] Source: ibid.

iii. Graduate Student and Postdoctoral Support

The question of potential deleterious effects of the NSTP on the support of graduate students and postdoctoral researchers has been raised since the program was established. However, deleterious effects are not borne out in the data as shown in Figure J of the Research Group Data prepared for this report. For the phase-one campuses, there is a continual increase in the graduate student quarters/semesters supervised, an increase that is particularly striking at Los Angeles and San Diego, the two campuses with the broadest participation in NSTP. In the case of postdoc support, as shown in Figure K of that document, a general increasing trend is also observed, but the increase is not as dramatic as in the case of graduate students. The implication of these data is that the increased research support incentivized by the NSTP does not solely benefit faculty salaries — it is having a significant positive impact consistent with the overall education and research mission of the University of California.

Surveys of participating faculty would seem to support this: 32% of respondents report that their support of graduate students has *increased* due to NSTP (64.7% report no change).[16] Similarly, 22.9% of respondents report that their support of postdoctoral scholars has *increased* due to NSTP (73.5% report no change).[17]

It is worth noting that some *non*-participants have concerns about graduate student support, in the 2021 NSTP faculty survey, one respondent, for instance, wrote,

> I have been a co-PI on grants where the PI would collect his NSTP but claimed that he couldn't support students who worked on the grant. Then, the students were forced to get a TAship or support themselves while their work was perfectly fine. The NSTP was paid by the students. Simultaneously, the budget was completely opaque as the PI guarded the info about his NSTP because he wanted to hide this practice and didn't want to offer it to the other PIs. I have witnessed this behavior first hand on several grants and heard anecdotally similar experience[s] from other colleagues. Overall, NSTP has had a perverting role and has led to unethical behavior among unscrupulous PIs who prefer to pay themselves than their students or co-PIs while the program [is] subsidized by TAships which are in short suppl[y].

iv. Research Mission of the University

An important aspect of the NSTP is that it provides an incentive for participating faculty to increase extramural funding and, thus, increase research expenditures. At the three original NSTP campuses (Irvine, Los Angeles, and San Diego), which have the largest number of participating faculty, research expenditures are on a positive trajectory over the period 2017–18 through 2019–20, as shown in Figure H of the Research Group Data prepared for this report. This is not all going to negotiated salaries: from Figure I of the Research Group Data prepared for this report, we see that the negotiated salary as a proportion of research expenditures is small — on average

---

[16] Source: ibid.

[17] Source: ibid.

significantly less than 5%. At the three campuses that joined the program more recently (Davis, Riverside, and Santa Cruz), participation is low relative to the phase-one campuses, which makes interpreting the data more challenging. Among the three campuses new to NSTP, Riverside has the most participating faculty; it has seen a significant increase in enrolled faculty and average expenditures per faculty member over those three years. A critical metric is the average research expenditure per faculty member, in all cases, except Davis (four faculty participating) and Santa Cruz (seven faculty participating), the data show that this metric is continuing to increase.

v.   Equity concerns

Equity concerns with the NSTP take many forms: equity across the units on a campus, equity within units, and equity with respect to potentially differential participation by gender and along racial/ethnic lines. At one level, because there are no explicit restrictions on who can participate at the campuses in the NSTP (other than the exclusion of those in the HSCP, whose salary program is NSTP-like), there is equity in that sense. That level is, of course, not the level of concern.

A key question regards participation in the program by women and faculty from underrepresented groups. In this regard, the data from the 2020–2021 NSTP Phase Two Year Three Annual Report (NSTP P2Y3) show that there are not significant differences: women are 27.8% of the enrolled faculty in participating departments, while they represent 29.1% of those departments' overall population. Examining race and ethnicity data, there are some notable differences across groups: African/African American faculty are 1.3% of the enrolled despite being 2.6% of the overall population in participating departments; Asian/Asian Americans are 35.3% of the enrolled despite being 24.1% of the overall population; and White/Other are 57.1% of the enrolled while being 66.4% of the overall population (for other groups their percentage of the enrolled is roughly the same as their percentage of the population). While we might speculate as to reasons for these differences, we have no definitive explanation.

To ameliorate the differences in enrollment rates by demographic group, we recommend that efforts be made to ensure that the NSTP is advertised to all eligible faculty and that eligible faculty, especially at the Assistant Professor rank, receive mentoring concerning participation.[18]

As discussed above, the data show that there continues to be a differential in participation as a function of rank. Notably, Assistant Professor enrollment lags their representation in participating departments. (We note, because the proportion of certain racial/ethnic groups is higher at the lower ranks than at the higher ranks, reflecting past trends, practices, and availability, lower Assistant Professor participation rates may have bearing on differential participation rates by race and ethnicity.) Because the current NSTP essentially requires funds from external sources that Assistant Professors typically have not yet obtained, it is perhaps not surprising that their participation rate is lower. Expanding the set of allowable fund sources to include Deans' discretionary funding might have bearing on this difference. As noted earlier, inclusion of such funding could also positively

---

[18] Survey results indicate that knowledge of the NSTP is far from universal. In a faculty survey, 23% of faculty stated that they weren't aware of the program. An open response exemplifies this, "Neither I (former Chair) nor my current Chair are clear on what this program is or how it has impacted the University, if at all" (source: NSTP Phase Two Faculty Survey 2021).

contribute to recruitment efforts, especially of Assistant Professors. On the other hand, there may be reasons to limit fund sources, as discussed below.

Considering equity across departments, there is considerable variation in the use of the NSTP compensation mechanism across departments. As noted earlier, use is principally in STEM fields. A challenge is that many may see this as inequitable: why should those in fields for which extramural grants or other funds are available be allowed to raise their incomes when other, equally hard-working and distinguished faculty cannot? The 2021 NSTP Faculty Survey reveals a number of faculty who raise such equity issues.[19]

Even within participating departments or STEM fields, there are inequities, which are of concern to many. As one respondent wrote in the 2021 NSTP Faculty Survey, "The only people in my School who use the NSTP are NIH funded. No one in my department is NIH funded and hence NTSP generates larger inequities among NIH and NSF funded research than had existed already." Or as another wrote, "Salary in general is hugely inequitable in my department. The only way I can earn as much as my colleagues who have similar rank and step is through NSTP. I shouldn't have to do that."

Another important issue, when considering equity across a campus, arises on campuses that have significant numbers of Health Sciences faculty. On those campuses, HSCP already allows Health Sciences faculty to supplement their UC salary by drawing on funds generated from a variety of external sources. In disciplines at the boundaries of health science fields, including engineering, biology, the physical sciences, and public health, this led — prior to NSTP — to considerable tension; for instance, leading some faculty to seek joint appointments in Health Science units so that they could participate in the HSCP. The advent of the NSTP has largely removed that tension. Thus, while it may have increased some inequities within the general campuses, it reduced inequities between general and health science faculties.

In addition to issues of whether the NSTP is equitable, there are some faculty who in their responses to the 2021 NSTP Faculty survey stated that they find the program unethical.

Another aspect of equity concerns the series of faculty who can participate. With NSTP limited to ladder-rank faculty, in-residence faculty, and lecturers with security of employment on the general campuses, this may be a matter that should be reconsidered. Under the HSCP, other Senate titles (*e.g.*, Professor of Clinical X) can participate, as well as non-Senate titles such as Adjunct Professors. Broadening the titles that can participate in NSTP could be an important step to take in an improved negotiated salary program, including extending eligibility to include the Professional Research series, especially relevant since those faculty are already raising funds to support their appointment.

Although equity issues are a concern, we note that the competition for top scholars has a tendency to lead to salary differentials that may be viewed by some as inequitable. Given the reality of the University of California's

---

[19] Example comments include: "this only works for [S]enate faculty with grant funds that allow for salaries. So this doesn't work for junior faculty without grants yet or those who don't need grants to do their research, so this program only benefits a certain number of faculty. Not sure about how equitable that makes it"; "I think the very idea of this program is both fundamentally inequitable and allows the UC to avoid its responsibility to pay fair and competitive salaries"; and "The fact that colleagues who are in the same position that I am also get to supplement their salary simply because they're in the right field is unfair."

limited resources, there is an inevitable tradeoff between competing with other institutions for world-class scholars and having salary equity, however people might define the latter. Unless public universities are going to cede the battle to private universities, thereby leaving only the elite few able to attend those private universities access to a first-rate education, some acceptance of salary inequities seems inevitable. Acceptance is not, of course, saying that those inequities are desirable. If the University continues and possibly extends the NSTP, it will be incumbent upon it to seek to address any increase in salary inequities in other ways (*e.g.*, by salary equity programs that are part of range adjustments). One possible upside, in this regard, with the NSTP is that if it alleviates competitive pressures that would otherwise require increases to base salaries in recruitments and retentions, then it arguably frees up 19900 and other funds to be used to address inequities (as well as potentially addressing other needs).

vi.   Effects on Faculty Compensation across the University

Finally, we consider the effects of the NSTP on overall faculty compensation across all units of the University. It is absolutely essential that NSTP not be seen as a rationale for the state, the Regents, or the Office of the President, not to support competitive faculty salaries across all disciplines. As noted repeatedly, many disciplines within the University have little access to the sort of fund sources that can be utilized for negotiated salaries. Additionally, the negotiated salary component is a less-than-ideal substitute for on-scale or even off-scale salary components, reflecting, among other factors, that the negotiated salary is not covered compensation for UCRP; is inherently uncertain, especially in a national political environment in which the funding of granting agencies is volatile (*e.g.*, one can imagine significant shifts in certain social science funding or climate science funding with changes in the party in control in Washington); and can, as just discussed, exacerbate inequality concerns. Consequently, undue reliance on negotiated salaries as opposed to competitive scales is not desirable.

Although loosening restrictions on the fund sources that can be used for negotiated salaries could perhaps broaden participation, thereby alleviating some of the concerns just raised, it remains true that, at the end of the day, we need to ensure that the fundamental contributions in research, teaching, and service that the University of California makes are properly supported with hard-money faculty salaries that are competitive with our peer institutions — and not subject to the vagaries of funding agencies and other external events.

C.   Fund Sources Used and Issues with Fund Sources

From its inception, the NSTP has been designed to permit the use of a variety of fund sources to support the negotiated portion of salary. This is important to allow participation by faculty from disciplines with varying access to different kinds of external funds. It is also critical to demonstrate to funders (especially Federal agencies) that the program draws from a variety of sources.

The NSTP Phase Two Basic Program Document states 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, 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 covering any unforeseen shortfalls. General Funds cannot be substituted for external funds in support of the program.

The intent of the program is that the faculty member has access to the external funds due to his or her research, teaching, or outreach activities. The funds should not be discretionary funds located in the department, school, college, or campus.

The Program Document emphasizes the importance of external funds in part to ensure that the program functions to encourage faculty to apply for research funding, benefitting the University's research mission. The external funds requirement is also intended to avoid potential subjectivity or other fairness issues that could occur if General Funds or discretionary funds were offered differentially to faculty to support the negotiated component.

The NSTP was designed to be compliant with Federal regulations and University contracts and grants policy. The responsibility for ensuring compliance lies with participating campuses. The Program Document states that:

When Federal projects are involved, the program must be compliant with Federal Uniform Guidance regulations at 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." 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.

In the 2020-21 academic year, Federal contract and grants (C&G) provided the bulk of the funding support for the NSTP negotiated component, with significant contributions also coming from gift funds and private contracts and grants.[20]

Fund source	Amount	Percent of Total
Federal C&G Funds	$9,262,250	56.2%
Gift Funds	$2,704,002	16.4%
Private C&G Funds	$1,992,377	12.1%
State C&G funds	$353,682	2.1%
Endowment Funds	$352,421	2.1%

---

[20] Percentages in the following table do not sum to 100% due to rounding.

Self-Supporting and Professional Degree Fees	$213,542	1.3%
Summer Session Fees	$173,849	1.1%
Other Allowable Funds	$1,418,472	8.6%
Total	**$16,470,594**	100.0%

In discussions, some Taskforce members expressed concerns about two major funding restrictions: restrictions on covering the NIH cap gap and the use of state research funds earmarked for programs administered through the University (*i.e.*, state funds that a PI does not obtain directly through a grant from a state agency). It was felt by some Taskforce members that these restrictions unduly prevent some faculty from participating in NSTP to the fullest extent.[21] With regard to the NIH cap gap, it has been the practice on some campuses that, if a faculty is *not* participating in NSTP, all non-federal fund sources, including salary savings from 19900 funds, can be used to cover the NIH cap gap. However, if a faculty is participating in NSTP, salary savings from 19900 funds may not be used to pay the NIH gap. Should the NSTP be made permanent, we recommend that how the NIH cap gap be covered not be a function of participation in the NSTP *per se*.[22] The second concern has to do with directly appropriated state funds, which may come with restrictions reflecting the language of the underlying legislation, and which have not been deemed suitable for NSTP. Given that those funds function, however, similarly to grants, the reason to exclude them from NSTP is not obvious to many faculty. Moreover, in light of the feedback that the Taskforce received from federal funding agencies, which expressed desire to see resources other than federal grants used for the NSTP or successor program, we encourage UCOP's Research Grants Program Office to revisit this second issue.

D.   Assessment of Administrative Cost/Burden

In its current state, the annual administrative cost of implementing the NSTP is very high, with the reporting requirements representing the bulk of this cost. The data collection required involves staff from the departments, Dean's offices, finance offices, Academic Personnel, and Institutional Research.

Although costly and arguably burdensome, the required data collection played a necessary part in assessing the program. It provided valuable information on the program's effects on recruitment and retention, teaching, graduate student and postdoc support, the research mission, and equity as discussed in Sections 3.A and 3.B.

---

[21] The NIH sets a maximum monthly pay rate that can be charged to an NIH grant. The difference between a faculty member's actual monthly pay rate and the NIH cap is the "cap gap."

[22] Although it may be that some campuses have used 19900 funds in the form of salary savings to cover the NIH cap gap, this Taskforce is uncertain as to whether UC policy actually permits this; hence, in raising this example, we are not seeking to state or define UC policy in this regard.

above. The collection of these data enabled the Taskforce to make an informed decision regarding the future of the program.

As we move from a trial program into policy, there should also be a fundamental change to the type of reporting required and who should provide it. Much of the data that added value to the assessment phase of the program are no longer needed. If required, the data regarding participants (rank, step, ethnicity, gender, etc.) can be extracted at a system-wide level from UCPath. Other reporting elements previously put in place to ensure participant accountability (teaching, lab support, research, etc.) are already addressed in the normal academic review process. As part of the program application process, Chairs and Deans also have the opportunity to weigh in on whether each applicant has fulfilled their "good standing" requirement as listed in Section 4.D. Given this, it seems reasonable to take this opportunity to reduce the administrative burden placed on each campus by removing the reporting requirements used to assess the pilot from the final implementation of the policy.

4. Recommendations

A.   Outline of Parameters of an Ideal Negotiated Salary Program (NSP)

We recommend that the Office of the President develop a permanent version of the NSTP, which we refer to here as the Negotiated Salary Program (NSP). We find that early efforts in this regard, as captured by the draft Section 668 of the Academic Personnel Manual (APM), largely reflect what we think the NSP should be.

While recognizing that no program can be perfect, our review of the existing NSTP indicates that its pluses outweigh its minuses; hence, its being made permanent, perhaps with a slightly improved design, is to the benefit of the University. Moreover, even if one were to view the minuses as slightly outweighing the pluses, the foreseeable disruption that ending the program would cause would be substantial and should not be taken lightly.

We recommend that all campuses should be permitted to participate in the NSP, although we support reasonable campus-level autonomy in implementation.

We are strongly of the view that the NSP must be designed in a manner consistent not only with the rules and regulations of the University of California, but also consistent with its ethos, specifically equity, fairness, and a commitment to comprehensive excellence. For this reason, it is essential that any NSP

- *Not* be seen as an excuse by the Office of the President or the Regents to avoid addressing salary scales that continue to be non-competitive with the institutions with which the campuses compete for faculty talent. The citizens of California deserve access to higher education provided by the best faculty. Moreover, given the spillovers that the University creates in terms of the innovations, entrepreneurship, and an educated workforce that make the California economy the envy of the world, it is essential that the University of California remain competitive in all areas of scholarship;
- *Not* become a means by which some faculty can reduce their teaching loads. While it is not this Taskforce's intent to limit the existing discretion departments, schools, and campuses may have in defining their workload policies, we believe an NSP policy should not permit reductions in workload that are granted solely on the basis of participation in the NSP or that are intended to facilitate participation in the NSP.

Reduced workloads create inequities insofar as other faculty must pick up the slack, which imposes both direct burdens on them and financial burdens on campuses in terms of funding replacement teaching;

- *Not* result in a reduction in graduate student support or research opportunities for undergraduate students;
- *Not* result in a shifting of the costs of equipment and supplies to the campuses;
- *Not* become a factor in faculty members' merits and promotions. Participation in an NSP should *per se* be neutral with regard to the merit and promotion process, neither being a rationale to award a faculty member more or less of a merit increase, either in step or in terms of the off-scale portion of pay, than they would have deserved had they not participated in the NSP; and
- *Not* become an excuse for campuses to ignore equity issues as they pertain to faculty salaries, especially, but not only, with regard to equity across gender and racial/ethnic lines.

Although we believe firmly that an NSP should have no direct effect on the merit and promotion process, we do think that campuses should be permitted, if they wish, to consider NSP participation when designing campus-level salary equity programs (*i.e.*, programs of the sort that were mandated in the late twenty-teens or programs that campuses have from time to time adopted on their own). In this regard, such flexibility seems no different than that already afforded campuses to consider, for instance, faculty members' academic disciplines in their equity programs. At the same time, the Taskforce is not recommending that campuses *must* take NSP participation into account in their salary equity programs.

We believe that goals of the NSP should include:

- Leveraging non-19900 funds to recruit and retain outstanding faculty; and
- Provide incentives that encourage and recognize significant contributions to the University mission.

Broadly, the NSP is a way for faculty to augment their salaries on a temporary basis by negotiating to use suitable non-19900 funds to raise their academic-year salaries above their permanent academic-year salaries.

We believe, as was the intention in the proposed Section 668 of the APM and as true of the NSTP, that the negotiated salary component should not be covered compensation under the University of California Retirement Plan (UCRP) and should, therefore, have a lower composite benefit rate attached to it than a faculty member's academic-year salary (fiscal-year if they have a fiscal-year appointment).

B. Allowable Funding Sources

i.   What sources?

The funds that can be used for paying the negotiated portion of the salary cannot be 19900 funds. In particular, they cannot be state-appropriated funds or drawn from tuition paid by students in state-supported projects. In theory, the sources of funds that can be used are:

- Funds from grants and contracts;
- Gifts;
- Endowment income; and

- Professional degree and self-supporting degree fees.

At the same time, it is noted that the last of these (using degree fees) may be fraught politically and, moreover, to the extent they can be used to provide competitive salaries, there may be better ways to do so outside of an NSP (see §4.B.iii below).

It is noted, however, that a program that limits funding to external grants and contracts only may create problems with granting agencies.

ii.   Who decides about fund sources?

Because different campuses within the UC system have different approaches to the use of non-19900 funds, we believe some campus autonomy is desirable in defining appropriate fund sources. As an example, the Berkeley campus has sought to move most of its endowed chairs to an honorific-with-modest-scholarly-allowance model, utilizing most of the endowment payout to support its overall faculty salary pool and graduate students. Some of its endowed chairs, however, give all the endowment payout to the chair holder because the unalterable terms of the original gift dictate doing so. If the Berkeley campus permitted chair payout to be a source of funding under NSP, then this could exacerbate inequities among the holders of the different types of chairs. Granting Berkeley—and other campuses—the ability to exclude endowed chair income from an NSP or limit its use would thus be an example of where some degree of campus autonomy is arguably appropriate.

iii.   Alternative approaches/salary programs

The goal of the NSP is to provide a mechanism to pay competitive salaries that will aid the UC in competing for and retaining the best faculty. It is, however, only one possible mechanism; hence, it is worth making note of alternative mechanisms that, in some circumstances, may be superior to NSP or that may have desirable features lacking in NSP:

1.   Overload teaching

A rationale for using professional and self-supporting degree fees for NSP could be that it provides a means of compensating faculty for teaching in those programs as an overload. We note, however, that there are existing mechanisms for directly paying faculty for overload teaching, which are likely easier to implement. A further advantage to existing mechanisms could be that direct payment for overload teaching makes clear how those fees are supporting the programs charging them, which could be politically advantageous when it comes to the setting or increasing those fees.

If an NSP permits a negotiated salary component for teaching, it can be overload teaching only. Teaching done as part of a standard course load cannot be compensated under an NSP.

2.   Competitive salary plans

Particularly with respect to institutional funds, such as degree fees or endowment gifts, an alternative means of ensuring competitive salaries is to use those funds to help cover the off-scale portion of faculty salaries. At some campuses, such as Berkeley, this is done via a special salary plan, Berkeley's Haas School of Business's salary plan—the Faculty Excellence Program—being a notable example.

Some pros to special salary plans (i.e., why they may be advantageous vis-à-vis NSP):
- Pay increases under them are permanent, so likely to be more highly valued by faculty than negotiated salaries that could be temporary.
- The compensation is covered compensation under the University of California Retirement Plan (UCRP), which adds to the value for faculty.
- Depending on how salaries are reviewed on a campus, a plan may be more consistent with norms of shared governance insofar as there is greater opportunity for Academic Senate review, both in their establishment and in their ongoing administration.

Some cons to special salary plans (i.e., why NSP could have advantages):
- Because compensation under a special salary plan is covered under UCRP and because it may, therefore, face a higher composite benefits rate, it is more costly to the university for each dollar received by a faculty member than an NSP.
- Because special-salary-plan compensation is permanent, it exposes the campus to risk should the underlying source of funding disappear (e.g., demand for a professional degree drops precipitously or market fluctuations adversely affect the endowment).

C.   Limitations

i.   NSP and summer salary

Because summer salary is far easier to administer than NSP, we believe that a principle of an ideal NSP—and perhaps even a requirement—is that, to be eligible for NSP, the candidate must be taking the maximum amount of summer salary available to them. We note that three campuses (Davis, Los Angeles, and Riverside) already impose such a rule under NSTP; moreover, 88.2% of NSTP participants across the system are receiving three summer ninths.[23] Consequently, there is little evidence that imposing a rule requiring one to take the maximum number of ninths would have a notable effect on behavior.

ii.   Caps on NSP augmentation (*e.g.*, as percentage of pay, total amounts, etc.)

We recommend that there be a cap on the negotiated salary component such that it cannot exceed 30% of the sum of the faculty member's on-scale and off-scale portions of pay. Although some faculty respondents in surveys object to that limit, suggesting that perhaps there should be no limit, we believe that the absence of a

---

[23] Source: Figure 20 of NSTP P2Y3.

limit or a limit that is set too high may create perverse incentives. Moreover, the absence of a limit or one that is too high will serve to exacerbate some of the salary inequities discussed in Section 3.B.v.

iii. Intersection with APM 025

The ideal NSP policy must be sure that the NSP accords with existing UC rules and regulations governing conflict of commitment and conflict of interest. Provided doing so would not raise issues as to appropriate commitment of effort on the grants or other extramural funding, faculty participating in the NSP would be permitted to engage in outside activities in accordance with APM 025.

D. Issues of Administration

i. Eligibility for participation

Individuals in the Senior Management Group (SMG), those who are full-time Deans (as defined by APM 240), or those who are full-time faculty administrators (as defined by APM 246) should *not* be eligible to participate.

An individual may not participate in an NSP if participation would disrupt the individual's fulfilling of their duties.

1. "Good standing" requirements

To participate in an NSP, faculty should be Good Standing. Although some leeway should be permitted in campus implementation plans to define Good Standing, any such definition must specify that Good Standing means, *inter alia*,

A. Meeting department/school/college/campus expectations with regard to both the amount of teaching being done and the quality of that teaching;
B. Meeting department/school/college/campus expectations with regard to service as understood for that faculty member's rank and step;
C. Meeting department/school/college/campus expectations with regard to scholarly or creative activity;
D. Not being unduly decelerated in merit reviews either with respect to time or step (note accommodation can be granted for factors such as childbearing/care, illness, or general disruptions, such as pandemics); and
E. Not being suspended for violation of the Faculty Code of Conduct (APM 015). A reduction in pay, rank, or step imposed as a disciplinary action, as permitted by APM 016, can terminate someone's participation in an NSP. As a measure agreed to via an Early Resolution in lieu of formal discipline (as defined in and encouraged by Senate Bylaw 336), a faculty member can agree that they are ineligible to participate in an NSP for a defined period of time.

2. Definition of "faculty member"

a. what series

We recommend that all Senate faculty members not in the HSCP be allowed to participate in an NSP, subject to the restrictions set forth elsewhere in §4.D.i.

b. full-time requirements

To be eligible, a faculty member must hold a full-time appointment at UC. Faculty with part-time appointments can add a partial and temporary appointment in the Researcher series (APM 310) to receive additional salary under grants or the Adjunct Professor series (APM 280) for payment from other sources.

ii. Timing of negotiations versus achieving funding

We recommend that total negotiated salaries be in effect for a one-year period corresponding with the University fiscal cycle of July 1 – June 30. Once a total negotiated salary has been implemented it must be maintained for that period. No changes to that negotiated salary may be approved. Similarly, a negotiated salary cannot be put in place retroactively.

To meet that requirement, we recommend that negotiations for a given fiscal year conclude well in advance of its start. To minimize risk to the University, the fund source(s) that will be used to pay the negotiated salary portion must (a) be known and reasonably secure at the time of the negotiation and (b) must be in a form that would permit the negotiated salary to be paid evenly over the year; that is, funds must either be expendable across the year or have provisions that would permit smoothing. So, e.g., if the funds are supposed to cover an increase of $1500 a month (including benefits), but will be received on October 1st, then the campus can bill those funds at $2000 a month to recoup its having fronted the salary in July, August, and September. Similarly, if the funds will expire before the end of the year (so, e.g., received July 1st, but must be fully spent by March 31st), then the campus can bill those funds at $2000 a month to ensure it has funds for the final three months of the year. Although the total negotiated salary should be evenly distributed through the year, the charges to individual grants do not need to be evenly distributed. For example, if the performance period of a particular grant ends in February, this grant can be used for part of the year and another funding source be used for the balance of the year.

iii. Setting (Negotiating) the Negotiated Salary Portion

Although campus implementation plans may vary, we recommend that all plans require the following with respect to negotiation/review:

1. Individual faculty will be responsible for submitting a proposal in a timely fashion to their department chair or unit head. To ensure fairness, transparency, and the collection of appropriate information, each plan should have a common application form. The proposal must identify the source(s) of funding.
2. Department chairs (unit heads) are responsible for evaluating faculty proposals. They are asked to indicate whether they believe faculty members are in Good Standing.

3. Deans are responsible for reviewing and endorsing individual faculty proposals and for assuring that appropriate resources are available for the total negotiated salary. The Dean is responsible for determining whether a faculty member is in Good Standing after input from the department chair. Any faculty member who is deemed not to be in Good Standing must be provided with written information regarding how to return to Good Standing. Campus implementation guidelines should specify a process of appeal/reconsideration of a determination that a faculty member is not in Good Standing.

4. On campuses in which the Committee on Academic Personnel (CAP) or its equivalent review salaries, CAP should review the total negotiated salary unless the campus CAP elects to waive such review.

5. Executive Vice Chancellors/Provosts or their designees are responsible for approving faculty proposals.

iv.   Contingency funds and dealing with funding shortfalls

Because negotiated salaries are not to be paid from 19900 funds and because funding for negotiated salaries could fall through (e.g., the funding agency withdraws a grant), campuses must have a strategy to cover negotiated salaries should the originally identified funds ultimately prove unavailable.

One strategy would be to create a contingency fund against such contingencies. Another strategy would be, if there is a shortfall, the campus covers it, but does so from non-19900 funds at its disposal (e.g., reserves of non-19900 funds or funds functioning as an endowment).

Yet another strategy would be to require units (department or decanal) to commit to cover shortfalls, either through their own contingency funds or from non-19900 funds at their disposal.

Any implementation plan should set forth an appropriate and prudent plan for dealing with shortfalls. If it entails a contingency fund, it must set forth how the fund will be funded and managed.

v.   Data collection/expectations going forward

We believe that, while not as extensively as was done for the NSTP, campuses should monitor an NSP and collect data sufficient to allow them to:

- Ensure that participants in the NSP are meeting expectations with respect to teaching and service;
- Identify differences in utilization across units, faculty at different ranks, and by gender and racial/ethnic lines;
- Understand the effect of the program on faculty retention; and
- Assess the use of staff/administrative time required to implement the NSP.

vi.   Issues with inter-campus transfers

We recommend that the Office of the President, in consultation with the leadership of the campuses and the Academic Senate, develop a policy that governs what kinds of offers may be extended in inter-campus recruitments that touch on NSP. In particular—and in the spirit of APM 510—we are wary of the recruiting campus being able to dangle a negotiated salary augmentation in recruiting (paid for, say, by endowment income or degree fees).

E.   Development of Campus Level Implementation Plans

We recommend that each campus develop an implementation plan for its NSP. Such a plan should, at very least, provide details on:

- What are permitted funding sources.
- Details on the definition of Good Standing.
- Details on the criteria by which proposals will be assessed.
- Details on the review process.
- How stability of the plan will be maintained; in particular, how will shortfalls in funding be handled in a manner that does not mean using 19900 funds (at least not without reimbursement).
- What data will be collected and who will be responsible for its collection.

i.   Who reviews the campus plans?

We believe the Vice Provosts/Vice Chancellors who oversee academic personnel issues should take the lead in developing campus plans in consultation with other administrators and the campus-level Academic Senate. Ultimately, the Chancellor or Executive Vice Chancellor/Provost should approve the plan. We believe some consultation with the Office of the President, particularly its Academic Personnel and Programs office and the Office of the General Counsel, would be wise to ensure both compliance with the overall University policy as set forth in a new section of the APM and a reasonable degree of harmony across the campuses. That said, while some degree of harmony is desirable, we recognize that the various campuses vary in many ways, including in how they handle academic personnel process and how they structure other aspects of their operation; hence, variation in campus plans is to be expected as it will help ensure that the campuses' NSPs best suit campus needs.

ii.   What are the restrictions on those plans?

Any campus plan must accord with all UC policies and regulations, including any new provision of the APM put in place to govern NSPs. We have set forth above various restrictions and limitations that we recommend apply to all NSPs (*i.e.*, that must be satisfied in all campus implementations).

The UC Office of the President should communicate to the campuses in a timely manner any changes in UC policies and regulations that might require the campuses to modify their NSPs. Similarly, should any legal ruling, change in granting agency policy, or other change in government policy (*e.g.*, tax law) necessitate modifications of local NSPs, the UC Office of the President should communicate that information to the campuses in a timely manner.

iii.   Systemwide review

Although we advocate for as much local autonomy as feasible, the overarching UC policy on NSPs should have provisions for periodic review of campus implementation plans to ensure their compliance with applicable UC policy and regulations, granting agency restrictions, and applicable federal and state law. Moreover, that

overarching policy should have stipulations so that data collected by the campuses can be reviewed at the system level as part of its continued assessment and monitoring of these plans.

5. Appendices

A. Charge letter for Taskforce

See attached.

B. APM 668 (draft)

See attached.

C. Relevant data

See attached.

U N I V E R S I T Y   O F   C A L I F O R N I A

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO   SANTA BARBARA • SANTA CRUZ

OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

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

October 11, 2021

MEMBERS OF THE NEGOTIATED SALARY TRIAL PROGRAM PHASE 2
TASKFORCE

Dear Colleagues:

I am pleased to inform you that you have been appointed to serve on the joint Senate-Administration taskforce to review Phase 2 of the Negotiated Salary Trial Program (NSTP). This Taskforce will review the Negotiated Salary Trial Program (NSTP) and advise me on next steps for the program.

In keeping with my approval of the NSTP Phase 2, I am convening this Taskforce to review data from the first three years of NSTP Phase 2, in the context of the report and recommendations from the previous NSTP Fourth Year Taskforce, in order to make recommendations on whether to institutionalize the program in policy or to end it. I am asking this Taskforce to provide its report by April 1, 2022 so that planning for continuation or termination of the program can occur during the recently approved fifth year (2022-23) of NSTP Phase 2.

The membership of the Taskforce will be as follows:

  Benjamin Hermalin, Vice Provost for the Faculty (UCB), Taskforce Chair
  Kelley Barsanti, Associate Professor, Chemical & Environmental Engineering (UCR)
  Robert Continetti, Senior Associate Vice Chancellor for Academic Affairs (UCSD)
  Christopher Lynch, Dean, College of Engineering (UCR)
  Jeffrey Moehlis, Professor and Chair, Mechanical Engineering (UCSB)
  Nico Orlandi, Professor, Philosophy (UCSC)
  Hollis Skaife, Professor, Accounting (UCD)
  Yifang Zhu, Senior Associate Dean for Academic Programs, School of Public Health (UCLA)

Vice Provost Hermalin has agreed to chair the Taskforce, service for which I am very grateful. Jean Chin, Director of Systems, Data, & Compensation Initiatives at UCI, has also agreed to serve as an advisor to the Taskforce. Academic Personnel and Programs (APP) at UCOP will support the work of the Taskforce, including Vice Provost Susan Carlson and APP staff members Director Gregory Sykes, Analyst Kaylin Jue, and Administrative Officer Jimmy Johnson.

APPENDIX A - Charge Letter to Taskforce

October 11, 2021
Page 2

Background
On February 5, 2013, then Provost and Executive Vice President Aimée Dorr approved moving forward with the Negotiated Salary Trial Program (NSTP) on three campuses: UC Irvine, UC Los Angeles, and UC San Diego. She approved a five-year trial program from July 1, 2013 through June 30, 2018, asking for a full Taskforce review of the program in year four to make "informed judgments" about its future.

A joint Senate-Administration Taskforce convened to review the program and issued its report to Provost Dorr on June 22, 2017, recommending continuation of the program under certain conditions. Subsequently, on July 13, 2017, Provost Dorr circulated the Taskforce recommendations for systemwide review, with comments due November 30, 2017. During systemwide review, there was input from the Academic Senate, including comments from nine campuses and six systemwide committees. In addition, academic administrators on all ten campuses also provided comments.

After a thorough review of this input as well as the recommendations of the Taskforce, and after additional conversations with Academic Senate leaders and campus administration, I accepted the Taskforce recommendation to extend the Trial Program for an additional four years, adding a fifth year of "wind-down" should the program not be continued after four years. The program would run from July l, 2018 through June 30, 2022, with fiscal year 2022-2023 as a transition year, if needed. (As noted above, this fifth year has been added to Phase 2 to allow the Taskforce and stakeholders to complete a review of the program.) As part of the extension plan, additional campuses were invited to participate in the program, and three more (UC Riverside, UC Davis, and UC Santa Cruz) chose to do so.

To address the recommendation of the Fourth Year Taskforce that more effective metrics be designed for the extended trial period, we convened a working group in the spring of 2018 to "develop appropriate metrics and data collection to allow for informed decisions at the end of the trial". The working group consisted of one member of the administration from a campus that participated in Phase 1 and one from a non-participating campus, as well as one Senate faculty member from a participating campus and three from non-participating campuses. The recommendations of this working group were incorporated into subsequent reports for Years 1 and 2 of Phase 2. Data for Year 3 was collected during the summer of 2021.

Charge
The main responsibility of the Taskforce will be to direct the development of a report on the NSTP and make recommendations about continuance of the program. The Taskforce will be expected to consult as needed during its review. The Taskforce report will provide a summary and an analysis of Phases 1 and 2 of the program, with a focus on Phase 2, including data collected as a part of the annual reporting process.

The Taskforce will meet approximately five times between October 2021 and April 2022. You will be contacted soon by staff from Academic Personnel and Programs to set up meetings for the Fall Quarter/Semester.

APPENDIX A - Charge Letter to Taskforce

I am most appreciative of your willingness to serve on this important Taskforce. I look forward to receiving your report.

                                   Sincerely,

                                   Michael T. Brown, Ph.D.
                                   Provost and
                                   Executive Vice President for Academic Affairs

cc: Academic Council Chair Horwitz
      Academic Council Vice Chair Cochran
      Executive Vice Chancellors and Provosts
      Vice Provost Carlson
      Vice Provosts/Vice Chancellors Academic Personnel/Academic Affairs
      Associate Vice Provost Lee
      Director Sykes
      Analyst Jue

SALARY ADMINISTRATION APM - 668
Additional Compensation – Negotiated Salary Program NEW POLICY
DRAFT
8/26/11

668-0   Policy

The Negotiated Salary Program (NSP) allows the University to provide additional compensation to faculty who are in Good Standing. Faculty will participate in the program for (renewable) periods of one to two years, based on an annual review process. NSP supplements the salary (rank, step, off-scale) determined in accordance with the academic review process for faculty.

668-2   Purpose

The purpose of the Negotiated Salary Program is to provide a common administrative framework within which participating units (schools, colleges, or departments) can compensate faculty according to the competitive requirements of academic disciplines. Specific goals of this Program are:

a.   To leverage non-state-appropriated funds to recruit and retain outstanding faculty.

b.   To encourage the appropriate mix of teaching, research, and service activities of the quality required by the University of California.

c.   To provide incentives that encourage and recognize significant contributions to the University mission.

d.   To offer consistent benefits and privileges to general campus faculty.

668-4   Definitions

a)   **Total Negotiated Salary:** The total negotiated salary will be comprised of the covered salary (for rank and step plus any off-scale component) and a negotiated salary component. Negotiations will be conducted annually to determine an individual's total negotiated salary for the following NSP period;

these discussions begin with the participating faculty member and the department chair and recommendations are forwarded to other reviewers as outlined in 668-6.

The scale and off-scale component are covered under the University of California Retirement Plan (UCRP) up to the amount permissible under law and in accordance with UCRP provisions and regulations. The negotiated component of salary is not covered compensation under UCRP but may be subject to an employee/employer matching contribution to the University's Defined Contribution Plan (DCP). [A DCP process for NSP is being developed during fall 2011.] All compensation paid by the University under the NSP will be subject to Federal and State withholding and reported on a W-2 form as wages in accordance with IRS regulations and University policies and procedures.

b) **External Funding**: For the purposes of this policy, external funding 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. Campus implementation plans will detail which external funding sources can be used in support of this program.

c) **Good Standing:** The definition of Good Standing includes, but is not limited to, meeting teaching, research, and service obligations as defined by the unit implementation plan, and compliance with all applicable University policies, procedures, and training requirements.

668-6   Responsibility

The overall goals of the program are to position the institution to excel and to increase flexible funding for the units involved. Responsibility for the excellence that generates non-state-appropriated funds rests at all levels.

SALARY ADMINISTRATION   APM - 668
Additional Compensation – Negotiated Salary Program   NEW POLICY
                                                          DRAFT
                                                          8/26/11

a) Faculty members are responsible for remaining in Good Standing and for exemplary contributions to the University mission, e.g. external recognition, research dissemination, educational innovation, and the generation of non-state-appropriated funding to support faculty activities. To participate, faculty members submit a proposal to the department chair.

b) Department chairs are responsible for evaluating faculty proposals and for verifying that faculty members are making significant contributions to the University mission.

c) Review of a total negotiated salary is determined according to campus policy and practice and may include review by the Committee on Academic Personnel (CAP), in accordance with established campus practice.

d) Deans are responsible for reviewing and endorsing individual faculty proposals and for assuring that appropriate resources are available for the total negotiated salary. The dean is responsible for determining whether a faculty member is in Good Standing after input from the department chair and the faculty member. Any faculty member who is determined not to be in Good Standing must be provided with written information regarding how to return to Good Standing.

e) Executive Vice Chancellors/Provosts are responsible for approving faculty proposals. This authority may be re-delegated.

f) Chancellors are responsible for managing the negotiated salary program at the campuses. This authority may be re-delegated.

668-10   Criteria

a) **Implementation Plans**

An implementation plan must be developed and approved for each participating unit and its faculty. Implementation plans will include a limit on the percent of salary for the total negotiated salary and the percent required to establish the contingency fund, in addition to the following:

1. Process and timing for soliciting, receiving, and reviewing faculty proposals.

2. Process for evaluating faculty proposals.

3. Method for predicting and defining the appropriate stability of the Program.

4. Management of the contingency fund that supports the Program.

5. Process for consulting with faculty on the development of Good Standing criteria.

6. Approval hierarchy.

7. Notification and documentation process.

b) **Determination of the Total Negotiated Salary**

The total negotiated salary for each faculty member will be recommended by the appropriate dean after consultation with the department chair and before or after consultation with CAP (on campuses where CAP has input into salary

APPENDIX B - APM 668 (draft)

SALARY ADMINISTRATION

Additional Compensation – Negotiated Salary Program

APM - 668

NEW POLICY

DRAFT

8/26/11

recommendations). Each proposed total negotiated salary must be based on past performance and current responsibilities. It is not based solely on the availability of funds. See APM - 668-6 for approval responsibilities.

The funding must be derived from a stable source, paid in accordance with any related fund source restrictions, and sufficient to include the related benefits costs. The funding source(s) must be secured or scheduled by June 30 of the year prior to implementation of the total negotiated salary.

c) **Maintenance of the Total Negotiated Salary**

Total negotiated salaries are effective for a one- or two-year period corresponding with the University fiscal cycle of July 1 - June 30. Once a total negotiated salary has been implemented it must be maintained for that period. No changes or retroactivity may be approved. Even when State funds are released and effort is supported by external funds, in no case will a faculty member's State-funded covered salary be permanently reduced as a result of participation in this Program.

d) **Regular Duties**

Participation in this program may not disrupt the required balance in duties or otherwise negatively impact a faculty member's regular research, teaching or service obligations. Teaching done as a part of the standard course load would not make a faculty member eligible for the NSP.

668-14   Eligibility

Faculty members who are in Good Standing are eligible to apply for participation in the Negotiated Salary Program provided all other conditions of the campus plan are

met and provided their unit has a plan. Faculty members who are participating in the Health Sciences Compensation Plan may not participate. A participating unit may adopt the plan for all faculty members through a process established in the implementation plan document.

668-16   Limitations

External consulting and other externally compensated activities are permitted in accordance with APM - 025, Conflict of Commitment.

The Chancellor must establish a campus or school maximum percent of total negotiated salary and the percent required to establish the contingency fund.

If a faculty member transfers from one UC campus to another, s/he must renegotiate his/her salary according to the implementation plan at the new campus.

668-24   Authority

The Chancellor has authority to determine whether the campus will participate in the Negotiated Salary Program after consultation with the campus Academic Senate and Executive Vice Chancellor/Provost.

The Chancellor has authority to approve NSP implementation plans and any modifications or limits to the total negotiated salary component.

The above authority may be re-delegated.

668-96   Reports

This policy will be evaluated by the Office of the President at the end of three years to ensure that its goals are being met.

Section 1: NSTP Utilization – Phase 1 and Phase 2

Figure A
NSTP Participation by Campus and by Year
Headcounts of faculty participants

Campus	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Irvine	38	45	48	57	70	70	77	93
Los Angeles	34	80	90	92	117	116	124	133
San Diego	82	100	95	126	124	125	133	130
Riverside						16	28	19
Davis							6	12
Santa Cruz							11	12
Total	154	225	233	275	311	327	379	399

Figure B
NSTP Participation by Gender of Enrolled Faculty Compared to All Faculty in Participating Departments

Gender		Phase 1					Phase 2		
		2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Women	Enrolled Faculty	22.7%	20.4%	20.6%	21.1%	23.2%	23.9%	25.1%	27.8%
	Overall Population in Participating Departments	22.1%	24.0%	24.1%	25.6%	27.5%	26.1%	26.9%	29.1%
Men	Enrolled Faculty	77.3%	79.6%	79.4%	78.9%	76.8%	76.1%	74.9%	72.2%
	Overall Population in Participating Departments	77.9%	76.0%	75.9%	74.4%	72.5%	73.9%	73.1%	70.9%

Figure C
NSTP Participation by Race/Ethnicity of Enrolled Faculty Compared to All Faculty in Participating Departments

Race/Ethnicity		Phase 1					Phase 2		
		2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
African/African American	Enrolled Faculty	0.7%	1.3%	1.3%	2.2%	1.3%	1.2%	0.3%	1.3%
	Overall Population in Participating Departments	2.2%	1.5%	1.4%	1.5%	2.5%	2.3%	2.7%	2.6%
Asian/Asian American	Enrolled Faculty	21.6%	28.9%	30.0%	29.1%	30.5%	35.2%	35.6%	35.3%
	Overall Population in Participating Departments	16.9%	21.4%	22.0%	22.4%	22.6%	25.5%	25.7%	24.1%
Chicano(a)/Latino(a)/Hispanic	Enrolled Faculty	2.6%	3.1%	3.4%	2.9%	3.5%	4.6%	6.6%	6.0%
	Overall Population in Participating Departments	6.5%	5.0%	5.1%	5.1%	5.7%	5.3%	6.3%	6.7%
Native American/American Indian	Enrolled Faculty	0.0%	0.0%	0.0%	0.0%	0.6%	0.3%	0.3%	0.3%
	Overall Population in Participating Departments	0.1%	0.1%	0.2%	0.2%	0.2%	0.2%	0.3%	0.2%
White/Other	Enrolled Faculty	75.2%	66.7%	65.2%	65.8%	64.0%	58.7%	57.3%	57.1%
	Overall Population in Participating Departments	74.3%	72.0%	71.4%	70.8%	69.0%	66.7%	65.0%	66.4%

APPENDIX C1 - Utilization & Research Group Data

Figure D
NSTP Participation by Rank of Enrolled Faculty Compared to All Faculty in Participating Departments

Rank		Phase 1					Phase 2		
		2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Assistant Professor	Enrolled Faculty	8.4%	7.1%	11.2%	13.5%	11.9%	13.1%	17.4%	15.0%
	Overall Population in Participating Departments	14.8%	14.8%	15.1%	17.0%	18.1%	20.9%	22.4%	23.0%
Associate Professor	Enrolled Faculty	27.9%	23.6%	21.9%	19.6%	21.5%	16.2%	16.6%	22.1%
	Overall Population in Participating Departments	19.1%	17.9%	17.8%	17.7%	16.3%	15.9%	15.7%	17.1%
Professor	Enrolled Faculty	63.6%	69.3%	67.0%	66.9%	66.6%	70.6%	66.0%	62.9%
	Overall Population in Participating Departments	66.1%	67.3%	67.1%	65.3%	65.7%	63.3%	61.8%	59.9%

Figure E
NSTP Participation by Discipline

Discipline	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Biological Sciences	34	38	45	57	58	58	68	72
Engineering	41	102	105	114	133	150	180	177
Information and Computer Science	9	8	9	13	14	17	16	15
Management	2	6	7	10	14	9	10	15
Marine Sciences	8	12	7	6	9	10	11	8
Other*	6	6	8	11	15	15	18	23
Physical Sciences	24	25	25	32	36	41	47	45
Public Health	25	22	24	22	22	20	23	32
Social Sciences	5	6	3	10	10	7	6	12
Total	154	225	233	275	311	327	379	399

Discipline	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Biological Sciences	22.1%	16.9%	19.3%	20.7%	18.6%	17.7%	17.9%	18.0%
Engineering	26.6%	45.3%	45.1%	41.5%	42.8%	45.9%	47.5%	44.4%
Information and Computer Science	5.8%	3.6%	3.9%	4.7%	4.5%	5.2%	4.2%	3.8%
Management	1.3%	2.7%	3.0%	3.6%	4.5%	2.8%	2.6%	3.8%
Marine Sciences	5.2%	5.3%	3.0%	2.2%	2.9%	3.1%	2.9%	2.0%
Other*	3.9%	2.7%	3.4%	4.0%	4.8%	4.6%	4.7%	5.8%
Physical Sciences	15.6%	11.1%	10.7%	11.6%	11.6%	12.5%	12.4%	11.3%
Public Health	16.2%	9.8%	10.3%	8.0%	7.1%	6.1%	6.1%	8.0%
Social Sciences	3.2%	2.7%	1.3%	3.6%	3.2%	2.1%	1.6%	3.0%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

* For Phase 1, "Other" includes Asian Languages and Cultures, Criminology, Education, Germanic Languages, Global Policy and Strategy/International Relations, Pharmaceutical Sciences, Psychology & Social Behavior, School of Nursing and Visual Arts.

For Phase 2, "Other" includes Education, Global Policy and Strategy, Music, Information Studies, Pharmaceutical Sciences, Nursing, Psychological Science, Social Welfare, Asian Languages and Cultures, and Germanic Languages.

Figure F
Negotiated Salary Increment by Discipline

Discipline	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Biological Sciences	$975,277	$1,077,646	$1,307,081	$1,764,724	$1,770,113	$1,900,578	$1,969,325	$2,703,978
Engineering	$629,568	$3,209,992	$4,054,977	$4,653,707	$5,596,015	$6,427,623	$6,548,570	$7,919,056
Information and Computer Science	$323,413	$361,141	$371,919	$544,831	$592,727	$795,425	$710,500	$729,350
Management	$32,200	$113,700	$161,200	$254,800	$367,900	$258,300	$130,100	$504,100
Marine Sciences	$110,050	$204,900	$135,800	$111,900	$168,200	$195,500	$135,700	$168,600
Other*	$162,702	$181,467	$222,033	$368,637	$558,285	$525,085	$706,675	$946,070
Physical Sciences	$664,364	$788,178	$927,658	$986,595	$1,411,302	$1,461,214	$1,549,075	$1,859,600
Public Health	$687,320	$651,481	$732,457	$777,803	$771,229	$793,430	$858,800	$1,268,140
Social Sciences	$80,630	$84,957	$28,700	$194,456	$248,651	$261,825	$132,400	$371,700
Total	$3,665,524	$6,673,463	$7,941,825	$9,657,454	$11,484,422	$12,618,980	$12,741,145	$16,470,594

Discipline	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Biological Sciences	26.6%	16.1%	16.5%	18.3%	15.4%	15.1%	15.5%	16.4%
Engineering	17.2%	48.1%	51.1%	48.2%	48.7%	50.9%	51.4%	48.1%
Information and Computer Science	8.8%	5.4%	4.7%	5.6%	5.2%	6.3%	5.6%	4.4%
Management	0.9%	1.7%	2.0%	2.6%	3.2%	2.0%	1.0%	3.1%
Marine Sciences	3.0%	3.1%	1.7%	1.2%	1.5%	1.5%	1.1%	1.0%
Other*	4.4%	2.7%	2.8%	3.8%	4.9%	4.2%	5.5%	5.7%
Physical Sciences	18.1%	11.8%	11.7%	10.2%	12.3%	11.6%	12.2%	11.3%
Public Health	18.8%	9.8%	9.2%	8.1%	6.7%	6.3%	6.7%	7.7%
Social Sciences	2.2%	1.3%	0.4%	2.0%	2.2%	2.1%	1.0%	2.3%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

* For Phase 1, "Other" includes Asian Languages and Cultures, Criminology, Education, Germanic Languages, Global Policy and Strategy/International Relations, Pharmaceutical Sciences, Psychology & Social Behavior, School of Nursing and Visual Arts.

For Phase 2, "Other" includes Education, Global Policy and Strategy, Music, Information Studies, Pharmaceutical Sciences, Nursing, Psychological Science, Social Welfare, Asian Languages and Cultures, and Germanic Languages.

Figure G
Base Salary, Negotiated Salary Increment and Total Annual Salary
Enrolled Faculty, by Campus

ALL CAMPUSES	Phase 1					Phase 2		
	2013-14*	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount	154	225	233	275	311	327	379	399
Base Salary	$21,092,300	$33,671,144	$35,987,270	$43,439,989	$51,716,700	$57,357,400	$68,009,017	$71,468,300
Negotiated Salary Increment	$3,693,902	$6,673,463	$7,941,825	$9,657,454	$11,484,422	$12,618,980	$12,741,145	$16,470,594
Total Salary (Base Salary + Negotiated Salary Increment)	$24,786,222	$40,344,607	$43,929,095	$53,097,443	$63,201,122	$69,976,380	$80,750,162	$87,938,894
% of Negotiated to Total Salary	14.9%	16.5%	18.1%	18.2%	18.2%	18.0%	15.8%	18.7%

* For 2013-14, salary data was collected on a projected basis; this resulted in differences in the negotiated salary increment once the final fiscal year data was tallied.

APPENDIX C1 - Utilization & Research Group Data

Figure G.1

Base Salary, Negotiated Salary Increment and Total Annual Salary
Enrolled Faculty, by Campus (*Phase 1 Campuses*)

IRVINE	Phase 1					Phase 2		
	2013-14*	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount	38	45	48	57	70	70	77	93
Base Salary	$4,881,300	$5,918,300	$6,249,400	$8,244,800	$10,776,500	$11,394,500	$12,641,800	$14,951,300
Negotiated Salary Increment	$1,136,628	$1,368,039	$1,439,625	$1,874,588	$2,360,222	$2,679,988	$2,919,900	$3,572,590
Total Salary (Base Salary + Negotiated Salary Increment)	$6,017,928	$7,286,339	$7,689,025	$10,119,388	$13,136,722	$14,074,488	$15,561,700	$18,523,890
% of Negotiated to Total Salary	18.9%	18.8%	18.7%	18.5%	18.0%	19.0%	18.8%	19.3%

LOS ANGELES	Phase 1					Phase 2		
	2013-14*	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount	34	80	90	92	117	116	124	133
Base Salary	$4,559,000	$12,513,444	$14,650,500	$15,626,200	$20,663,700	$21,935,300	$23,757,500	$25,361,000
Negotiated Salary Increment	$960,274	$2,755,824	$3,364,700	$3,677,000	$4,879,600	$4,958,600	$4,790,725	$5,948,100
Total Salary (Base Salary + Negotiated Salary Increment)	$5,519,274	$15,269,268	$18,015,200	$19,303,200	$25,543,300	$26,893,900	$28,548,225	$31,309,100
% of Negotiated to Total Salary	17.4%	18.0%	18.7%	19.0%	19.1%	18.4%	16.8%	19.0%

SAN DIEGO	Phase 1					Phase 2		
	2013-14*	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount	82	100	95	126	124	125	133	130
Base Salary	$11,652,000	$15,239,400	$15,087,370	$19,568,989	$20,276,500	$21,571,500	$24,425,300	$24,612,800
Negotiated Salary Increment	$1,597,000	$2,549,600	$3,137,500	$4,105,866	$4,244,600	$4,651,983	$3,770,286	$5,461,100
Total Salary (Base Salary + Negotiated Salary Increment)	$13,249,020	$17,789,000	$18,224,870	$23,674,855	$24,521,100	$26,223,483	$28,195,586	$30,073,900
% of Negotiated to Total Salary	12.1%	14.3%	17.2%	17.3%	17.3%	17.7%	13.4%	18.2%

* For 2013-14, salary data was collected on a projected basis; this resulted in differences in the negotiated salary increment once the final fiscal year data was tallied.

APPENDIX C1 - Utilization & Research Group Data

Figure G.2
Base Salary, Negotiated Salary Increment and Total Annual Salary
Enrolled Faculty, by Campus (*Phase 2 Campuses*)

RIVERSIDE	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount						16	28	19
Base Salary						$2,456,100	$4,484,700	$2,776,700
Negotiated Salary Increment						$328,409	$716,900	$618,000
Total Salary (Base Salary + Negotiated Salary Increment)						$2,784,509	$5,201,600	$3,394,700
% of Negotiated to Total Salary						11.8%	13.8%	18.2%

DAVIS	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount							6	12
Base Salary							$1,030,617	$1,890,500
Negotiated Salary Increment							$217,334	$400,604
Total Salary (Base Salary + Negotiated Salary Increment)							$1,247,951	$2,291,104
% of Negotiated to Total Salary							17.4%	17.5%

SANTA CRUZ	Phase 1					Phase 2		
	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Headcount							11	12
Base Salary							$1,669,100	$1,876,000
Negotiated Salary Increment							$326,000	$470,200
Total Salary (Base Salary + Negotiated Salary Increment)							$1,995,100	$2,346,200
% of Negotiated to Total Salary							16.3%	20.0%

Figure H
Research Expenditures in 2017-18, 2018-19, and 2019-20
Faculty Enrolled in Both 2019-20 and 2020-21

Analysis on the research expenditures in 2017-18, 2018-19, and 2019-20 for the subset of enrolled faculty who participated in both 2019-20 and 2020-21. Includes only those individuals for whom research expenditures were reported.

Research expenditure data were collected for prior years due to lags in data collection.

Campus		2017-18	2018-19	2019-20
Davis	Number of Faculty		4	4
	Total Research Expenditures		$8,776,203	$2,493,636
	Average Expenditures per faculty member		$2,194,051	$623,409
Irvine	Number of Faculty	58	64	55
	Total Research Expenditures	$44,154,175	$58,134,674	$50,453,092
	Average Expenditures per faculty member	$761,279	$908,354	$917,329
Los Angeles	Number of Faculty	72	95	102
	Total Research Expenditures	$69,914,324	$88,429,652	$108,161,917
	Average Expenditures per faculty member	$971,032	$930,838	$1,060,411
Riverside	Number of Faculty	9	15	15
	Total Research Expenditures	$3,485,353	$8,207,710	$9,191,668
	Average Expenditures per faculty member	$387,261	$547,181	$612,778
San Diego	Number of Faculty	96	97	102
	Total Research Expenditures	$102,952,406	$101,031,340	$114,341,586
	Average Expenditures per faculty member	$1,072,421	$1,041,560	$1,120,996
Santa Cruz	Number of Faculty		7	7
	Total Research Expenditures		$6,438,890	$4,642,966
	Average Expenditures per faculty member		$919,841	$663,281

* Davis and Santa Cruz joined the program in 2019-20.

APPENDIX C1 - Utilization & Research Group Data

Figure I

Negotiated Salary as a Proportion of Research Expenditures

Analysis on the research expenditures in enrolled faculty compared to the total negotiated increments. Includes only those individuals for whom research expenditures were reported for a NSTP participation year.

Campus		2017-18	2018-19	2019-20
Davis	Total Research Expenditures			$2,493,636
	Total Negotiated Increments			$149,393
	% of Total Research Expenditures spent on Negotiated Increments			6.0%
Irvine	Total Research Expenditures	$40,509,097	$53,768,012	$50,453,092
	Total Negotiated Increments	$1,740,285	$2,049,500	$2,308,300
	% of Total Research Expenditures spent on Negotiated Increments	4.3%	3.8%	4.6%
Los Angeles	Total Research Expenditures	$74,766,882	$92,786,315	$108,161,917
	Total Negotiated Increments	$3,231,800	$3,897,100	$4,162,975
	% of Total Research Expenditures spent on Negotiated Increments	4.3%	4.2%	3.8%
Riverside	Total Research Expenditures		$7,645,876	$9,191,668
	Total Negotiated Increments		$286,979	$432,600
	% of Total Research Expenditures spent on Negotiated Increments		3.8%	4.7%
San Diego	Total Research Expenditures	$94,426,776	$102,585,787	$114,341,586
	Total Negotiated Increments	$3,312,200	$3,808,750	$3,213,900
	% of Total Research Expenditures spent on Negotiated Increments	3.5%	3.7%	2.8%
Santa Cruz	Total Research Expenditures			$4,642,966
	Total Negotiated Increments			$197,000
	% of Total Research Expenditures spent on Negotiated Increments			4.2%

* Riverside joined the program in 2018-19; Davis and Santa Cruz joined the program in 2019-20.

** For 2017-18, Phase 1 Negotiated increment data was used for Irvine, Los Angeles, and San Diego.

APPENDIX C1 - Utilization & Research Group Data

Figure J
Research Group - Graduate Student Support

Analysis on the GSR and TAs supported by the subset of enrolled faculty who participated in both 2019-20 and 2020-21.

Campus		2016-17	2017-18	2018-19	2019-20
Davis	Number of Faculty		4	4	4
	Graduate Students - Quarters/Semesters Supervised		100	152	104
	TA/Reader - Quarters/Semesters Supported		1	24	14
	Outside Fellowship - Quarters/Semesters Supported		8	12	20
	Without Salary - Quarters/Semesters		0	4	4
Irvine	Number of Faculty	52	67	67	67
	Graduate Students - Quarters/Semesters Supervised	340	526	513	559
	TA/Reader - Quarters/Semesters Supported	163	173	130	231
	Outside Fellowship - Quarters/Semesters Supported	134	209	216	201
	Without Salary - Quarters/Semesters	38	33	31	32
Los Angeles	Number of Faculty	75	102	102	102
	Graduate Students - Quarters/Semesters Supervised	589	883	1155	1265
	TA/Reader - Quarters/Semesters Supported	122	168	197	283
	Outside Fellowship - Quarters/Semesters Supported	144	262	341	340
	Without Salary - Quarters/Semesters	16	56	35	25
Riverside	Number of Faculty	10	15	15	15
	Graduate Students - Quarters/Semesters Supervised	156	231	294	345
	TA/Reader - Quarters/Semesters Supported	24	27	24	50
	Outside Fellowship - Quarters/Semesters Supported	100	152	145	185
	Without Salary - Quarters/Semesters	0	12	14	3
San Diego	Number of Faculty	89	110	110	110
	Graduate Students - Quarters/Semesters Supervised	934	1311	1338	1608
	TA/Reader - Quarters/Semesters Supported	68	92	105	13
	Outside Fellowship - Quarters/Semesters Supported	137	32	30	72
	Without Salary - Quarters/Semesters	195	35	19	31
Santa Cruz	Number of Faculty		7	7	7
	Graduate Students - Quarters/Semesters Supervised		51	49	60
	TA/Reader - Quarters/Semesters Supported		19	22	11
	Outside Fellowship - Quarters/Semesters Supported		20	53	60
	Without Salary - Quarters/Semesters		0	1	0

* Data was collected for two prior years. Davis and Santa Cruz joined the program in 2019-20.

** For San Diego, TA/Readers are block funded by the department so they are unable to always assign to specific faculty member/research groups.

APPENDIX C1 - Utilization & Research Group Data

Figure K

Research Group - Postdoc Support

Analysis on the Postdocs supported by the subset of enrolled faculty who participated in both 2019-20 and 2020-21.

Campus		2016-17	2017-18	2018-19	2019-20
Davis	Number of Faculty		4	4	4
	Number of Postdocs		6	4	3
	Total Percent Effort of Postdocs		4.9	3.4	3.0
Irvine	Number of Faculty	52	67	67	67
	Number of Postdocs	54	62	88	66
	Total Percent Effort of Postdocs	52.0	57.6	83.6	63.5
Los Angeles	Number of Faculty	75	102	102	102
	Number of Postdocs	77	122	119	125
	Total Percent Effort of Postdocs	74.9	108.4	114.8	118.4
Riverside	Number of Faculty	10	15	15	15
	Number of Postdocs	9	13	21	26
	Total Percent Effort of Postdocs	8.0	13.0	19.5	25.0
San Diego	Number of Faculty	89	110	110	110
	Number of Postdocs	157	178	180	238
	Total Percent Effort of Postdocs	109.4	155.4	157.3	184.8
Santa Cruz	Number of Faculty		7	7	7
	Number of Postdocs		12	13	16
	Total Percent Effort of Postdocs		12.0	13.0	16.0

* Data was collected for two prior years. Davis and Santa Cruz joined the program in 2019-20.

APPENDIX C1 - Utilization & Research Group Data

Figure L

Research Group - Overall

Analysis on the entire research group supported by the subset of enrolled faculty who participated in both 2019-20 and 2020-21. (Includes Graduate Students, Postdocs, and Staff)

Campus		2016-17	2017-18	2018-19	2019-20
Davis	Number of Faculty		4	4	4
	Number of Research Group Members		48	47	49
	Total Percent Effort of Research Group Members		27.9	29.2	29.0
Irvine	Number of Faculty	52	67	67	67
	Number of Research Group Members	355	477	517	512
	Total Percent Effort of Research Group Members	221.9	298.2	336.0	346.0
Los Angeles	Number of Faculty	75	102	102	102
	Number of Research Group Members	351	554	686	741
	Total Percent Effort of Research Group Members	203.6	304.1	386.6	411.8
Riverside	Number of Faculty	10	15	15	15
	Number of Research Group Members	65	102	141	146
	Total Percent Effort of Research Group Members	40.3	61.6	83.8	90.8
San Diego	Number of Faculty	89	110	110	110
	Number of Research Group Members	783	924	940	1141
	Total Percent Effort of Research Group Members	332.6	496.9	526.3	569.1
Santa Cruz	Number of Faculty		7	7	7
	Number of Research Group Members		38	46	51
	Total Percent Effort of Research Group Members		26.4	31.0	33.5

* Data was collected for two prior years. Davis and Santa Cruz joined the program in 2019-20.

Figure M

Research Group Support - Pre-NSTP and During NSTP

Analysis on the entire research group supported by the subset of enrolled faculty where research group data was available pre-NSTP and during NSTP.

Total Research Group

Campus		Pre-NSTP	During NSTP
Davis	Average FTE of Research Group Member	0.59	0.59
	Average Headcount of Research Group	10.3	10.5
Irvine	Average FTE of Research Group Member	0.66	0.64
	Average Headcount of Research Group	4.8	7.8
Los Angeles	Average FTE of Research Group Member	0.53	0.55
	Average Headcount of Research Group	4.8	7.0
Riverside	Average FTE of Research Group Member	0.62	0.60
	Average Headcount of Research Group	8.4	10.0
San Diego	Average FTE of Research Group Member	0.47	0.49
	Average Headcount of Research Group	6.2	8.4
Santa Cruz	Average FTE of Research Group Member	0.68	0.66
	Average Headcount of Research Group	6.0	7.3

Graduate Students

Campus		Pre-NSTP	During NSTP
Davis	Average FTE of Graduate Students	0.49	0.50
	Average Headcount of Graduate Students	7.3	7.5
Irvine	Average FTE of Graduate Students	0.57	0.55
	Average Headcount of Graduate Students	2.6	5.2
Los Angeles	Average FTE of Graduate Students	0.45	0.46
	Average Headcount of Graduate Students	3.3	4.9
Riverside	Average FTE of Graduate Students	0.55	0.52
	Average Headcount of Graduate Students	5.9	7.9
San Diego	Average FTE of Graduate Students	0.36	0.38
	Average Headcount of Graduate Students	3.3	4.7
Santa Cruz	Average FTE of Graduate Students	0.55	0.50
	Average Headcount of Graduate Students	4.2	5.0

APPENDIX C1 - Utilization & Research Group Data

Postdocs

Campus		Pre-NSTP	During NSTP
Davis	Average FTE of Postdocs	0.79	1.00
	Average Headcount of Postdocs	1.0	0.6
Irvine	Average FTE of Postdocs	0.93	0.92
	Average Headcount of Postdocs	0.9	1.0
Los Angeles	Average FTE of Postdocs	0.95	0.97
	Average Headcount of Postdocs	0.7	1.2
Riverside	Average FTE of Postdocs	0.96	0.96
	Average Headcount of Postdocs	1.4	1.7
San Diego	Average FTE of Postdocs	0.87	0.83
	Average Headcount of Postdocs	1.3	1.7
Santa Cruz	Average FTE of Postdocs	1.00	1.00
	Average Headcount of Postdocs	1.8	2.3

Staff/Other

Campus		Pre-NSTP	During NSTP
Davis	Average FTE of Staff/Other	0.88	0.79
	Average Headcount of Staff/Other	1.9	2.4
Irvine	Average FTE of Staff/Other	0.65	0.74
	Average Headcount of Staff/Other	1.3	1.5
Los Angeles	Average FTE of Staff/Other	0.47	0.51
	Average Headcount of Staff/Other	0.8	1.0
Riverside	Average FTE of Staff/Other	0.57	0.75
	Average Headcount of Staff/Other	1.1	0.4
San Diego	Average FTE of Staff/Other	0.39	0.44
	Average Headcount of Staff/Other	1.6	2.1
Santa Cruz	Average FTE of Staff/Other	0	0
	Average Headcount of Staff/Other	0	0

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

NSTP Phase Two 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 May 2018, the NSTP Phase Two Metrics Working 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 recruitment and 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?
- Do the benefits of the program for faculty outweigh the administrative burdens of the program?

NSTP Phase Two Faculty Survey Administration

On April 21, 2021, the faculty web-based survey was sent to 3,240 faculty members in units participating in the third year of the program on the Davis, Irvine, Los Angeles, Riverside, San Diego, and Santa Cruz campuses. Six hundred forty eight faculty members took the survey, yielding an overall response rate of approximately 20%. Response rates varied substantially between program participants (enrolled faculty) and non-participants. Among NSTP participants in Year 3, 276 of the 399 individuals surveyed responded to at least one of the survey questions, yielding a response rate of 69%. 372 of the 3,021 surveyed non-participants took part in the survey, resulting in a response rate of approximately 12%. (Of these, thirty respondents had previously participated in NSTP in 2019-20, but did not participate in 2020-21. For the purposes of this report, their responses are categorized as Participants.)

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

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

NSTP Faculty Survey Instrument

Survey Question	Response Group
1. Are you currently participating in the Negotiated Salary Trial Program (aka the General Campus Compensation Plan at UC San Diego) in the 2020-21 academic year?*	All Respondents
2. Did you participate in the program last year (2019-20)?*	All Respondents
3. Do you plan to apply to participate in the program in academic year 2021-22?	All Respondents
4. How familiar are you with the program?	All Respondents
5. Please explain why you did not participate in the program in 2019-20 and/or 2020-21. Check all that apply.	Non-Participants Only
6. What motivated you to participate in the program? Check all that apply.	Participants Only
7. Have you modified your TEACHING LOAD while participating in the program?	Participants Only
8. Have you modified your SERVICE ACTIVITIES while participating in the program?	Participants Only
9. Has the program affected your support of graduate students?	Participants Only
10. Has the program affected your hiring of postdocs?	Participants Only
11. Has participation in the program affected your grant writing activity?	Participants Only
12. Have you modified the focus or nature of your research during your participation in the program?	Participants Only
13. Based on your experiences, please rate your level of satisfaction with the following aspects of the program.	Participants Only
14. Please indicate your level of agreement with the following statements.	All Respondents
15. In your opinion, has the program affected the morale of faculty in your department?	All Respondents
16. In your opinion, is the program a positive asset for the University?	All Respondents
17. For statistical purposes only, please provide us with the following information. Reporting data will be aggregated to protect the identity of individual respondents. (Campus)	All Respondents

18. For statistical purposes only, please provide us with the following information. Reporting data will be aggregated to protect the identity of individual respondents. (School/Division/College)	All Respondents
19. For statistical purposes only, please provide us with the following information. Reporting data will be aggregated to protect the identity of individual respondents. (Rank)	All Respondents
20. For statistical purposes only, indicate your gender identity by selecting one of the options. Reporting data will be aggregated to protect the identity of individual respondents.	All Respondents
21. 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
22. Any additional comments about the program?	All Respondents

* Participants are defined as faculty who participated in NSTP Phase 2 (2019-20 and/or 2020-21). Non-participants did not participate in the program in either year.

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

NSTP Phase Two Faculty Survey Response Summary

Faculty participants in this Phase Two survey indicated general satisfaction with the program. Approximately eighty-eight percent were satisfied or highly satisfied with the negotiated salary. A majority were "satisfied" or "highly satisfied" with the application process and program administration – 72% and 79%, respectively. A large majority – 90% – will reportedly reapply for 2021-22, and 97% of program participants indicated that the program was a "positive asset to the University." In contrast, 79% of non-participants will not apply for 2021-22, and only 66% indicated that the program was a "positive asset to the University."

The top five reasons faculty gave for participating in the program were: 1) to bring my salary to market rates (81%), 2) to augment my salary (68%), 3) to allow me to spend more time on my University research (51%), 4) to make it possible to turn down an outside offer (40%), and 5) to allow me to reduce outside consulting as additional income (38%).

Comments from program participants also indicate general satisfaction with the program. The final question of the survey was: "Any additional comments about the program?" The majority of program participants' comments in this section viewed the program in a favorable light and advocated continuation of the program, especially with regards to the recruitment and retention of faculty.

Program participants were less satisfied with the administrative process and voiced concerns about the restrictive funding rules (specifically the NIH salary cap), deadlines, and excessive contingency fund requirements.

A majority of the non-participants' comments were neutral or negative. Criticisms of the program mainly focused on increasing salary inequities as a result of the program's implementation and the complexity of the application process and program rules which prevented participation. Nearly twenty percent of non-participants' who commented had no awareness of the program.

Participants were asked how the program affects teaching, public service activities, graduate student support, and postdoctoral scholar hiring. One faculty member indicated that they reduced their teaching load as a result of the program. One faculty member indicated that they reduced their service activities as a result of the program. Three faculty members indicated that they reduced their support for graduate students and two faculty members indicated that they reduced their postdoc hiring as a result of participation in the program.

Participants were also asked how the program impacted their level of grant writing and the focus/nature of their research. Sixty-six percent of respondents indicated that they increased their grant writing activity as a result of the program, while thirty-two percent reported no change in their level of grant writing. Eighty-nine percent of respondents reported that the focus/nature of their research has not change as a result of this program, while eight percent reported that they modified the focus/nature of their research as a result of the program. Summary responses to the survey are below.

NSTP Phase Two Faculty Survey Response Summary Relative to Prior Years

Compared to the last survey conducted in 2017-18 during the fifth year of Phase One of the program, the Phase Two survey results are largely the same. In 2017-18, 97% of participants in the program agreed that it was an asset to the university (the same percentage for Phase Two). The top five reasons faculty gave for participating in the program were also similar. Figure 1 offers a side by side comparison, with the relative percentages of the top five reasons in each of the first five years compared to Phase Two: "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". Bringing salary up to market rates increased slightly as a motivation for participating (from 78% to 81%). Most of the other reasons also increased slightly (augmenting salary from 61% to 68%, allowing faculty to spend more time on University research from 48% to 51%, turning down an outside offer from 31% to 40%, and reducing outside consulting from 33% to 38%).

Figure 1.
What motivated you to participate in the program? (2013-14, 2014-15, 2015-16, 2016-17, 2017-18, and Phase 2 Responses)
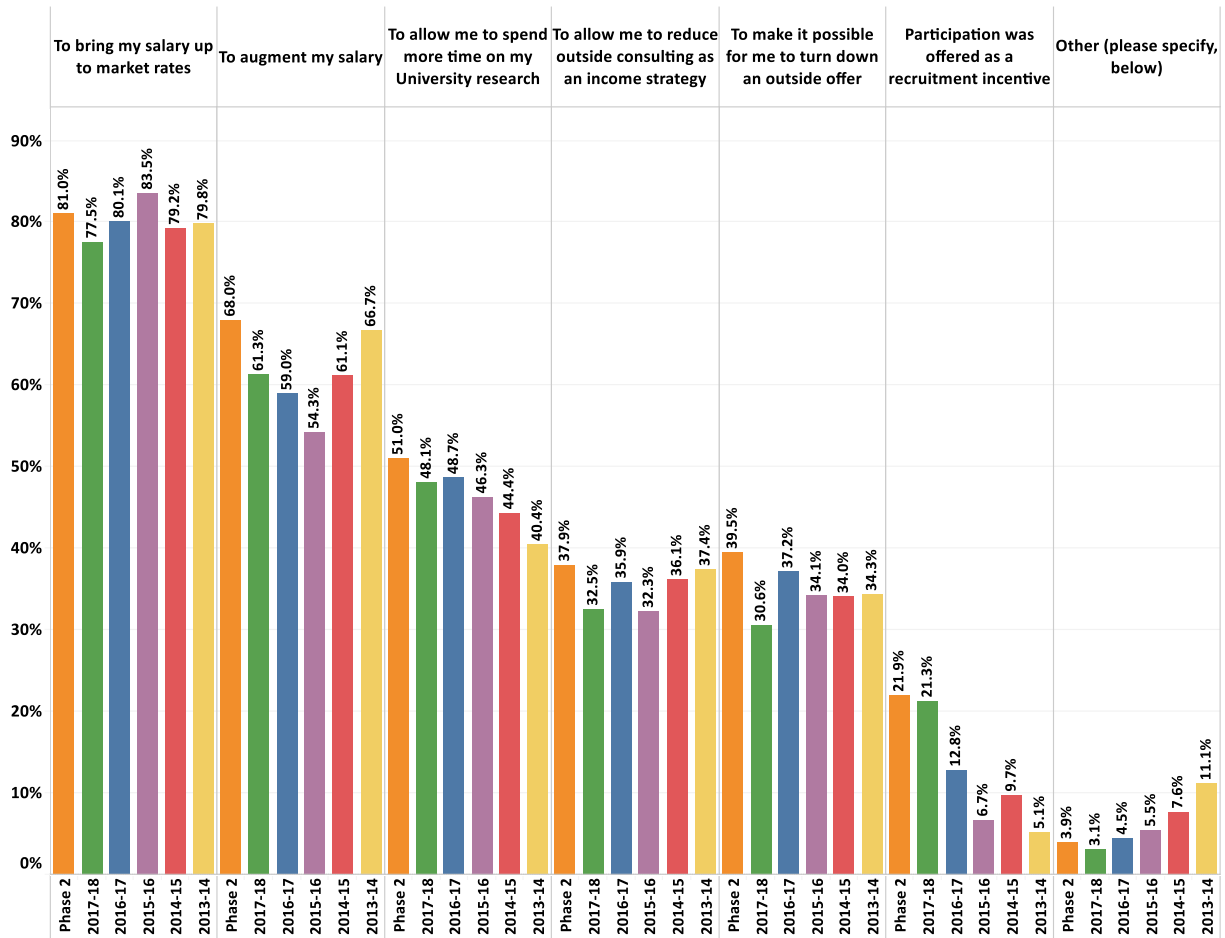
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Question 1.
Are you currently participating in the Negotiated Salary Trial Program (aka the General Campus Compensation Plan at UC San Diego) in the 2020-21 academic year? (All Respondents)

Yes
No

42.6%
57.4%
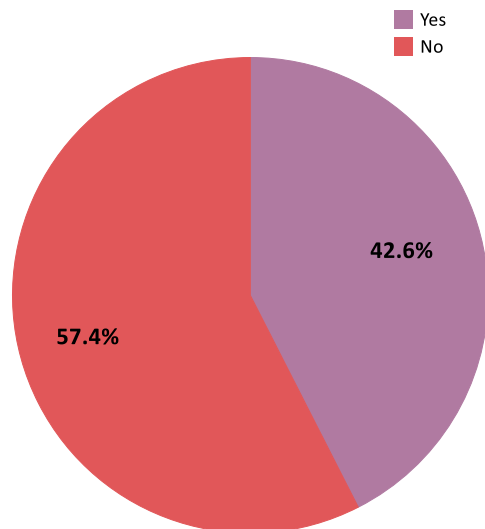
Question 2.
Did you participate in the program last year (2019-20)? (All Respondents)

Yes
No

Participants: Yes 81.0%, No 19.0%
Non-Participants: No 100.0%
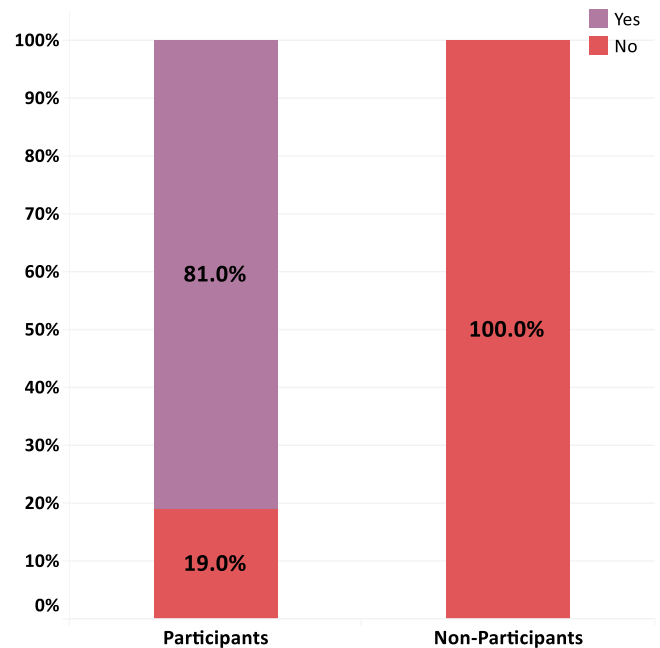
Question 3.
Do you plan to apply to participate in the program in academic year 2021-22? (All Respondents)

Yes
No

Participants: Yes 89.9%, No 10.1%
Non-Participants: Yes 21.3%, No 78.7%
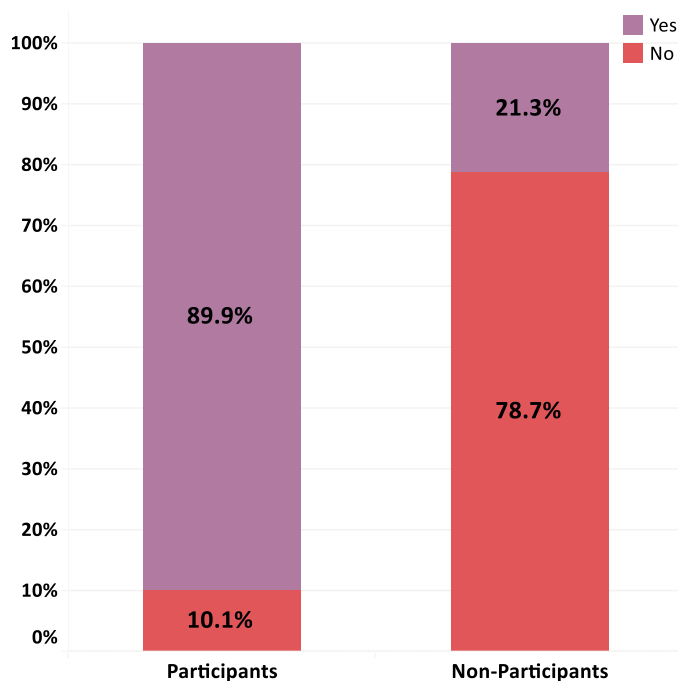
Question 4.
How familiar are you with the program? (All Respondents)

Participants: Very familiar 58.2%, Familiar 33.0%, Somewhat familiar 8.2%
Non-Participants: Very familiar 16.1%, Familiar 26.0%, Somewhat familiar 30.4%, I am not familiar with the program 27.5%

I am not familiar with the program
Somewhat familiar
Familiar
Very familiar
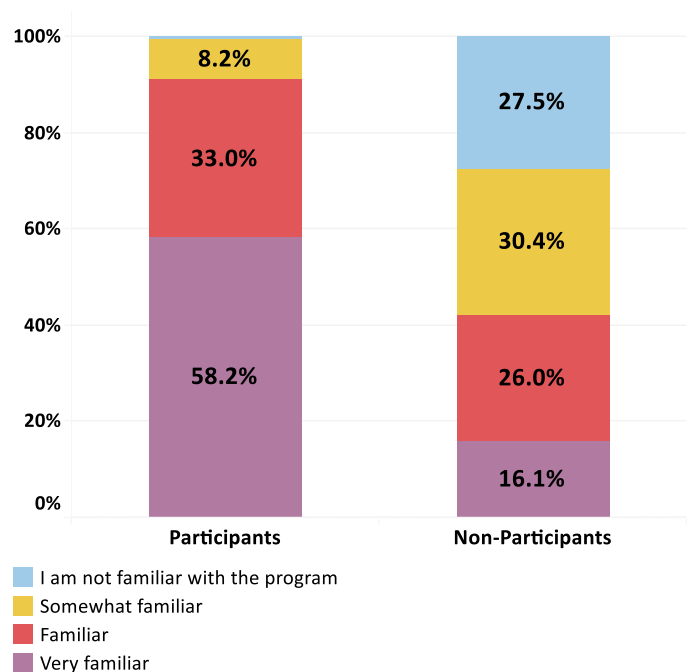
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Question 5.
Please explain why you did not participate in the program in 2019-20 and/or 2020-21. Check all that apply.
(Non-Participants in 2019-20 OR 2020-21)
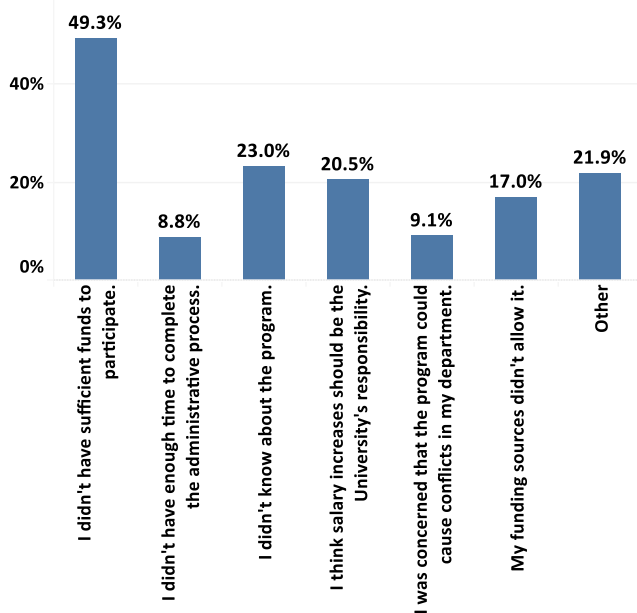
Questions 6.
What motivated you to participate in the program? Check all that apply.
(Participants in 2019-20 OR 2020-21)
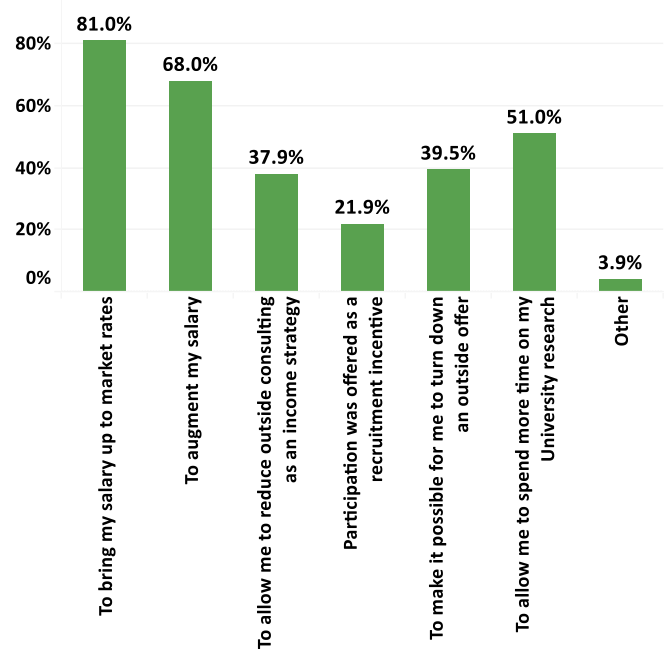
Questions 7 and 8.
Have you modified your Teaching Load/Service Activities while participating in the program?
(Participants in 2019-20 OR 2020-21)

Legend:
- Other
- Yes, it DECREASED as a result of this program.
- Yes, it DECREASED but not as a result of the program.
- Yes, it INCREASED as a result of the program.
- Yes, it INCREASED but not as a result of the program.
- No, no change
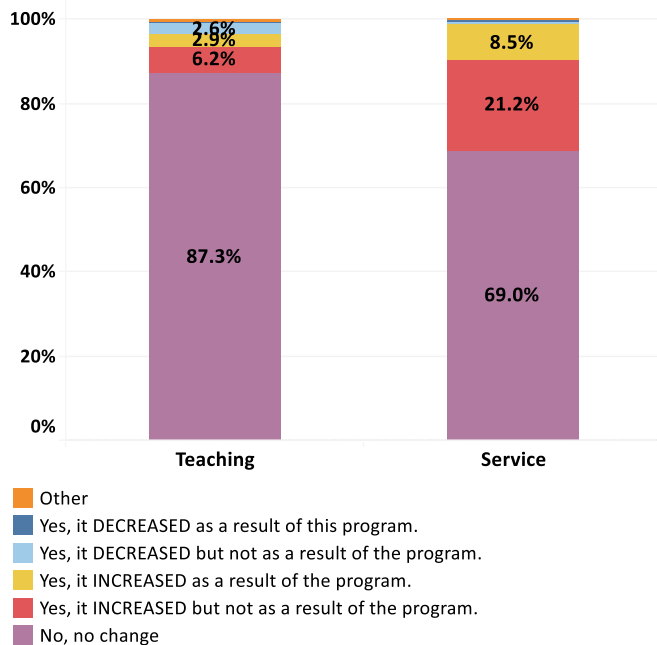
Question 9 and 10.
Has the program affected your support of Graduate Students/Postdocs
(Participants in 2019-20 OR 2020-21)

Legend:
- Other
- I don't know
- Yes, it DECREASED as a result of this program.
- Yes, it INCREASED as a result of the program.
- No, no change
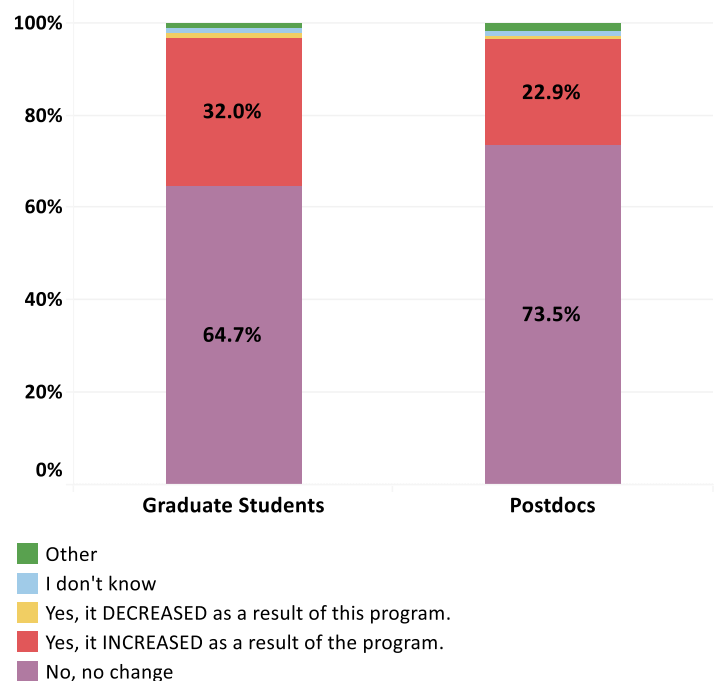
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Question 11.
Has participation in the program affected your grant writing activity?
(Participants in 2019-20 OR 2020-21)

- Yes, I INCREASED my grant writing activity as a result of the program. — 66.0%
- No, my level of grant writing has not changed. — 31.7%
- Yes, I DECREASED my grant writing activity as a result of the program. — 1.3%
- Other — 1.0%
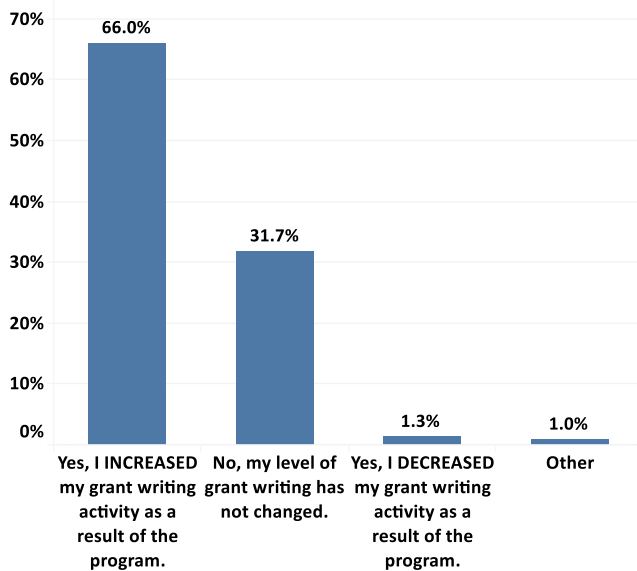
Questions 12.
Have you modified the focus or nature of your research during your participation in the program?
(Participants in 2019-20 OR 2020-21)

- No, the focus/nature of my research has not changed. — 88.6%
- Yes, I MODIFIED the focus/nature of my research as a result of the program. — 7.8%
- Yes, I MODIFIED the focus/nature of my research but not as a result of the program. — 3.6%
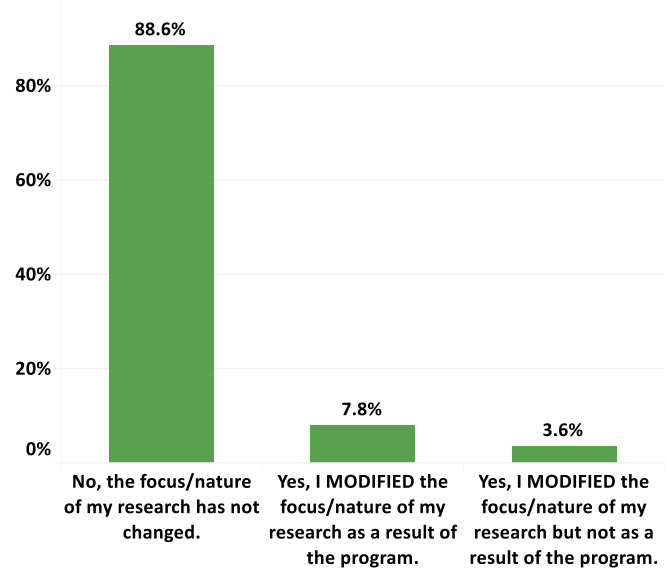
Questions 13.
Based on your experience, please rate your level of satisfaction with the following aspects of the program.
(Participants in 2019-20 OR 2020-21)

	Program administration	Negotiated salary increment	Application process	Rules of the program
Don't know enough about this aspect of the program to comment	4.9%	2.9%	3.3%	3.6%
Unsatisfied	3.9%	2.3%	8.2%	18.6%
Neutral	12.4%	7.2%	17.0%	16.7%
Satisfied	38.9%	38.9%	37.3%	36.3%
Highly satisfied	39.9%	48.7%	34.3%	24.8%
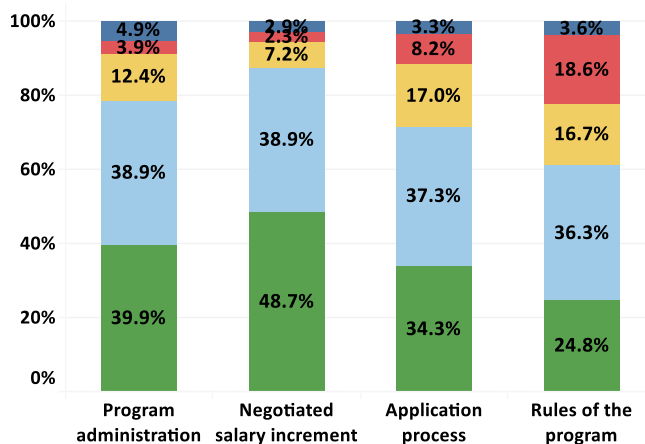
- Don't know enough about this aspect of the program to comment
- Unsatisfied
- Neutral
- Satisfied
- Highly satisfied

Question 14.
Please indicate your level of agreement with the following statements.
(All Respondents)

	The NSTP/GCCP is administered fairly and equitably in my department.	The NSTP/GCCP played/plays a factor in my decision to join the UC faculty or to remain with the University.	I believe that faculty in my department are in favor of continuing the NSTP/GCCP.
Strongly Disagree	3.2%	17.3%	
Disagree	5.1%	9.7%	3.9%
Neutral	34.0%	22.4%	27.5%
Agree	19.8%	15.6%	21.6%
Strongly Agree	38.0%	35.0%	45.4%
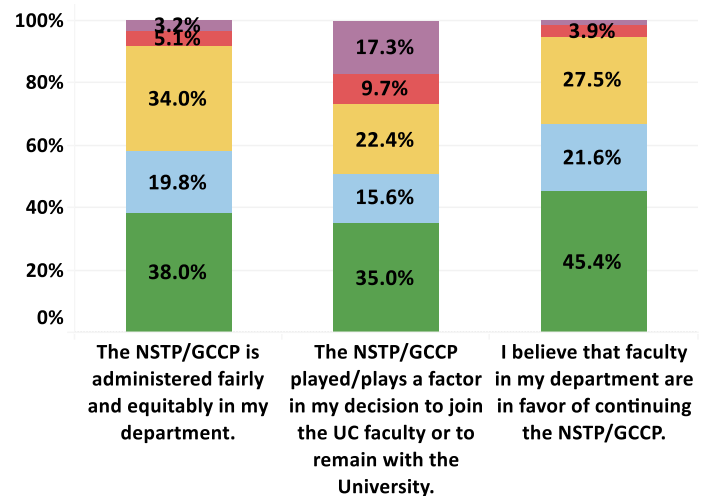
- Strongly Disagree
- Disagree
- Neutral
- Agree
- Strongly Agree

Question 15.
In your opinion, has the program affected the morale of faculty in your department?
(All Respondents)

Legend:
- I don't know.
- Yes, unit morale WORSENED as a result of the program.
- No, no change.
- Yes, unit morale IMPROVED as a result of the program.

Participants: 20.6%, 1.3%, 22.5%, 55.6%
Non-Participants: 52.3%, 8.8%, 19.0%, 19.9%
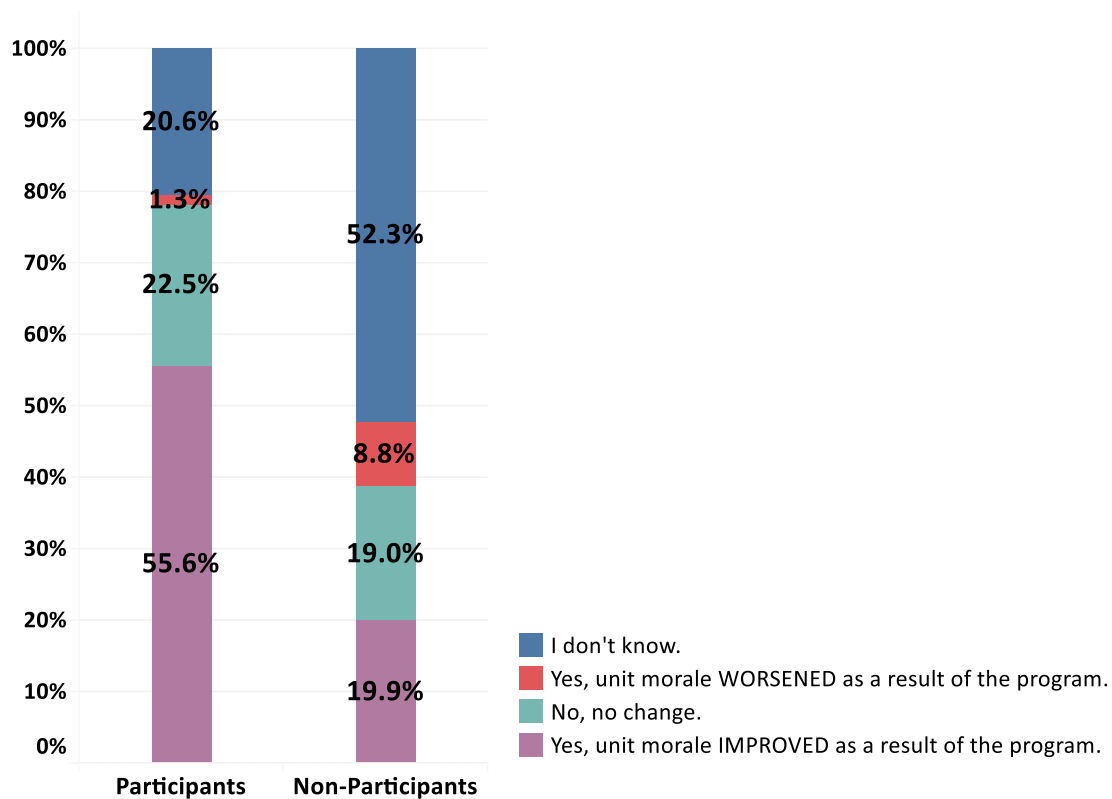
Question 16.
In your opinion, is the program a positive asset for the University?
(All Respondents)

Participants — Yes: 96.7%, No: 3.3%
Non-Participants — Yes: 66.4%, No: 33.6%
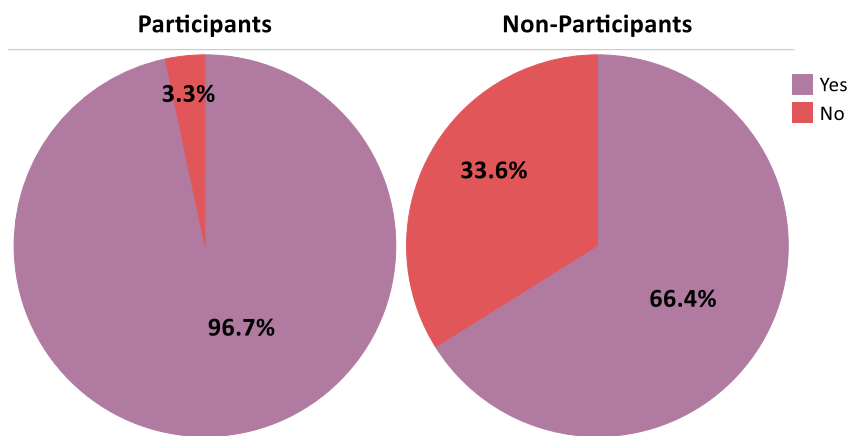
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Questions 17-21. For statistical purposes only, please provide us with the following information. Reporting data will be aggregated to protect the identity of individual respondents.

Questions 17-21 requested identifying information (campus, school/division/college, faculty rank, race/ethnicity and gender identity). Overall, 97% of survey respondents provided information regarding their demographic characteristics.

Many of the responses were examined by gender and race/ethnicity. In general, there were not many statistically significant differences in responses by gender.

Due to the fact that only 20 URM participants and 20 URM non-participants responded to the survey, detecting a statistically significant difference between URM and the other ethnicity categories would require a large margin of error for many questions. Additionally, 17% of total survey respondents (NSTP participants and non-participants) chose "Prefer not to answer" in response to the race/ethnicity question and approximately 9% chose "Prefer not to answer" in response to the gender question. For other analyses of interest, the sample size is too small to draw meaningful conclusions. The summary responses are below.

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

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	306	429	*71%*	299	*70%*	302	*70%*
Non-Participants	342	2,991	*11%*	329	*11%*	334	*11%*

Group	Campus						Response Count	No Answer	Response Rate
	UCD	UCI	UCLA	UCR	UCSC	UCSD			
NSTP-Participants	4	78	103	19	10	88	302	4	*70%*
Non-Participants	11	103	91	40	13	76	334	8	*11%*

Group	Faculty Rank					Response Count	No Answer	Response Rate
	Assistant Professor	Associate Professor	Professor	In Residence	LSOE Series			
NSTP-Participants	43	64	189	1	2	299	7	*70%*
Non-Participants	79	49	189	0	12	329	13	*11%*

Group	Race/Ethnicity						Response Count	No Answer	Response Rate
	African/ African-American	Asian/ Asian-American	Chicano(a) /Latino(a) /Hispanic	Native American/ American Indian	White	Prefer not to answer			
NSTP-Participants	3	80	17	0	145	57	302	4	*70%*
Non-Participants	6	40	13	1	222	49	331	11	*11%*

Group	Gender Identity					Response Count	No Answer	Response Rate
	Woman	Man	Non-binary	Different identity/not listed above	Prefer not to answer			
NSTP-Participants	81	193	0	1	27	302	4	*70%*
Non-Participants	104	197	2	1	29	333	9	*11%*

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

NSTP Phase Two Administrator Survey administration

On April 21, 2021, the NSTP web-based administrator survey was sent to 346 administrators and administrative staff in the participating units at the Davis, Irvine, Los Angeles, Riverside, San Diego, and Santa Cruz campuses. The survey was sent to college provosts and deans, associate vice chancellors, executive vice chancellors/provosts (EVC/Ps), and other administrators involved in program implementation or in faculty recruitment, retention, or review. One hundred sixty-two of these individuals responded to the survey, yielding a response rate of approximately 47%. 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 (aka General Campus Compensation Plan at UC San Diego)?*	Administrators
3. Are or were you also a program participant (as a faculty member) in the 2019-20 or 2020-21 academic year?	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. What is/are the biggest challenge(s) you have faced while administering the program? (please select all that apply)	Administrators
7. Please indicate your level of agreement with the following statements.	Administrators
8. Based on your experiences as an administrator or staff member involved in the administration of the 2019-20 or 2020-21 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; #4 for the faculty is the same as #2 for the administrators and #16 for the faculty is the same as #9 for the administrators.

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

NSTP Phase Two Administrator Survey Response Summary

Administrators expressed general satisfaction with program. Seventy percent of all respondents believed it to be a positive asset to the University (see Table 1). These views were held most strongly by deans and college provosts (86%), academic personnel directors (86%), and the EVC/Ps (80%). However, only 64% of Other staff consider the program a positive asset.

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

Response	EVC/ Provost/ Campus Provost/ Vice Provost/ Assoc. Vice Provost	College Provost/ Dean/ Assoc. or Asst. Dean	Asst Vice Chancellor/ Asst Vice Provost/ Academic Personnel Director	Department CAO or MSO	Other	Overall
Yes	80%	86%	86%	71%	64%	70%
No	20%	14%	14%	29%	36%	30%

Overall, 43% of the surveyed group agreed or strongly agreed that the program helped faculty recruitment and 47% agreed or strongly agreed that the program helped faculty retention (see Tables 2a and 2b).

Deans and college provosts were the most positive in the role of the program in recruitment (68% agreed or strongly agreed), while EVC/Ps were the most positive in the role of the program in retention (80% agreed or strongly agreed). 58% of academic personnel directors agreed or strongly agreed that the program helped both recruitment and retention. Other staff expressed less confidence in the effectiveness of the NSTP in these areas: only 39% of department CAO/MSO agreed or strongly agreed that the program helped with recruitment, while 47% of these respondents agreed or strongly agreed that the program helped with retention.

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Table 2a. The program helps faculty recruitment
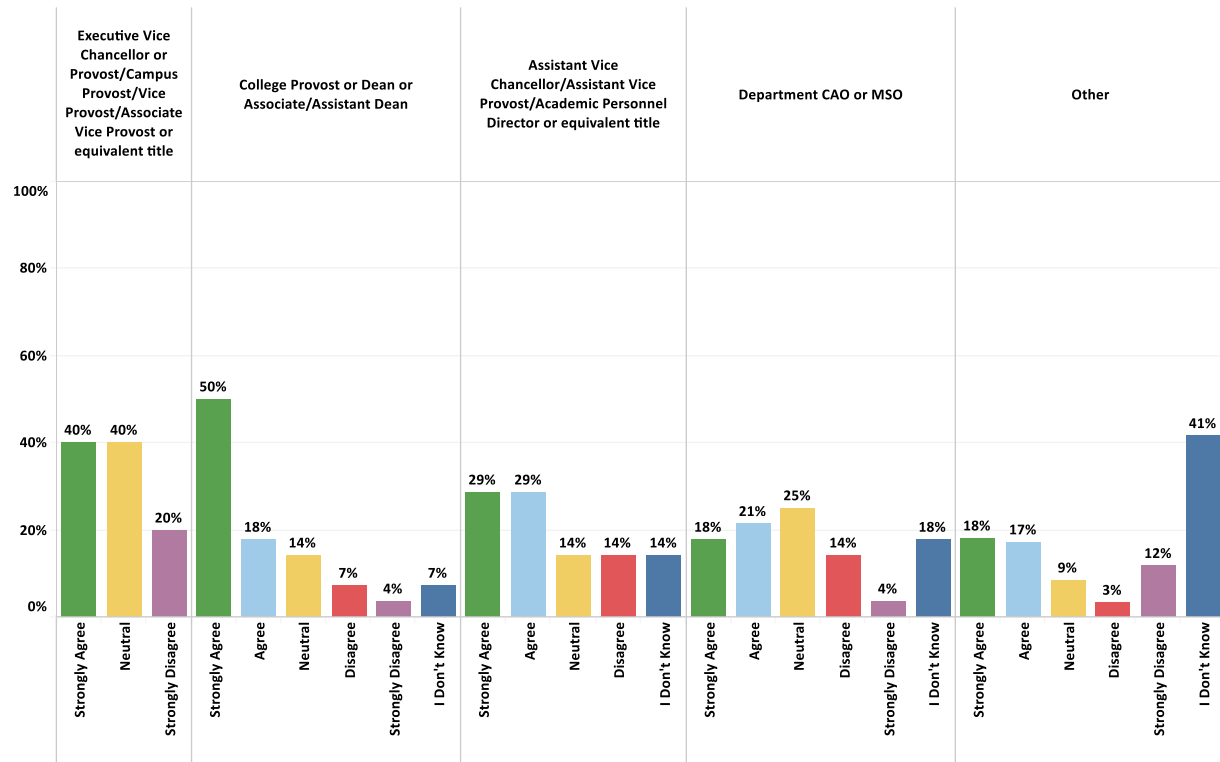
## Table 2b. The program helps faculty retention
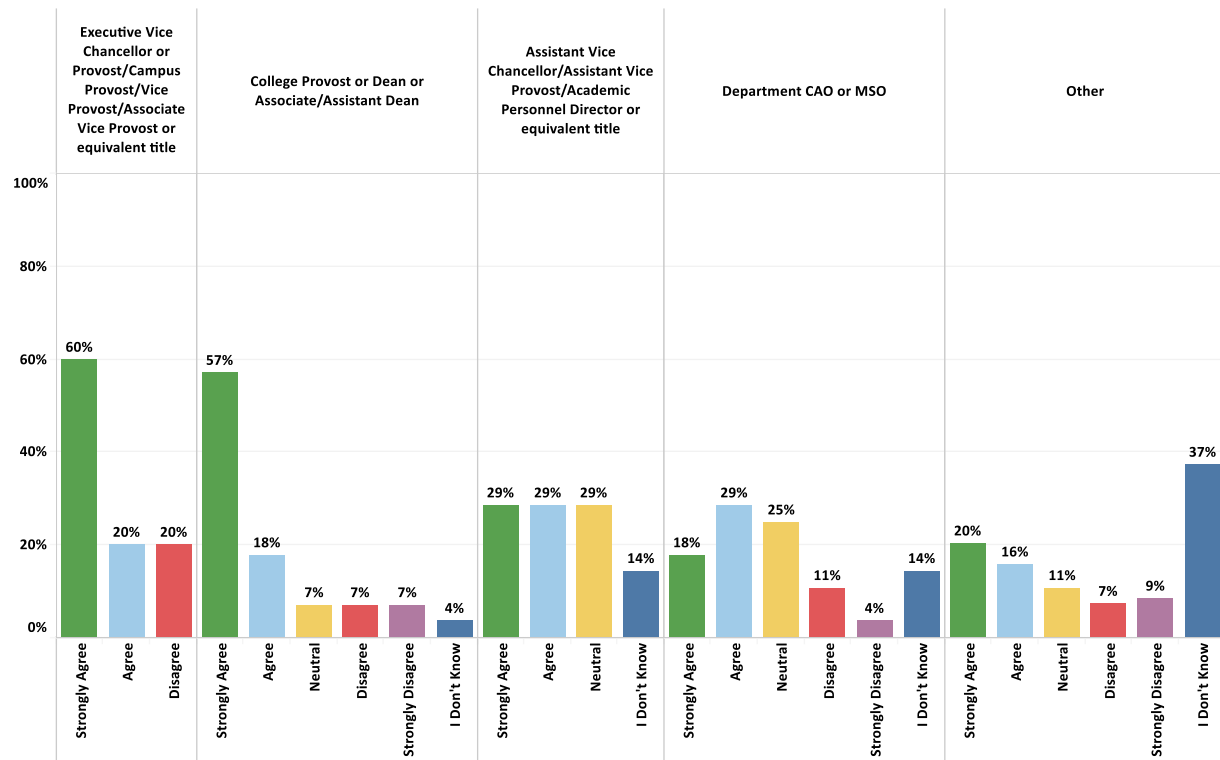
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Satisfaction with the program's administrative burden varied by group. Sixty-five percent of administrators believed the program's benefit to faculty clearly or somewhat outweighed its administrative costs (see Table 3). While those at higher levels of administration rated the benefits highly, 25% of department CAO/MSO and 32% of other staff 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	Asst Vice Chancellor/ Asst Vice Provost/ Academic Personnel Director	Department CAO or MSO	Other	Overall
Benefit to faculty clearly outweighs admin. costs	40%	68%	29%	25%	30%	36%
Benefit to faculty somewhat outweighs admin. costs	40%	14%	57%	43%	27%	29%
Benefit to faculty does not outweigh admin. costs	20%	14%	14%	25%	32%	27%
Don't know enough to comment	0%	4%	0%	7%	12%	9%

Eighty-eight of the 162 respondents (54%) 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, while also mentioning the increasing equity concerns between faculty with and without access to proper funding and also between disciplines, and its subsequent impacts on faculty climate and morale. The remainder of the comments focused on the program's administrative burden, including the large staff workload to administer the program for a small number of faculty and the lack of support for staff in terms of financial support and training to understand the various rules and restrictions of the program.

Forty-one percent of respondents made comments regarding the administrative burden of the program and how it could be mitigated. The most common suggestions were automating and centralizing processes (for example, with online forms) and changing the timing of the program so that calculations and approvals coordinate more seamlessly with merit, promotions, and the annual salary program. Additionally, respondents also suggested reducing the program's reporting requirements and creating more robust and regular training for program administrators.

Respondents were also asked for "Any additional comments about the program?" Sixty-five respondents (40%) provided comments. Nearly a third of the comments addressed the complicated rules surrounding the eligibility of funds for the program as well as the potential misuse of research funds. Eighteen percent mentioned the burden on staff who administer the program; these concerns also called out the inconsistency in the application of the program rules from year to year as well as the additional difficulty of payroll processing caused by the transition to UCPath. Fourteen percent reiterated the positive impact of the program on recruitment and retention. Additionally, respondents suggested relaxing the rules and restrictions on the types of funds that are eligible and simplifying the application process and the administrative process.

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

NSTP Phase Two Administrator survey relative to prior years

Ninety-two percent of respondents indicated that they were familiar or very familiar with the NSTP program. This is a decrease of 3% percent from 2017-18, when the survey was last conducted. Compared to 2017-18, administrative support for the program has fallen. Seventy percent of respondents believe the program is asset for the University, compared to 80% in 2017-18.

Compared to prior years, administrators' support for the program with respect to its administrative burden is at an all-time low of 65%. For 2017-18, 83% of all respondents believed the benefits of the program outweighed its administrative burden compared to 87% in the fourth year, 73% in the third year, 78% in the second year, and 71% in the first year. 100% of EVC/Ps felt this way in 2017-18, 2016-17, 2015-16, and 2014-15, compared to 80% for Phase Two. Deans and college provosts also felt quite positive about the benefits of the NSTP outweighing the administrative burden: 100% felt this way in 2017-18 and 2016-17, compared to 82% for Phase Two.

With respect to faculty recruitment, favorability ratings decreased. Fifty-five percent of respondents cited that NSTP helped in recruitment in 2017-18, which is 12% more than in Phase Two.

With respect to retention, the favorable rating also decreased. Fifty-five percent indicated that NSTP was helpful in retention in 2017-18, which is 8% more than in Phase Two.

Levels of dissatisfaction with various aspects of the program increased from prior years. The percent that were unsatisfied or highly unsatisfied with the rules of the program rose from 19% in 2017-18 to 32% in Phase Two. More administrators were unsatisfied with the application process (21% in 2017-18 vs. 30% in Phase Two). Dissatisfaction with program administration increased (17% in 2017-18 vs. 25% in Phase Two), as did dissatisfaction with the negotiated salary increment (4% in 2017-18 vs. 11% in Phase Two).

APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Question 1.
What is your title?

- Executive Vice Chancellor or Provost/Campus Provost/Vice Provost/Associate Vice Provost or equi..
- College Provost or Dean or Associate/Assistant Dean
- Assistant Vice Chancellor/Assistant Vice Provost/Academic Personnel Director or equivalent title
- Department CAO or MSO
- Other
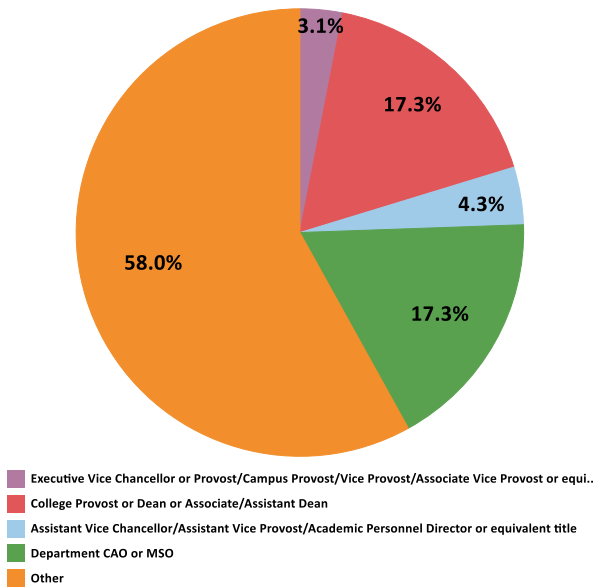
Question 2.
How familiar are you with the NSTP?

- Very familiar
- Familiar
- Somewhat familiar
- I am not familiar with the program.
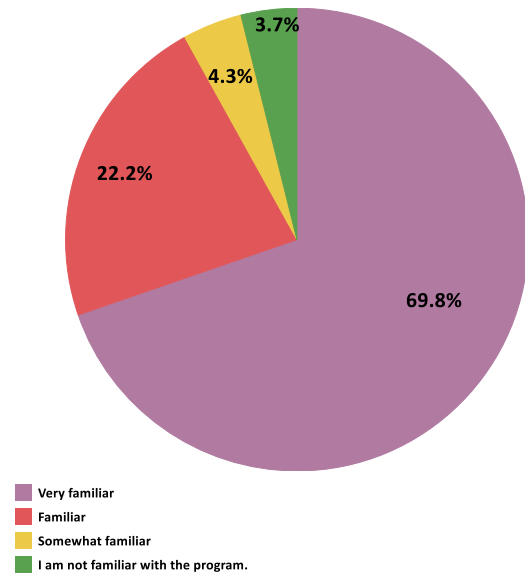
Question 3.
Are or were you also a program participant (as a faculty member) in 2019-20 or 2020-21?

- Yes
- No
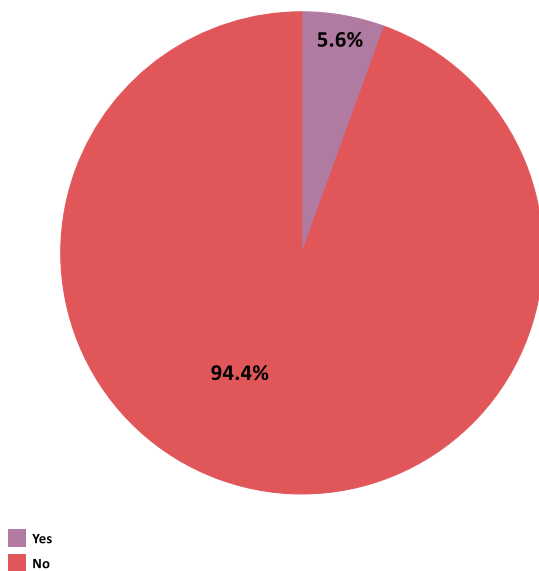
Question 4.
How would you characterize your knowledge of the different types of funds that can be used in the program (e.g., grants, contracts, Chair income, etc.)?

- Very familiar
- Familiar
- Somewhat familiar
- I am not familiar with the program's funding sources.
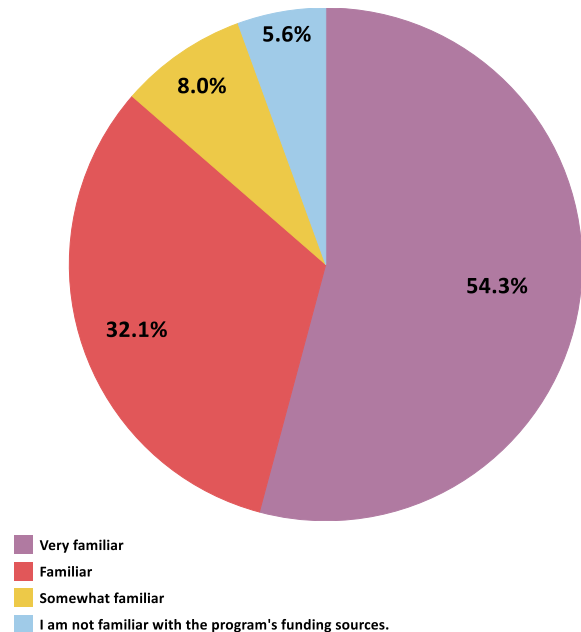
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

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.

- ■ Benefit to faculty clearly outweighs administrative costs
- ■ Benefit to faculty somewhat outweighs administrative costs
- ■ Benefit to faculty does not outweigh administrative costs
- ■ Don't know enough to comment
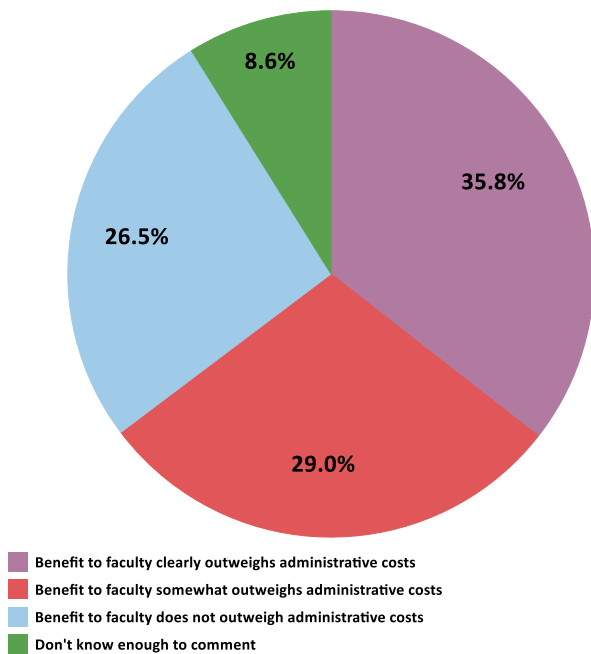
Question 6.
What is/are the biggest challenge(s) you have faced while administering the program? (please select all that apply)
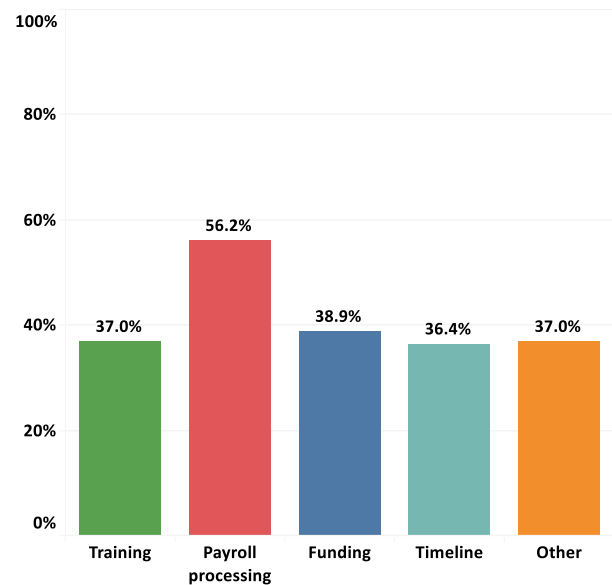
Question 7.
Please indicate your level of agreement with the following statements.

- ■ I Don't Know
- ■ Strongly Disagree
- ■ Disagree
- ■ Neutral
- ■ Agree
- ■ Strongly Agree
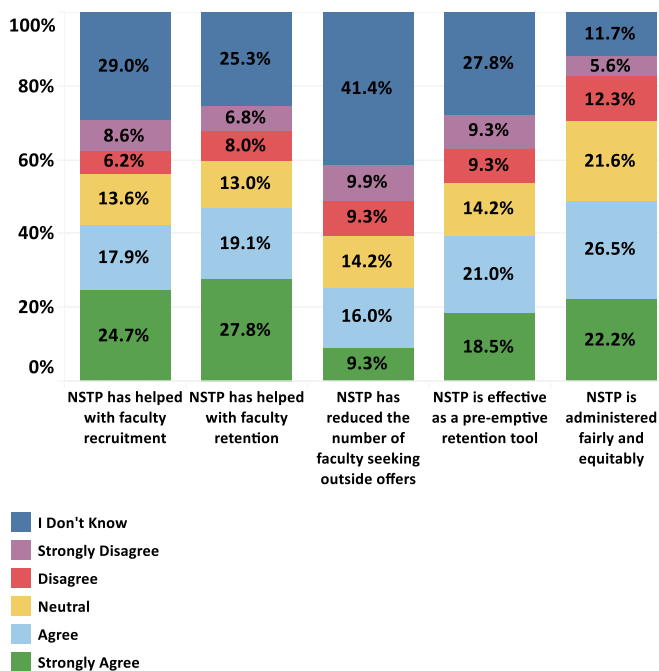
Question 8.
Based on your experience as an administrator or staff member involved in the administration of the 2019-20 or 2020-21 program, please rate your level of satisfaction with the following aspects of the program.

- ■ Don't know enough about this aspect of the program to comment
- ■ Highly Unsatisfied
- ■ Unsatisfied
- ■ Neutral
- ■ Satisfied
- ■ Highly satisfied
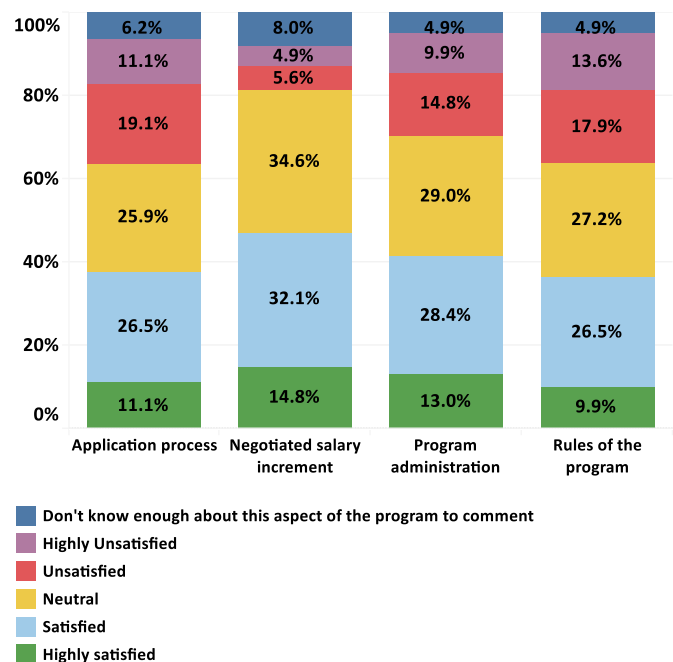
APPENDIX C2 - 2021 NSTP Faculty & Administrator Survey

Question 9.
In your opinion, is the program a positive asset for the
University?

29.6%

70.4%
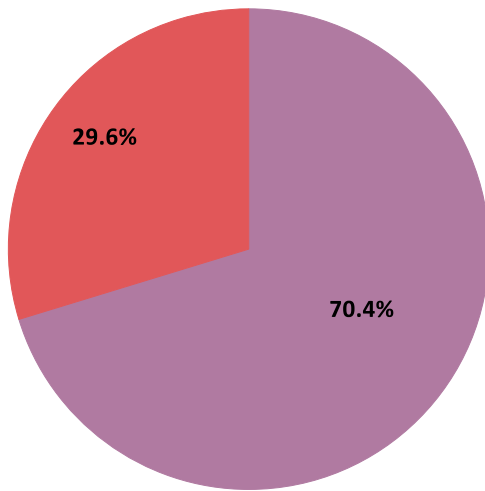
- Yes
- No

<div align="center">

Negotiated Salary Trial Program Phase Two
Annual Report for Year Three (July 2020 - June 2021)

</div>

Executive Summary

In January 2018, UC Provost and Executive Vice President Michael Brown approved a four-year extension and expansion ("Phase Two") of the general campus Negotiated Salary Trial Program (NSTP). Four campuses participated in year one of Phase Two: UC Irvine, UCLA, UC Riverside, and UC San Diego. Two additional campuses joined the program in year two of Phase Two: UC Davis and UC Santa Cruz. This report on year three of Phase Two of the program presents data on faculty participation from each campus as well as data on use and effectiveness of the program. Data presented in the annual reports for each year of Phase Two of the program, as well as the comprehensive review after year three, will be used to determine whether to institutionalize the program in policy or to end it at the conclusion of Phase Two.

In the third year of phase two, 399 faculty enrolled in NSTP. The negotiated salary component for these 399 faculty members was $16.5M. The program was most heavily used by faculty in engineering (177), biological sciences (72), physical sciences (45), and public health (32). Fully 52% of total enrolled faculty negotiated the maximum increment (30% of base salary).

Department chairs/leaders were surveyed to obtain data on their departments' experience with the program. The department chairs/leaders surveyed indicated that NSTP played a very important role in the success of recruitments and retentions in their departments, and is an essential tool in keeping UC competitive.

I.   Background

In February 2013, following consultation with the Academic Senate and the Council of Vice Chancellors (COVC), then UC Provost and Executive Vice President Aimée Dorr approved a five-year general campus NSTP on three campuses (UC Irvine, UCLA, and UC San Diego[1]). In addition, she created a joint Senate-Administration Taskforce, charged with designing metrics for evaluating the program's effectiveness.

In June 2013, the provost approved the Taskforce recommendations and the NSTP became operational on July 1, 2013. During the fall of 2016, Vice Provost Susan Carlson convened a task force, chaired by Professor Mary Gauvain of UC Riverside, to plan for the comprehensive review during year four of the program (2016-17). This task force presented a report to then Provost and Executive Vice President Dorr in June 2017, which recommended continuing the program and allowing other campuses to participate if desired, to allow for more data collection to make a more comprehensive assessment during a second phase of the program.

After systemwide review, in January 2018, Provost and Executive Vice President Michael Brown approved a four-year extension and expansion ("Phase Two") of the program, with a review after the

---

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

third year and a possible fifth year, if needed, to wind down the program if the review determined that the program should not continue. The three pilot campuses opted to continue their participation in the NSTP during Phase Two, and they were joined (in year 1) by UC Riverside on July 1, 2018. UC Provost and Executive Vice President Brown's approval letter allowed campuses the option of joining during Year Two (2019-20) of Phase Two as well, and both UC Davis and UC Santa Cruz decided to join NSTP during year two. A joint faculty/administrative workgroup met during the summer of 2018 to develop a revised set of metrics by which to assess Phase Two of the NSTP. These metrics have been endorsed by Provost and Executive Vice President Brown and will be incorporated into both the annual reports and the year four full review of the program.

The basic documents for Phase Two of 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**] and the revised metrics developed by the Phase Two Metrics Working Group [**Appendix B**]).

NSTP Goals. Three goals outlined by the 2013 joint Senate-Administration Taskforce guided the compilation of this report:

- Meet immediate recruitment and retention needs on participating 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 year four review.

Metrics and required reporting. As outlined by the Phase Two Working Group, three types of data are collected for each annual report to allow adequate review of the program: 1) Basic Data (people, demographics [gender and race/ethnicity], discipline, salary components, funding, faculty responsibilities); 2) Data on recruitment and retention; and 3) Survey data, involving queries to faculty, department chairs, and program administrators. Some of this information will be collected at the campus level from the application forms and the rest will be collected either annually (chair and leader survey) or once during phase two (faculty and administrator survey) by the Office of the President, in coordination with the participating campuses.

II.   Faculty Participation and Demographics, 2020-21

This "Faculty Participation and Demographics" section of the report provides the following data as outlined by the Taskforce in October 2018 (**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 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 by gender and race/ethnicity (note that summer-ninths and stipends are addressed in section V).

1.1.7. Average salaries (including negotiated amount) of participating and non-participating faculty, analyzed by gender and race/ethnicity.

Each campus continues to participate according to its individual implementation guidelines, approved by the UC Provost.

Figure 1 provides detail on the division/school/college NSTP participation. For year three, overall faculty participation increased by twenty; from 379 in 2019-20 to 399 in 2020-21. Of the 399, 76 were new to the program. Seventy-six percent of faculty participants from 2019-20 (305 of 399) continued in 2020-21. (Eighteen other faculty members, who participated in the program prior to 2019-20, rejoined the program in 2020-21.)

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

Figure 1
Campus Participation in NSTP by Divisions/Schools/Colleges and Department
2020-21

Category	2020-21					
	Davis	**Irvine**	**Los Angeles**	**Riverside**	**San Diego**	**Santa Cruz**
Divisions/Schools/Colleges Participating	3	10	8	3	8	2
Total Campus Divisions/Schools/Colleges	7	15	14	6	8	5
Participating Divisions/Schools/Colleges as a Percentage of Total Campus	**43%**	**67%**	**57%**	**50%**	**100%**	**40%**
Departments Participating	7	22	28	7	19	6
Total Campus Departments	65	53	64	42	34	37
Participating Departments as a Percentage of Total Campus	**11%**	**42%**	**44%**	**17%**	**56%**	**16%**
Faculty Participating	12	93	133	19	130	12
Total Eligible Campus Faculty*	1,220	1,096	1,474	794	1,058	555
Participating Faculty as a Percentage of Total Eligible Campus Faculty	**1%**	**9%**	**9%**	**2%**	**12%**	**2%**

* Total Eligible Campus Faculty is defined as ladder-rank and in-residence faculty in non-HSCP schools. (Count is as of CPS October 2020 Snapshot. Totals exclude Health Sciences Compensation Plan schools.)

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

UC Davis: Agricultural and Environmental Sciences, Biological Sciences, Engineering.

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

UCLA: Education & Information Studies, Engineering & Applied Sciences, Life Sciences, Anderson School of Management, Physical Sciences, Public Health, Social Sciences, School of Public Affairs.

UC Riverside: Engineering, Life Sciences, Physical Sciences.

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

UC Santa Cruz: Engineering, Physical & Biological Sciences.

Campus participation profiles (**Figure 2a** [UC Davis], **2b** [UC Irvine], **2c** [UCLA], **2d** [UC Riverside], **2e** [UC San Diego], and **2f** [UC Santa Cruz]) provide headcounts of the faculty who were enrolled in 2020-21. 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 399 faculty enrolled, 130 (33%) are at UC San Diego and 133 (33%) are at UCLA. All but four enrolled faculty members hold academic year (9-month) appointments.

Figure 2a
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC Davis
2020-21

Campus	School/Division/College	Department Name	Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Enrolled Headcount Difference from 2019-20
Davis	AGRICULTURE & ENVIRONMENTAL SCIENCES	ANIMAL SCIENCE	1	8.3%	27	3.7%	1
		BIOLOGICAL & AGRIC ENGR	1	8.3%	10	10.0%	1
		HUMAN ECOLOGY	1	8.3%	32	3.1%	1
		NUTRITION	1	8.3%	13	7.7%	1
	BIOLOGICAL SCIENCES	NEUROBIOLOGY, PHYSIOLOGY & BEHAVIOR	2	16.7%	17	11.8%	2
	ENGINEERING	CIVIL AND ENVIRONMENTAL ENGINEERING	2	16.7%	38	5.3%	1
		ELECTRICAL AND COMPUTER ENGINEERING	4	33.3%	32	12.5%	0
Davis Total			**12**	**100.0%**	**169**	**7.1%**	

Figure 2b
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC Irvine
2020-21

Campus	School/Division/College	Department Name	Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Enrolled Headcount Difference from 2019-20
Irvine	BIOLOGICAL SCIENCES	DEVELOPMENTAL & CELL BIOLOGY	12	12.9%	23	52.2%	2
		ECOLOGY AND EVOLUTIONARY BIOLOGY	1	1.1%	33	3.0%	1
		MOLECULAR BIOLOGY AND BIOCHEMISTRY	4	4.3%	26	15.4%	1
		NEUROBIOLOGY & BEHAVIOR	10	10.8%	25	40.0%	3
	EDUCATION	EDUCATION	4	4.3%	31	12.9%	0
	ENGINEERING	BIOMEDICAL ENGINEERING	4	4.3%	22	18.2%	1
		CHEMICAL ENGR & MATRL SCIENCE	1	1.1%	16	6.3%	0
		CIVIL & ENVIRONMENTAL ENGR	2	2.2%	25	8.0%	1
		ELECTRICAL ENGR & COMPUTER SCI	4	4.3%	33	12.1%	0
		MATERIAL SCIENCE AND ENGINEERING	3	3.2%	14	21.4%	-1
		MECHANICAL & AEROSPACE ENGR	5	5.4%	27	18.5%	0
	INFORMATION AND COMPUTER SCIENCE	COMPUTER SCIENCE	9	9.7%	51	17.6%	0
		INFORMATICS	3	3.2%	27	11.1%	-1
		STATISTICS	3	3.2%	11	27.3%	0
	PHYSICAL SCIENCES	EARTH SYSTEM SCIENCE	3	3.2%	23	13.0%	-1
		MATHEMATICS	2	2.2%	35	5.7%	0
		PHYSICS AND ASTRONOMY	3	3.2%	48	6.3%	0
	PUBLIC HEALTH	PUBLIC HEALTH	7	7.5%	19	36.8%	4
	SOCIAL ECOLOGY	PSYCHOLOGICAL SCIENCE	4	4.3%	30	13.3%	2
	SOCIAL SCIENCES	COGNITIVE SCIENCES	3	3.2%	24	12.5%	2
	HEALTH SCIENCES	NURSING	4	4.3%	12	33.3%	1
		PHARMACEUTICAL SCIENCES	2	2.2%	14	14.3%	1
Irvine Total			**93**	**100.0%**	**569**	**16.3%**	

Figure 2c
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UCLA
2020-21

Campus	School/Division/College	Department Name	Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Enrolled Headcount Difference from 2019-20
Los Angeles	EDUCATION & INFO STUDIES	EDUCATION	2	1.5%	44	4.5%	1
		INFORMATION STUDIES	2	1.5%	14	14.3%	2
	ENGINEERING & APPLIED SCIENCES	BIOENGINEERING DEPARTMENT	2	1.5%	12	16.7%	0
		CHEMICAL AND BIOMOLECULAR ENGINEERING	4	3.0%	16	25.0%	0
		CIVIL AND ENVIRONMENTAL ENGINEERING	8	6.0%	22	36.4%	3
		COMPUTER SCIENCE	20	15.0%	35	57.1%	-2
		ELECTRICAL AND COMPUTER ENGINEERING	20	15.0%	43	46.5%	4
		MATERIALS SCIENCE AND ENGINEERING	3	2.3%	14	21.4%	1
		MECHANICAL AND AEROSPACE ENGINEERING	6	4.5%	36	16.7%	-5
	LIFE SCIENCES	ECOLOGY AND EVOLUTIONARY BIOLOGY	1	0.8%	26	3.8%	0
		INTEGRATIVE BIOLOGY & PHYSIOLOGY	5	3.8%	19	26.3%	0
		MOLECULAR, CELL & DEVELOPMENTAL BIOLOGY	3	2.3%	20	15.0%	-2
		PSYCHOLOGY	8	6.0%	60	13.3%	-2
	ANDERSON SCHOOL OF MANAGEMENT	MANAGEMENT SCHOOL	1	0.8%	80	1.3%	1
	PHYSICAL SCIENCES	ATMOSPHERIC AND OCEANIC SCIENCES	2	1.5%	18	11.1%	0
		CHEMISTRY AND BIOCHEMISTRY	8	6.0%	43	18.6%	3
		EARTH, PLANETARY, AND SPACE SCIENCES	3	2.3%	25	12.0%	-1
		MATHEMATICS	2	1.5%	45	4.4%	0
		PHYSICS AND ASTRONOMY	2	1.5%	54	3.7%	0
		STATISTICS	1	0.8%	13	7.7%	-1
	PUBLIC HEALTH	BIOSTATISTICS	5	3.8%	15	33.3%	1
		COMMUNITY HEALTH SCIENCES	4	3.0%	15	26.7%	1
		ENVIRONMENTAL HEALTH SCIENCES	4	3.0%	7	57.1%	0
		EPIDEMIOLOGY	6	4.5%	13	46.2%	2
		HEALTH POLICY AND MANAGEMENT	6	4.5%	15	40.0%	1
	SOCIAL SCIENCES	COMMUNICATION	2	1.5%	10	20.0%	2
		HISTORY	1	0.8%	47	2.1%	1
	SCHOOL OF PUBLIC AFFAIRS	SOCIAL WELFARE	2	1.5%	18	11.1%	0
Los Angeles Total			**133**	**100.0%**	**779**	**17.1%**	

Figure 2d
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC Riverside
2020-21

Campus	School/Division/College	Department Name	Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Enrolled Headcount Difference from 2019-20
Riverside	ENGINEERING	CHEMICAL AND ENVIRONMENTAL ENGINEERING	4	21.1%	21	19.0%	-4
		COMPUTER SCIENCE AND ENGINEERING	3	15.8%	35	8.6%	-1
		ELECTRICAL & COMPUTER ENGINEERING	5	26.3%	26	19.2%	1
		MECHANICAL ENGINEERING	3	15.8%	23	13.0%	0
	LIFE SCIENCES	MOLECULAR, CELL AND SYSTEMS BIOLOGY	2	10.5%	22	9.1%	-2
	PHYSICAL SCIENCES	CHEMISTRY	1	5.3%	32	3.1%	-2
		PHYSICS AND ASTRONOMY	1	5.3%	42	2.4%	1
Riverside Total			**19**	**100.0%**	**201**	**9.5%**	

Figure 2e
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC San Diego
2020-21

Campus	School/Division/College	Department Name	Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Enrolled Headcount Difference from 2019-20
San Diego	ARTS AND HUMANITIES	MUSIC	1	0.8%	24	4.2%	0
	BIOLOGICAL SCIENCES	CELL & DEVELOPMENTAL BIOLOGY	4	3.1%	26	15.4%	-1
		MOLECULAR BIOLOGY	9	6.9%	25	36.0%	0
		NEUROBIOLOGY	7	5.4%	21	33.3%	-1
	ENGINEERING	BIOENGINEERING	11	8.5%	24	45.8%	0
		COMPUTER SCI & ENGNRNG	18	13.8%	56	32.1%	1
		ELECT & COMPUTER ENG	18	13.8%	48	37.5%	-5
		MECHANICAL & AEROSPACE ENG	11	8.5%	44	25.0%	2
		NANOENGINEERING	6	4.6%	25	24.0%	0
		STRUCTURAL ENGINEERING	3	2.3%	24	12.5%	-1
	SCHOOL OF GLOBAL POLICY & STRATEGY	GLOBAL POLICY & STRATEGY	2	1.5%	33	6.1%	-1
	RADY SCHOOL OF MANAGEMENT	MANAGEMENT SCHOOL	14	10.8%	35	40.0%	4
	SCRIPPS INSTITUTION OF OCEANOGRAPHY	SIO DEPARTMENT	8	6.2%	93	8.6%	-3
	PHYSICAL SCIENCES	CHEMISTRY & BIOCHEMISTRY	5	3.8%	49	10.2%	1
		PHYSICS	7	5.4%	58	12.1%	0
	SOCIAL SCIENCES	COGNITIVE SCIENCE	2	1.5%	28	7.1%	0
		ECONOMICS	1	0.8%	37	2.7%	0
		POLITICAL SCIENCE	1	0.8%	37	2.7%	1
		PSYCHOLOGY	2	1.5%	24	8.3%	0
San Diego Total			130	100.0%	711	18.3%	

Figure 2f
Headcount of Enrolled Faculty by Divisions/Schools/Colleges and Department
UC Santa Cruz
2020-21

Campus	School/Division/College	Department Name	Headcount of Enrolled Faculty	% of Total	Total Departmental Faculty	Enrolled Faculty/Total Departmental Faculty	Enrolled Headcount Difference from 2019-20
Santa Cruz	ENGINEERING	BIOMOLECULAR ENGINEERING	2	16.7%	14	14.3%	1
		COMPUTATIONAL MEDIA	1	8.3%	13	7.7%	1
		COMPUTER SCIENCE AND ENGINEERING	2	16.7%	31	6.5%	0
		ELECTRICAL AND COMPUTER ENGINEERING	2	16.7%	20	10.0%	1
	PHYSICAL & BIOLOGICAL SCIENCES	ASTRONOMY AND ASTROPHYSICS	4	33.3%	16	25.0%	0
		CHEMISTRY AND BIOCHEMISTRY	1	8.3%	22	4.5%	0
Santa Cruz Total			12	100.0%	116	10.3%	

APPENDIX C3: NSTP P2Y3 Report

APPENDIX C3: NSTP P2Y3 Report

Annual Report for Phase Two Year Three (July 2020 – June 2021) NSTP

Figure 3 provides information on enrolled faculty and participating departments with a breakdown by gender. The numbers have been aggregated for all six campuses since cell sizes would have been too small to report for most departments.

Figure 3
Gender of Enrolled Faculty
Compared to Participating Departmental Faculty
All Six Campuses
2020-21

Gender	2020-21	
	Enrolled Faculty	Overall Population in Participating Departments*
Women	27.8%	29.1%
Men	72.2%	70.9%
Total	**100.0%**	**100.0%**

* Excluding Unknowns.

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.

Figure 4
Race/Ethnicity of Enrolled Faculty
Compared to Participating Departmental Faculty
All Six Campuses
2020-21

Race/Ethnicity	2020-21	
	Enrolled Faculty	Overall Population in Participating Departments
African/African American	1.3%	2.6%
Asian/Asian American	35.3%	24.1%
Chicano(a)/Latino(a)/Hispanic	6.0%	6.7%
Native American/American Indian	0.3%	0.2%
White/Other	57.1%	66.4%
Total	**100.0%**	**100.0%**

1.3% | 2.6% |
Asian/Asian American	35.3%	24.1%
Chicano(a)/Latino(a)/Hispanic	6.0%	6.7%
Native American/American Indian	0.3%	0.2%
White/Other	57.1%	66.4%
Total	**100.0%**	**100.0%**

UCOP Academic Personnel and Programs   page 8   March 31, 2022

Figure 5 profiles enrolled faculty and all eligible faculty by rank in participating units. Approximately 85% of those enrolled are tenured, with 63% of enrolled faculty at the rank of professor. **Figure 6** shows the distribution of enrolled faculty by rank and step. The percentage of above scale enrolled faculty (12.3%) is only slightly less than the total percentage of enrolled faculty at the rank of assistant professor (15.0%).

<div align="center">

Figure 5
Headcount of Enrolled and Participating Departmental Faculty by Rank
All Six Campuses
2020-21

</div>

Rank	2020-21			
	Enrolled Faculty Headcount	% of Enrolled Faculty	Overall Population in Participating Departments	Difference of Enrolled to Participating
Assistant Professor	60	15.0%	23.0%	-8.0%
Associate Professor	88	22.1%	17.1%	5.0%
Professor	251	62.9%	59.9%	3.0%
Total	399	100.0%	100.0%	

<div align="center">

Figure 6
Headcount of Enrolled Faculty by Rank and Step
All Six Campuses
2020-21

</div>

Rank	Step	Headcount %
Assistant Professor	2	0.5%
	3	5.0%
	4	5.3%
	5	3.3%
	6	1.0%
Associate Professor	1	2.3%
	2	7.8%
	3	6.8%
	4	4.8%
	5	0.5%
Professor	1	6.5%
	2	
	3	9.0%
	4	6.8%
	5	5.8%
	6	4.5%
	7	4.5%
	8	3.3%
	9	3.5%
	A	12.3%

Headcount of Enrolled Faculty
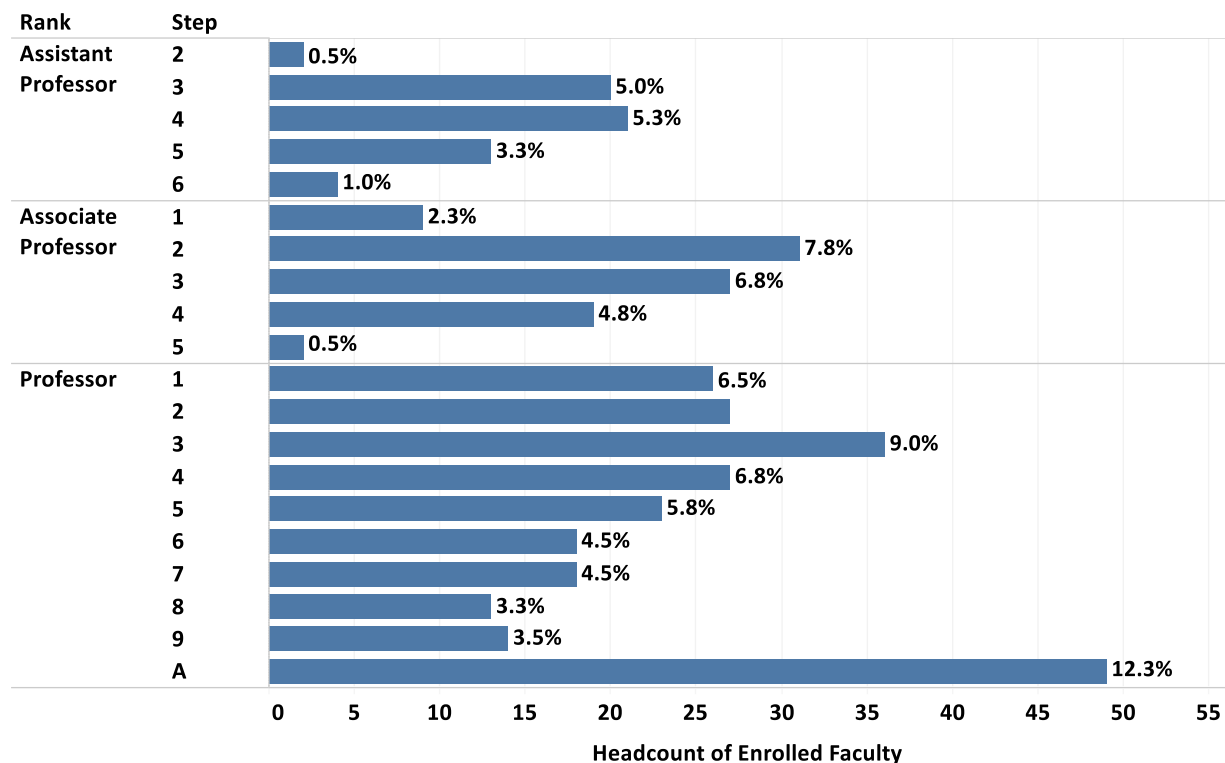
III.   Salary Information

Figures 7 to **16** provide information about the negotiated increments and salaries by campus, rank, and discipline, as well as by gender and ethnicity. The various breakdowns of salary information below — by campus, rank, discipline, gender, and ethnicity — provide detail on the 2020-21 program. Information on additional compensation such as summer-ninths and stipends appears later in this report. The percentage of the negotiated increment varies by individual, not by school or department; thus, increments as a percentage of eligible salary range from 3% to the maximum of 30%. The NSTP Phase Two 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 eight figures includes information on "base salary," which includes the scale rate (academic or fiscal year) plus off-scale salary, if any, or the above scale salary.

Please note that the information provided in **Figures 13** to **16**, showing breakdown of negotiated increments and salaries by gender and ethnicity, should not be viewed as a salary equity review. The data presented does not control for the myriad of factors (e.g., series, starting rank, time since degree, discipline, years of experience) that would normally be included in any salary equity analysis.

Figures 7 and **8** provide the salary information by campus, with **Figure 7** summarizing the salary distributions (the base salary, the negotiated increment, and the total of the two). **Figure 8** provides additional information on the negotiated increments as a percentage of the base salary.

<div align="center">

Figure 7
**Sum of Base Salary*, Negotiated Salary Increment and Total Annual Salary
for Enrolled Faculty by Campus
2020-21**

</div>

Campus	2020-21		
	Sum of Base Salary	**Sum of Negotiated Salary Amount**	**Total of Base Salary and Negotiated Salary Increment**
Davis	$1,890,500	$400,604	$2,291,104
Irvine	$14,951,300	$3,572,590	$18,523,890
Los Angeles	$25,361,000	$5,948,100	$31,309,100
Riverside	$2,776,700	$618,000	$3,394,700
San Diego	$24,612,800	$5,461,100	$30,073,900
Santa Cruz	$1,876,000	$470,200	$2,346,200
Total	**$71,468,300**	**$16,470,594**	**$87,938,894**

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

As shown in **Figure 8**, in 2020-21 there were 252 faculty whose increment was between 21% and 30% of their base salary. Two hundred fourteen of these individuals (54% of the total number of enrollees on all campuses) had the maximum negotiated increment (30% of base salary).

<div align="center">

Figure 8
**Headcount by Percent of Negotiated Salary Increment to Base Salary* by Campus
2020-21**

</div>

Campus	2020-21							
	10% or less		**11% to 20%**		**21% to 30%**		**Grand Total**	
Davis	2	16.7%	4	33.3%	6	50.0%	12	100.0%
Irvine	10	10.8%	24	25.8%	59	63.4%	93	100.0%
Los Angeles	22	16.5%	25	18.8%	86	64.7%	133	100.0%
Riverside	2	10.5%	6	31.6%	11	57.9%	19	100.0%
San Diego	22	16.9%	28	21.5%	80	61.5%	130	100.0%
Santa Cruz	1	8.3%	1	8.3%	10	83.3%	12	100.0%
Total	**59**	**14.8%**	**88**	**22.1%**	**252**	**63.2%**	**399**	**100.0%**

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

Figures 9 and **10** reconfigure the information conveyed in **Figure 8**, with a focus on gender and ethnicity instead of campus.

<div align="center">

Figure 9

**Headcount by Percent of Negotiated Salary Increment to Base Salary* by Gender
2020-21**

</div>

	2020-21							
Gender	**10% or less**		**11% to 20%**		**21% to 30%**		**Grand Total**	
Women	18	16.2%	28	25.2%	65	58.6%	111	100.0%
Men	41	14.2%	60	20.8%	187	64.9%	288	100.0%
Total	**59**	**14.8%**	**88**	**22.1%**	**252**	**63.2%**	**399**	**100.0%**

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

Under-represented minority (URM) faculty combines the categories of African/African American, Chicano(a)/Latino(a)/Hispanic, and Native American/American Indian. As shown in **Figure 10**, in 2020-21, 66.7% of URM faculty had an increment between 21% and 30% which is slightly more than both the percentage of Asian/Asian American faculty (60.3%) and of White faculty (64.5%).

<div align="center">

Figure 10

**Headcount by Percent of Negotiated Salary Increment to Base Salary* by Ethnicity
2020-21**

</div>

	2020-21							
Ethnicity	**10% or less**		**11% to 20%**		**21% to 30%**		**Grand Total**	
URM	1	3.3%	9	30.0%	20	66.7%	30	100.0%
Asian/Asian American	27	19.1%	29	20.6%	85	60.3%	141	100.0%
White/Other	31	13.6%	50	21.9%	147	64.5%	228	100.0%
Total	**59**	**14.8%**	**88**	**22.1%**	**252**	**63.2%**	**399**	**100.0%**

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

Figures 11 and 12 provide additional detail on the enrolled faculty salaries and increments. To allow for analysis of the range of salaries, the first section of Figures 11 and 12 gives the minimum salary, average salary, and highest (maximum) salary in each category (either by rank in Figure 11 or by discipline in Figure 12). 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 11) and then by discipline (Figure 12).

Figure 11
Minimum, Average and Maximum of Base Salary*,
Negotiated Salary Increment and Total Annual Salary for Enrolled Faculty by Rank
All Six Campuses
2020-21

Rank	Headcount	Min of Base Salary	Average of Base Salary	Max of Base Salary
Assistant Professor	60	$91,400	$121,353	$199,100
Associate Professor	88	$105,700	$140,528	$231,100
Professor	251	$109,700	$206,457	$397,000
Overall	**399**	**$91,400**	**$179,119**	**$397,000**

Rank	Headcount	Min of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Assistant Professor	60	$5,400	$29,140	$42,400
Associate Professor	88	$8,800	$33,237	$53,400
Professor	251	$4,900	$47,002	$115,500
Overall	**399**	**$4,900**	**$41,280**	**$115,500**

Rank	Headcount	Min of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Average of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Max of Total Annual Salary (Base Salary + Negotiated Salary Increment)
Assistant Professor	60	$100,700	$150,493	$225,000
Associate Professor	88	$121,600	$173,765	$261,700
Professor	251	$129,500	$253,458	$500,500
Overall	**399**	**$100,700**	**$220,398**	**$500,500**

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

<div align="center">

Figure 12
**Minimum, Average and Maximum of Base Salary*, Negotiated Salary Increment
and Total Annual Salary for Enrolled Faculty by Discipline
All Six Campuses
2020-21**

</div>

Disciplinary Group	Headcount	Min of Base Salary	Average of Base Salary	Max of Base Salary
Biological Sciences	72	$92,000	$156,301	$314,300
Engineering	177	$113,400	$181,669	$336,900
Information and Computer Science	15	$130,600	$190,740	$278,700
Management	15	$199,100	$263,233	$356,800
Marine Sciences	8	$95,300	$186,088	$335,300
Other	23	$110,400	$159,522	$269,800
Physical Sciences	45	$105,500	$195,613	$397,000
Public Health	32	$91,400	$162,469	$246,100
Social Sciences	12	$97,000	$174,192	$330,500
Overall	**399**	**$91,400**	**$179,119**	**$397,000**

Disciplinary Group	Headcount	Min of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Biological Sciences	72	$8,800	$37,555	$86,400
Engineering	177	$4,900	$44,740	$101,100
Information and Computer Science	15	$9,400	$48,623	$83,600
Management	15	$6,600	$33,607	$93,000
Marine Sciences	8	$5,400	$21,075	$36,300
Other	23	$11,300	$41,133	$61,000
Physical Sciences	45	$8,400	$41,324	$115,500
Public Health	32	$9,000	$39,629	$73,800
Social Sciences	12	$14,700	$30,975	$72,800
Overall	**399**	**$4,900**	**$41,280**	**$115,500**

Disciplinary Group	Headcount	Min of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Average of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Max of Total Annual Salary (Base Salary + Negotiated Salary Increment)
Biological Sciences	72	$104,300	$193,857	$377,200
Engineering	177	$139,600	$226,409	$438,000
Information and Computer Science	15	$161,000	$239,363	$362,300
Management	15	$225,000	$296,840	$403,000
Marine Sciences	8	$100,700	$207,163	$368,800
Other	23	$124,800	$200,655	$321,100
Physical Sciences	45	$126,600	$236,938	$500,500
Public Health	32	$112,900	$202,098	$319,900
Social Sciences	12	$119,700	$205,167	$356,900
Overall	**399**	**$100,700**	**$220,398**	**$500,500**

* Base Salary includes scale rate and any off-scale or the above scale rate.
** "Other" includes Education, Global Policy and Strategy, Information Studies, Music, Pharmaceutical Sciences, Nursing, Psychological Science, and Social Welfare.

Figures 13 and 14 display the same information as Figures 11 and 12 by gender and ethnicity.

Figure 13
Minimum, Average and Maximum of Base Salary*,
Negotiated Salary Increment and Total Annual Salary for Enrolled Faculty by Gender
All Six Campuses
2020-21

Gender	Headcount	Min of Base Salary	Average of Base Salary	Max of Base Salary
Women	111	$91,400	$163,665	$385,000
Men	288	$92,000	$185,075	$397,000
Overall	**399**	**$91,400**	**$179,119**	**$397,000**

Gender	Headcount	Min of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
Women	111	$8,400	$37,433	$115,500
Men	288	$4,900	$42,762	$105,000
Overall	**399**	**$4,900**	**$41,280**	**$115,500**

Gender	Headcount	Min of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Average of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Max of Total Annual Salary (Base Salary + Negotiated Salary Increment)
Women	111	$104,300	$201,098	$500,500
Men	288	$100,700	$227,837	$455,000
Overall	**399**	**$100,700**	**$220,398**	**$500,500**

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

Figure 14
Minimum, Average and Maximum of Base Salary*,
Negotiated Salary Increment and Total Annual Salary for Enrolled Faculty by Ethnicity
All Six Campuses
2020-21

Ethnicity	Headcount	Min of Base Salary	Average of Base Salary	Max of Base Salary
URM	30	$102,800	$151,473	$191,600
Asian/Asian American	141	$92,000	$175,722	$350,000
White/Other	228	$91,400	$184,857	$397,000
Overall	**399**	**$91,400**	**$179,119**	**$397,000**

Ethnicity	Headcount	Min of Negotiated Salary Increment	Average of Negotiated Salary Increment	Max of Negotiated Salary Increment
URM	30	$14,700	$37,919	$57,240
Asian/Asian American	141	$6,600	$39,518	$105,000
White/Other	228	$4,900	$42,811	$115,500
Overall	**399**	**$4,900**	**$41,280**	**$115,500**

| Ethnicity	Headcount	Min of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Average of Total Annual Salary (Base Salary + Negotiated Salary Increment)	Max of Total Annual Salary (Base Salary + Negotiated Salary Increment)
URM	30	$127,800	$189,392	$248,040
Asian/Asian American	141	$104,300	$215,240	$455,000
White/Other	228	$100,700	$227,668	$500,500
Overall	**399**	**$100,700**	**$220,398**	**$500,500**

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

Figures 15 and **16** further break down the negotiated increment by rank and gender (**Figure 15**) and rank and ethnicity (**Figure 16**). The box plots show the range of the distribution of negotiated increment amounts.

As shown in **Figure 15**, the average negotiated salary increment percentage for women faculty is higher than that of men faculty at the full professor rank. While the average negotiated salary amount for women assistant professors is approximately 13% lower than that of men assistant professors, the median negotiated increment is the same. The average negotiated salary increment at the full professor rank is approximately 9.6% lower for women faculty (compared to 8% in 2019-20) than that of men faculty.

<div align="center">

Figure 15
Minimum, Average and Maximum of Negotiated Salary Increment
for Enrolled Faculty by Rank and Gender
All Six Campuses
2020-21

</div>

| Rank	Gender	Avg. Negotiated Increment %	Min. Negotiated Salary Increment	Avg. Negotiated Salary Increment	Max. Negotiated Salary Increment
Assistant Professor	Women	22.9%	$9,500	$26,644	$42,000
	Men	24.4%	$5,400	$30,048	$42,400
Associate Professor	Women	22.3%	$8,800	$30,646	$49,500
	Men	25.2%	$8,800	$34,791	$53,400
Professor	Women	23.1%	$8,400	$43,830	$115,500
	Men	22.9%	$4,900	$48,042	$105,000

Note: The box represents the values between the first and third quartile. Excluding outliers, the whiskers represent the distances between the lowest value to the first quartile and the fourth quartile to the highest value. Where the box turns from grey to light grey is the median of the data set.

As shown in **Figure 16**, the average negotiated salary increment percentage for URM faculty is higher than Asian/Asian American and White/Other faculty at the associate professor and full professor ranks. The average negotiated salary increment amount for URM faculty is higher than Asian/Asian American and White/Other faculty at the associate professor rank, however, it lags both at the assistant professor and full professor ranks. Asian/Asian American faculty had the highest average (mean) negotiated salary increment amount at the assistant professor rank, while White/Other faculty had the highest average negotiated salary increment amount at the full professor rank.

Figure 16
Minimum, Average and Maximum of Negotiated Salary Increment
for Enrolled Faculty by Rank and Ethnicity
All Six Campuses
2020-21
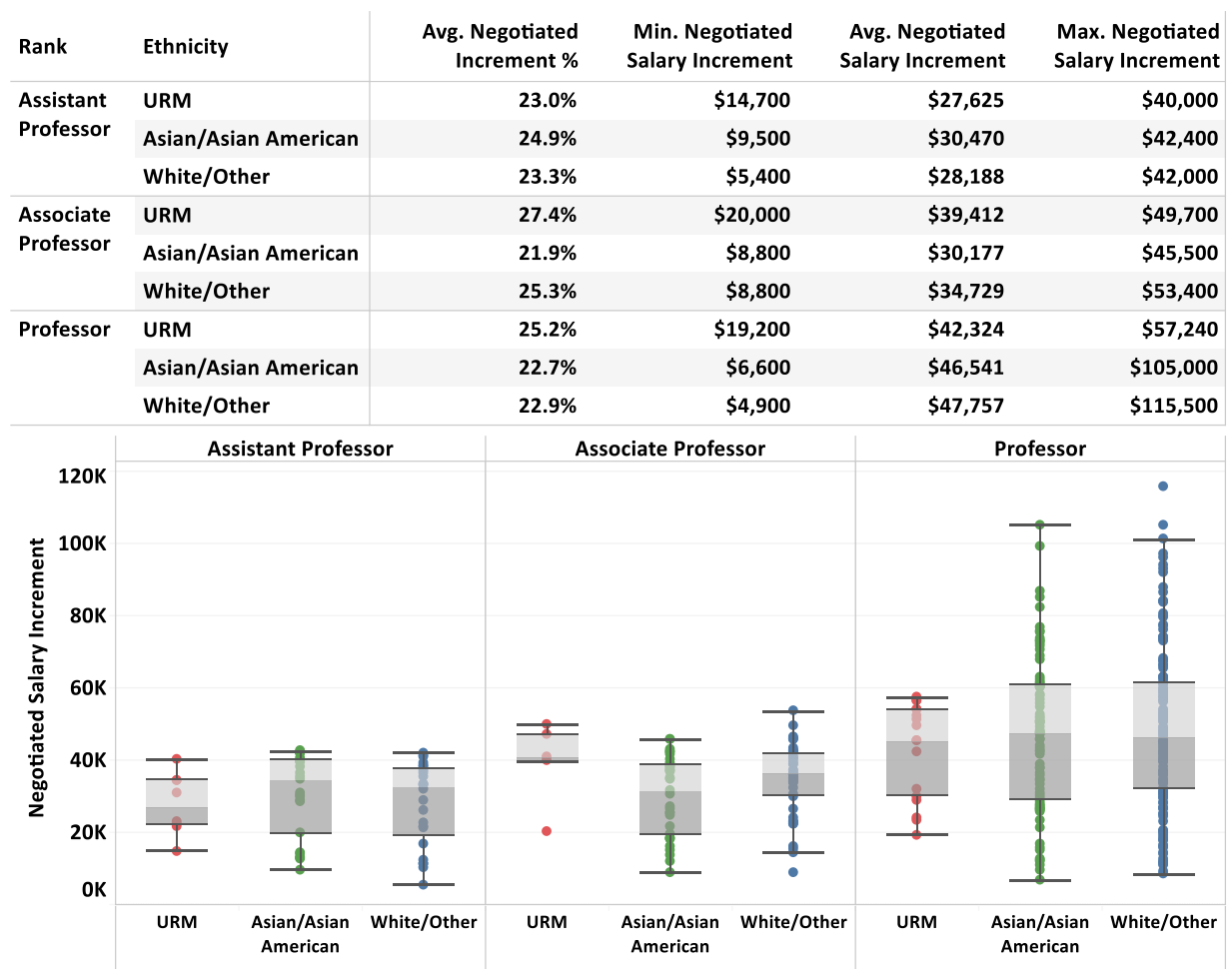
Rank	Ethnicity	Avg. Negotiated Increment %	Min. Negotiated Salary Increment	Avg. Negotiated Salary Increment	Max. Negotiated Salary Increment
Assistant Professor	URM	23.0%	$14,700	$27,625	$40,000
	Asian/Asian American	24.9%	$9,500	$30,470	$42,400
	White/Other	23.3%	$5,400	$28,188	$42,000
Associate Professor	URM	27.4%	$20,000	$39,412	$49,700
	Asian/Asian American	21.9%	$8,800	$30,177	$45,500
	White/Other	25.3%	$8,800	$34,729	$53,400
Professor	URM	25.2%	$19,200	$42,324	$57,240
	Asian/Asian American	22.7%	$6,600	$46,541	$105,000
	White/Other	22.9%	$4,900	$47,757	$115,500

Note: The box represents the values between the first and third quartile. Excluding outliers, the whiskers represent the distances between the lowest value to the first quartile and the fourth quartile to the highest value. Where the box turns from grey to light grey is the median of the data set.

IV.   Program Fund Sources

This "Program Fund Sources" section of the report provides information on the funding of salary increments and the use of contingency funds, as stipulated by the Phase Two Metrics Working Group (**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 eight categories, developed in consultation with the participating campuses. **Figures 17a** to **17e** display the expenditures on salary increments for all six 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 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). The accounting of all fund sources was managed at the department or school level in consultation with academic personnel offices on the campuses.

Figure 17a provides detail on the NSTP salary increments by fund source for all six campuses. Overall, federal contracts and grants accounted for 56.2% of the total funds used. Gift funds accounted for 16.4% and private contracts and grants accounted for 12.1% of the funds. All remaining fund sources – which included endowment funds, self-supporting and professional degree fees, state contracts and grants, summer session fees, and other allowable funds – accounted for 15.3% of the total.

Figure 17a
Negotiated Salary Increment Source by Fund Type
All Campuses
2020-21

Fund Source	2020-21	
	Amount	% of Total
Federal C&G Funds	$9,262,250	56.2%
Endowment Funds	$352,421	2.1%
Gift Funds	$2,704,002	16.4%
Private C&G Funds	$1,992,377	12.1%
Self-Supporting and Prof Degree Fees	$213,542	1.3%
State C&G funds	$353,682	2.1%
Summer Session Fees	$173,849	1.1%
Other Allowable Funds	$1,418,472	8.6%
Total	**$16,470,594**	100.0%

Figures 17b, 17c, 17d, 17e, 17f, and **17g** show the campus level data.

Figure 17b
Negotiated Salary Increment Source by Fund Type
UC Davis
2020-21

Fund Source	2020-21	
	Amount	% of Total
Federal C&G Funds	$286,228	71.4%
Endowment Funds	$10,354	2.6%
Gift Funds	$32,736	8.2%
Private C&G Funds	$26,747	6.7%
Self-Supporting and Prof Degree Fees	$0	0.0%
State C&G funds	$44,538	11.1%
Summer Session Fees	$0	0.0%
Other Allowable Funds	$0	0.0%
Total	**$400,604**	100.0%

Figure 17c
Negotiated Salary Increment Source by Fund Type
UC Irvine
2020-21

Fund Source	2020-21	
	Amount	% of Total
Federal C&G Funds	$2,376,814	66.5%
Endowment Funds	$41,887	1.2%
Gift Funds	$421,072	11.8%
Private C&G Funds	$478,717	13.4%
Self-Supporting and Prof Degree Fees	$0	0.0%
State C&G funds	$96,933	2.7%
Summer Session Fees	$0	0.0%
Other Allowable Funds	$157,167	4.4%
Total	**$3,572,590**	100.0%

Figure 17d
Negotiated Salary Increment Source by Fund Type
UCLA
2020-21

Fund Source	2020-21	
	Amount	% of Total
Federal C&G Funds	$3,196,391	53.7%
Endowment Funds	$155,197	2.6%
Gift Funds	$1,245,583	20.9%
Private C&G Funds	$799,735	13.4%
Self-Supporting and Prof Degree Fees	$78,643	1.3%
State C&G funds	$115,106	1.9%
Summer Session Fees	$173,849	2.9%
Other Allowable Funds	$183,598	3.1%
Total	**$5,948,100**	100.0%

Figure 17e
Negotiated Salary Increment Source by Fund Type
UC Riverside
2020-21

Fund Source	2020-21 Amount	% of Total
Federal C&G Funds	$363,214	58.8%
Endowment Funds	$0	0.0%
Gift Funds	$119,926	19.4%
Private C&G Funds	$75,800	12.3%
Self-Supporting and Prof Degree Fees	$0	0.0%
State C&G funds	$25,760	4.2%
Summer Session Fees	$0	0.0%
Other Allowable Funds	$33,300	5.4%
Total	**$618,000**	100.0%

Figure 17f
Negotiated Salary Increment Source by Fund Type
UC San Diego
2020-21

Fund Source	2020-21 Amount	% of Total
Federal C&G Funds	$2,759,927	50.5%
Endowment Funds	$144,983	2.7%
Gift Funds	$766,185	14.0%
Private C&G Funds	$572,854	10.5%
Self-Supporting and Prof Degree Fees	$134,899	2.5%
State C&G funds	$71,345	1.3%
Summer Session Fees	$0	0.0%
Other Allowable Funds	$1,010,907	18.5%
Total	**$5,461,100**	100.0%

Figure 17g
Negotiated Salary Increment Source by Fund Type
UC Santa Cruz
2020-21

Fund Source	2020-21	
	Amount	% of Total
Federal C&G Funds	$279,676	59.5%
Endowment Funds	$0	0.0%
Gift Funds	$118,500	25.2%
Private C&G Funds	$38,524	8.2%
Self-Supporting and Prof Degree Fees	$0	0.0%
State C&G funds	$0	0.0%
Summer Session Fees	$0	0.0%
Other Allowable Funds	$33,500	7.1%
Total	**$470,200**	100.0%

Figure 18 displays the same fund source information for all six campuses by disciplinary groups. Five disciplinary groups account for 88% of the funding used in the program: biological sciences, engineering, information and computer science, physical sciences, and public health. The disciplinary information is not displayed by campus due to small cell sizes.

Figure 18
Negotiated Salary Increment Source by Fund Type by Broad Discipline
All Six Campuses
2020-21

Disciplinary Group	Federal C&G Funds	Gift Funds	Private C&G Funds	Self Supporting & Prof Degree Fees	State C&G Funds	Summer Session Fees	Endowment Funds	Other allowable Funds	Grand Total
Biological Sciences	$2,060,831	$132,489	$201,465	$0	$23,000	$129,072	$10,400	$146,720	**$2,703,978**
Engineering	$4,155,472	$1,864,563	$1,101,091	$0	$175,582	$0	$204,207	$418,141	**$7,919,056**
Information and Computer Science	$445,885	$157,730	$0	$0	$0	$0	$0	$125,735	**$729,350**
Management	$0	$0	$93,000	$90,699	$0	$0	$0	$320,401	**$504,100**
Marine Sciences	$137,500	$0	$7,155	$0	$23,945	$0	$0	$0	**$168,600**
Other	$387,707	$185,374	$158,588	$44,200	$63,131	$0	$0	$107,070	**$946,070**
Physical Sciences	$1,146,247	$212,532	$207,962	$0	$11,925	$0	$37,065	$243,869	**$1,859,600**
Public Health	$754,567	$118,144	$91,268	$78,643	$56,099	$44,776	$79,717	$44,926	**$1,268,140**
Social Sciences	$174,041	$33,170	$131,847	$0	$0	$0	$21,032	$11,610	**$371,700**
Total	**$9,262,250**	**$2,704,002**	**$1,992,377**	**$213,542**	**$353,682**	**$173,849**	**$352,421**	**$1,418,472**	**$16,470,594**

* "Other" includes Education, Global Policy and Strategy, Information Studies, Music, Pharmaceutical Sciences, Nursing, Psychological Science, and Social Welfare.

B.   Establishment of Contingency Funds

The 2018 basic program document (**Appendix A**) does not require a "contingency fund" to cover funding shortfalls but does specify that "The Dean or his/her designee will have responsibility for managing program funds, reviewing the availability of facilities & administration (F&A), and covering any unforeseen shortfalls. General Funds cannot be substituted for external funds in support of the program" (**Appendix A**, p. 2). In response, five of the campus programs (UC Davis, UC Irvine, UC Riverside, UC San Diego, and UC Santa Cruz) 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 the five campuses, 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 Davis and 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 and UC Santa Cruz, 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 Davis and 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.

For UC Riverside, the dean of each school is responsible for ensuring the total negotiated salary is 100% covered in the event the faculty member loses funding during the negotiated year period. The contingency fund sources are also determined by the dean of each school. The contingency fund account minimum balance will be set by the Dean or his/her designee, according to the number of participating faculty and likely projected need for disbursement. Faculty do not contribute to the contingency fund.

Figure 19
Total Contingency Fund Amounts By Campus*
2020-21

Campus	Contingency Funds	Percentage of Total Negotiated Increments
Davis	$75,790	18.9%
Irvine	$474,628	13.3%
Riverside	$61,800	10.0%
San Diego	$546,581	10.0%
Santa Cruz	$47,020	10.0%

* For 2020-21, UCLA's Fielding School of Public Health maintained a contingency fund balance of $400,000. All other participating units at UCLA do not have a contingency fund.

Campuses Without a Required Contingency Fund

At UCLA, the campus implementation document provides guidelines on the contingency fund in section X, "Financial Responsibility." Section X states that "the dean may establish a contingency fund at a designated percentage rate to ensure coverage of TUCS obligations"; guidance is also given on how such a fund could be managed. Within that flexibility, some deans choose to designate a schoolwide unrestricted fund source to guarantee availability of the funds for contingency purposes. This approach normally applies to academic units that have a limited number of NSTP participants. Some other deans, however, choose to manage their financial responsibilities by requiring NSTP participants or their departments to provide an unrestricted full accounting unit (FAU) which would be used to fund any negotiated salary component, if necessary. Primarily, these unrestricted funds are gifts, indirect cost recovery (ICR), or other unrestricted sources belonging to the participant, but by negotiation with the chair, departmental discretionary funds such as ICR or summer revenue may be identified as the source of the alternative contingency funding. Review by fund managers and by chairs ensures that these sources are indeed eligible and available for this purpose. Faculty will not be approved to participate in NSTP if they can neither provide a fund source, nor gain the approval of the chair to have the department backstop the main source of funding. It is also divisional policy that a faculty member who had to invoke the use of contingency funding would not be allowed to participate in the NSTP 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 Phase Two Metrics Working Group (**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, UC San Diego, and UC Santa Cruz, 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 UC Davis, UCLA, and UC Riverside, eligible faculty are required to maximize summer ninth opportunities before utilizing the NSTP. For 2020-21, 88% of NSTP participants earned the maximum of three months of summer salary (352 of 399 participants).

Figure 20 shows the number of faculty earning three, two, one, or no months of summer salary.

Figure 20
Headcount of NSTP Enrolled Faculty with Amount of Summer-Ninths by Campus 2020-21

Campus	3 months	2 months	1 month	No Summer Salary	Total
Davis	3	0	0	9	12
Irvine	78	5	1	9	93
Los Angeles	133	0	0	0	133
Riverside	19	0	0	0	19
San Diego	115	9	5	1	130
Santa Cruz	4	0	2	6	12
Total	**352**	**14**	**8**	**25**	**399**

B.   Administrative Stipends

Eligibility rules for the NSTP stipulate that deans and full-time faculty administrators could not participate in the program. However, faculty with partial administrative appointments are eligible to participate. Data show that 20% of NSTP enrollees in 2020-21 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 part-time faculty administrator (program director, center director, etc.). For those who received administrative stipends in the 2020-21 program, the average stipend amount was $14,682.

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 Phase Two Metrics Working Group (**Appendix B**).

To analyze the impact of the program on faculty teaching, the metrics workgroup requested documentation of the teaching workload of participants (enrollees) compared to non-participants in the same units. Each campus collected teaching data for all departments that had participants (enrolled faculty) in the program. The data collected were the FTE of participants and non-participants, the type of instruction (graduate and undergraduate), the number of courses taught, the number of students enrolled in courses, and student credit hours (enrollment multiplied by the number of units). The results by department/school were then aggregated into disciplinary categories.

The 2013 Taskforce had stipulated that the workload for the program year(s) needed to be compared with the workload in the prior two years. For this Phase Two, year three report, data was collected for 2020-21 to compare to the previous two years, 2018-19 and 2019-20.

For the new Phase Two campuses (UC Davis, UC Riverside, and UC Santa Cruz), NSTP participants taught an average of 88.3 student credit hours (SCH) in the 2020-21 year versus 111.7 in the prior two years, a decrease of approximately 21% (See **Figure 21**). By comparison, the teaching load of non-participating faculty in the same units increased 9%, from an average of 96.2 SCH in 2018-19 and 2019-20 to 104.8 SCH in 2020-21. (See **Figure 22**). It should be noted that changes in teaching load varied widely by discipline, and that other factors besides enrollment in the NSTP can affect faculty teaching loads.

Figure 21
NSTP Enrollees
Teaching Workload, Graduate and Undergraduate
Phase Two Campus – UCD, UCR, UCSC
Includes Fall, Winter and Spring Quarters Only
2018-19 & 2019-20 to 2020-21

Discipline	Two Year Average of Three Quarters Average 2018-19 and 2019-20		Three Quarters Average 2020-21		Percent change to current program year (2020-21) from prior two years (2018-19 and 2019-20)	
	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	14.9	47.3	11.4	54.1	-23%	14%
Engineering*	37.3	96.1	39.4	83.2	6%	-13%
Physical Sciences	8.5	293.4	8.8	155.6	4%	-47%
NSTP Enrollees Overall	**60.6**	**111.7**	**59.7**	**88.3**	**-2%**	**-21%**

Figure 22
NSTP Non-enrollees in participating units
Teaching Workload, Graduate and Undergraduate
Phase Two Campus – UCD, UCR, UCSC
Includes Fall, Winter and Spring Quarters Only
2018-19 & 2019-20 to 2020-21

Discipline	Two Year Average of Three Quarters Average 2018-19 and 2019-20		Three Quarters Average 2020-21		Percent change to current program year (2020-21) from prior two years (2018-19 and 2019-20)	
	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	201.6	40.3	197.9	43.5	-2%	8%
Engineering*	269.8	107.2	299.6	118.3	11%	10%
Physical Sciences	102.3	177.8	100.1	185.7	-2%	4%
NSTP Non-Enrollees Overall	**573.7**	**96.2**	**597.5**	**104.8**	**4%**	**9%**

* Historical data for UCSC's Computer Science and Engineering and Electrical and Computer Engineering departments was not available for 2018-19. During 2018-19, the School of Engineering began restructuring departments, faculty assignments, and academic programs. They were only able to provide one year (2019-20) of comparable data to recast previous years to the current 2020-21 departmental structure. As a result, the workload data from those two departments only include 2019-20 and 2020-21 data for Figure 21 and Figure 22.

For the campuses (UC Irvine, UCLA, and UC San Diego) that participated in the initial NSTP program (or Phase One), the prior two years' data is no longer a valid control because the majority of NSTP participants from those campuses (61.0%) have now been enrolled in the program for the past three or more years. (That is, they participated in the program in 2018-19 and 2019-20.) For these campuses, instead of comparing with the two prior years, the comparison is made with non-participating faculty in the same units. For 2020-21, NSTP participants taught an average of 198.2 student credit hours (SCH) (**Figure 23**) versus 209.2 SCH for non-participating faculty (**Figure 24**) in the same units.

Figure 23
NSTP Enrollees
Teaching Workload, Graduate and Undergraduate
Phase One Campuses – UCI, UCLA, and UCSD
Includes Fall, Winter and Spring Quarters Only
2020-21

Discipline	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE
	Three Quarters Average 2020-21	
Biological Sciences	60.5	215.6
Engineering	129.3	214.0
Information and Computer Science	15.0	226.6
Management	9.0	256.8
Marine Sciences	7.1	88.2
Other	21.9	151.8
Physical Sciences	32.8	192.9
Public Health	27.0	93.3
Social Sciences*	6.8	307.7
NSTP Enrollees Overall	**309.4**	**198.2**

* Faculty FTE data was not available for UCSD's Political Science department. As a result, the workload data from UCSD's Political Science department was excluded from Figure 23.

** "Other" includes Education, Global Policy and Strategy, Information Studies, Music, Pharmaceutical Sciences, Nursing, Psychological Science, and Social Welfare.

Figure 24
NSTP Non-enrollees in participating units
Teaching Workload, Graduate and Undergraduate
Phase One Campuses – UCI, UCLA, and UCSD
Includes Fall, Winter and Spring Quarters Only
2020-21

Discipline	Three Quarters Average 2020-21	
	Faculty FTE	Student Credit Hours (SCH) per Faculty FTE
Biological Sciences	241.6	225.5
Engineering	363.3	222.6
Information and Computer Science	72.5	294.2
Management	94.9	193.4
Marine Sciences	84.4	68.2
Other	180.5	173.8
Physical Sciences	353.9	202.7
Public Health	55.2	92.7
Social Sciences*	110.0	333.0
NSTP Non-Enrollees Overall	**1,556.2**	**209.2**

* Faculty FTE data was not available for UCSD's Political Science department. As a result, the workload data from UCSD's Political Science department was excluded from Figure 24.

** "Other" includes Education, Global Policy and Strategy, Information Studies, Music, Pharmaceutical Sciences, Nursing, Psychological Science, and Social Welfare.

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. The NSTP 4th Year Taskforce raised this issue again in its deliberations, opining that the evidence presented to date was anecdotal and not sufficient to prove that support for graduate students and postdocs was not being adversely affected by the NSTP. In response, representatives from UC Irvine showed that the Irvine campus had been collecting internal data on faculty support of graduate students and postdocs by including questions on the application form that faculty use to request enrollment in the NSTP. The Taskforce recommended that as part of any extension of the NSTP, all participating campuses would need to include in their application form questions about the size and composition of faculty research groups and their support of graduate students, based on the Irvine application form.

This information was added to the common application form questions that were distributed to campuses that were participating and/or considering participating in the NSTP in February 2018. As modeled after the Irvine application form, research group data was requested for the two prior years (2018-19 and 2019-20) from the program year (2020-21). In order to properly assess this data, data is needed from the NSTP year as well. As a result, analysis on graduate student and postdoc support, as well as research group expenditures will be included as part of the comprehensive review after the third year of Phase Two of the program (at which point, four years of research group data will be available for analysis).

VIII. Department Chair/Leader Survey Summary

The Phase Two Metrics Working Group recommendations included the administration of annual department chair/leader surveys to collect information on the effect of the NSTP on recruitment and retention. For Phase Two year three, the survey was administered in August 2021 (see **Appendix C** for full detail on the survey).

For 2020-21, survey respondents reported that NSTP played a role in the success of 44.6% of total recruitments and 44.8% of total retentions. For recruitments, this is an increase from 2019-20, where respondents reported 37.6%. The importance of NSTP in retentions remained relatively steady from 2019-20, when respondents reported 45.5%. Department chairs/leaders also stressed the importance of NSTP in those successful recruitments and retentions, with 88.9% rating NSTP as "Very Important"/"Important" to successful recruitments and 92.3% rating NSTP as "Very Important"/"Important" to successful retentions.

For unsuccessful recruitments, department chairs/leaders indicated that the existence of the NSTP helped the campus remain competitive during the recruitment and attributed candidate decisions to other factors such as partner hires as reasons for the failure of a recruitment.

IX. Cross-campus Discussion and Next Steps

This report on the third year of Phase Two will be shared with academic administrators, faculty leaders, and other campus administrators involved in the program.

In October 2021, the Provost appointed a taskforce to review the NSTP and make recommendations whether to institutionalize the program in policy or to end it at the conclusion of Phase Two.

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

X.   Appendices

A.   NSTP Phase Two Basic Program Document (February 2018)

B.   Goals, Data Collection, Metrics, and Reporting, NSTP Phase 2 (October 26, 2018)

C.   NSTP 2020-21 Department Chair/Leader Survey Results

D.   NSTP Phase 2 Department Chair/Leader Survey Questions

E.   NSTP Phase 2 Compilation of Key Indicators