To be received and placed on file:

The 2006-2007 Committee on Academic Personnel officially moved to the Academic Senate on June 15, 2007. While the kinks of the processes between the Academic Personnel Office and CAP continue to be worked out, the transition to University Office Building has been relatively smooth. CAP continued to meet regularly during the summer months and provided prompt, efficient feedback to the administration with minimal turn-around time. We are pleased to report that during the early transition period of June, July and August, CAP maintained its average turn-around time of two weeks for files received during that period! It is worthwhile to note that a few practices were changed once the move took effect. Namely, beginning in mid June, CAP no longer had oversight of the documents being sent to faculty who request “access to records”. In addition, the Chair of the Committee on Academic Personnel no longer reviewed and approved the “statements of reasons” that were sent to faculty who were denied advancement, nor did the Committee see the announcements of final decisions until the end of the summer months. These and other processes are being discussed for finalization before the full swing of the personnel process begins for the 2007-2008 academic year.

The Committee on Academic Personnel (CAP) met on 48 occasions during the 2006-2007 academic year. Meetings were approximately 3-4 hours in length. At the beginning of the academic year, the Committee additionally met with the Chancellor, the Executive Vice Chancellor & Provost, the Vice Provost for Academic Personnel, and with all of the Deans. Most of the committee’s activity focused on personnel actions. CAP also was asked to provide opinions on a variety of Senate matters and administrative directives. These are listed below.

I. PERSONNEL ACTIONS

CAP reviewed 296 personnel actions this year and sustained an average turn-around time of 17 days from the time a file is received, to the time the CAP recommendation is forwarded to the administration. Included are 196 merit/promotion files, 10 advancements to above-scale or Step VI, 16 appraisals, 7 career reviews, and 61 appointments. In addition, the Committee reviewed files of tenured faculty who have been at step for five or more years (6 quinquennial reviews). This is in response to an August 12, 1991 directive from the Office of the President that all faculty members must be reviewed every five years.

A summary of the Committee's actions is appended. A decision of the Chancellor's Office is defined as an "over-rule" if it disagrees with the majority vote of the Committee on Academic Personnel on rank, step, or off-scale. Effective with this report, in addition, the number of “differences” is being tallied also. A “difference” is defined as a final
outcome which is different than the CAP recommendation, but not one which is in contrast to a specific CAP vote:

- Of the 170 merit actions considered, the decisions of the Chancellor’s Office differed from the recommendations of CAP in 16 instances, with one merit decision still pending. Of these, 9 were over-rules of the CAP recommendation (5%), the remaining 7 were differences of off-scale.

- Of the 10 advancements to Step VI or to Professor, Above Scale, the Chancellor’s Office agreed with CAP in all instances relating to step, with one difference recorded relating to off-scale.

- CAP did not differ from the final decision of the Chancellor’s Office on any of the 6 quinquennial reviews.

- Of the actions considered involving appointments, the Chancellor’s decision over-ruled the CAP recommendation on 1 of the 61 proposals (2%).

- Of the 16 appraisals, the final administrative decision over-ruled CAP’s recommendation in one instance (6%).

- And of the 7 career reviews, one two-step over-rule was recorded (14%) and one difference regarding off-scale.

- Finally, of the 26 proposed promotions, CAP and the administration agreed in all cases with one case still pending final decision.

CAP continues to depend on ad hoc committees for detailed analyses of many cases by the procedures prescribed in the Academic Personnel Manual. For 2006-2007, the Committee recommended ad hoc committees for promotions to Associate Professor and Advancements to Above-Scale, and in one instance, for a promotion to Full Professor. CAP served as its own ad hoc for all other actions. A total of 21 ad hoc committees were appointed in 2006-07, involving 81 Associate and Full Professors. Of the 21 ad hoc committees appointed, there was disagreement between the ad hoc committee and the Committee on Academic Personnel on 1 occasion. The Committee on Academic Personnel expresses its appreciation of the work of colleagues on these committees. Garnering participation on ad hoc committees was a much easier task during the 06-07 academic year.

II. DISCUSSIONS AND ADVICE
RECOMMENDATIONS PROPOSED AND IMPLEMENTED

- **Shadow CAP**

In order to avoid any conflict of interest, Shadow CAP continued to review the personnel actions on current CAP members and their spouses or partners. This committee was historically appointed by the Executive Vice Chancellor. The 2001-2002 CAP, with the EVC’s concurrence, suggested Committee on Committees take over the function of Shadow CAP appointment. Committee on Committees agreed and beginning in 2002-2003 was responsible for appointing Shadow CAP members. Shadow CAP continues to consist of 6 members from former CAP committees of the past five years. This committee list is published and for 2006-07 had the following members:

- W. Frankenberger
- M. Kearney
- G. Waines
- A. Walker
- R. Williams
- S. Ghosh, Chair
After twelve years of experience with the Shadow CAP process, the committee is quite satisfied that this system is a fair one.

**The CALL**
CAP participated in discussions and initiated changes in the CALL on the following issues:

- Schedule of due dates
- Diversity & Graduate Student Instruction
- Ad hoc committees
- Bibliography
- Evaluation of teaching
- Teaching Load Data Form

**E-File**
A number of CAP members participated in the early efile orientation sessions presented by C&C. C&C made several efile presentations to the full CAP membership. Several CAP members provided detailed comments on the on-line structure of the “screen shot”.

**CAP Advice to and Discussion with the Vice Provost for Academic Personnel, the Executive Vice Chancellor and/or the Chancellor**
CAP provided advice to and initiated or participated in discussions with the administration on the following issues:

- Eminent Scholar Nominees
- Dean candidates
- Campus Merit Equity Pool
- Joint Senate/Administrative Task Force on Salary
- Department Chair Appointments
- HSRI Candidates
- Endowed Chair Candidates
- FTE Transfers
- TOE hires

**CAP, the Executive Vice Chancellor and the Dean’s council again participated in a group meeting at the beginning of the Academic Year. CAP believes this forum to be an excellent opportunity to voice mutual concerns and assure concurrence regarding one another’s roles and expectations.**

**CAP Advice to the Academic Senate**
CAP made suggestions or provided comment to the Academic Senate on the following issues:

- Proposal for Dept of Media & Cultural Studies
- Faculty Salaries
- Campus Visa Policy
- UCR Policy on Naming
- UCAP salary study
- School of Public Policy
• CAP move to the Senate
• Proposal on Grad Students
• Proposal on Relationship between pharmaceutical vendors & clinicians
• Pre-recall Teaching
• Plant Pathology name change
• Joint Appointment
• Health Sciences comp plan
• CAP 11\textsuperscript{th} member
• Revisions to APM 220
• Bylaws for Biomed

\textbf{UCAP PARTICIPATION}
UC Riverside CAP continued its active participation in the system-wide UCAP.

\textbf{MISCELLANEOUS}
The Chair (AZ) wishes to thank Professor Richard Sutch for his strong leadership as CAP Acting Chair for 2 months during 2006-07.

Based on input received from the ad hoc Senate Advisory Committee, CAP has added a follow-up to the previous year's CAP report. This and all future CAP reports will include final information for any action that was listed as pending in the preceding year's report.

05-06 Pending Cases:

• Of the Promotion to Full Professor Cases, 1 was listed as pending. In agreement with CAP, this case was finalized as a negative decision.

• Of the Appointment cases, 1 was listed as pending. The appointment was finalized in agreement with CAP.

Edith Allen
David Bocian
Christopher Chase-Dunn
Harry Green
Ray Kea
Kathleen Montgomery
Richard Sutch
Natasha Raikhel
Maurya Simon (F)
Steven Axelrod (W, S)
Allen Zych, Chair
**TABLE I: SUMMARY OF PROMOTIONS AND ADVANCEMENTS**

**PROMOTIONS TO ASSOCIATE PROFESSOR:**

<table>
<thead>
<tr>
<th>Department</th>
<th>Ad Hoc</th>
<th>Dean</th>
<th>CAP</th>
<th>Chancellor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>15</td>
<td>1</td>
<td>0</td>
<td>13</td>
<td>1</td>
</tr>
</tbody>
</table>

Total Proposed: 16  
Total Approved: 15  
Approval %: 94%  (one case pending)

**PROMOTIONS TO PROFESSOR:**

<table>
<thead>
<tr>
<th>Department</th>
<th>Ad Hoc</th>
<th>Dean</th>
<th>CAP</th>
<th>Chancellor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>8</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

Total Proposed: 10  
Total Approved: 8  
Approval %: 80%

**ADVANCEMENTS TO PROFESSOR VI & ABOVE-SCALE:**

<table>
<thead>
<tr>
<th>Department</th>
<th>Ad Hoc</th>
<th>Dean</th>
<th>CAP</th>
<th>Chancellor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>10</td>
<td>0</td>
<td>0</td>
<td>4</td>
<td>0</td>
</tr>
</tbody>
</table>

Total Proposed: 10  
Total Approved: 10  
Approval %: 100%

Note: Ad hoc committees used on advancements to AS only, not to step VI.

Key to Abbreviations:  
CAP = Committee on Academic Personnel  
CHAN = Chancellor or Executive Vice Chancellor  
SPLIT = CAP not clearly positive or negative  
AHS = Recommended/Approved Step Higher than initially recommended by Department  
AOS = Recommended/Approved OS salary in addition to merit advance recommended by Dept.  
NOS = Recommended/Approved merit advance but not additional OS salary recommended by Dept.  
ALS = Recommended/Approved Step Lower than initially recommended by Department
**Table II: SUMMARY OF MERIT ACTIONS**

<table>
<thead>
<tr>
<th>Rank</th>
<th>Department</th>
<th>Dean</th>
<th>CAP</th>
<th>Chancellor</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>54</td>
<td>1</td>
<td>0</td>
<td>46</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>32</td>
<td>2</td>
<td>0</td>
<td>24</td>
</tr>
<tr>
<td>Professor</td>
<td>69</td>
<td>3</td>
<td>1</td>
<td>53</td>
</tr>
<tr>
<td>within AS</td>
<td>8</td>
<td>0</td>
<td>0</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td>163</td>
<td>6</td>
<td>1</td>
<td>131</td>
</tr>
</tbody>
</table>

**(one case pending and one faculty member resigned before the case was finalized)**

**TABLE III: SUMMARY OF APPOINTMENTS**

<table>
<thead>
<tr>
<th>Rank</th>
<th>04-05 Actions</th>
<th>05-06 Actions</th>
<th>06-07 Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acting Assistant Professors</td>
<td>4</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>Assistant Professors</td>
<td>20</td>
<td>34</td>
<td>42</td>
</tr>
<tr>
<td>Associate Professors</td>
<td>4</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Professors</td>
<td>8</td>
<td>11</td>
<td>11</td>
</tr>
<tr>
<td>A/S - TOP</td>
<td>2</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>TOTAL APPOINTMENT ACTIONS</td>
<td>38</td>
<td>53</td>
<td>61</td>
</tr>
</tbody>
</table>

Key to Abbreviations:
- **CAP** = Committee on Academic Personnel
- **CHAN** = Chancellor or Executive Vice Chancellor
- **SPLIT** = CAP not clearly positive or negative
- **AHS** = Recommended/Approved Step Higher than initially recommended by Department
- **AOS** = Recommended/Approved OS salary in addition to merit advance recommended by Dept.
- **NOS** = Recommended/Approved merit advance but not additional OS salary recommended by Dept.
- **ALS** = Recommended/Approved Step Lower than initially recommended by Department
- **LOS** = Recommended/Approved Step Lower than initially recommended by Department and an off-scale
### Table IV: Miscellaneous Actions

#### Appraisals:
Total Proposed: 16

<table>
<thead>
<tr>
<th>Decision</th>
<th>Positive</th>
<th>Qualified Positive</th>
<th>Negative</th>
<th>Ad hocs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fifth-year Appraisals</td>
<td>10</td>
<td>6</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

#### Career Reviews:
Total Proposed: 7

Of the 7 proposed Career Reviews:
- 3 resulted in advancement of 2 or more steps. The department recommendation on two of these was for an advance of 3 steps or more.
- 2 resulted in promotions. The department supported the promotion in both cases.
- 2 resulted in a one step advancement to Professor, Step VI. The department supported the advancement in both cases.

#### Quinquennial Reviews
Total Proposed: 6
Total Satisfactory: 6
Ad hocs: 0

<table>
<thead>
<tr>
<th>Total Merits &amp; Promotions:</th>
<th>206</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Appointments:</td>
<td>61</td>
</tr>
<tr>
<td>Total Misc. Actions:</td>
<td>29</td>
</tr>
<tr>
<td><strong>TOTAL PERSONNEL ACTIONS</strong></td>
<td><strong>296</strong></td>
</tr>
</tbody>
</table>

### Table V: Summary of Off-Scale Salaries Approved by Chancellor in 2006-2007

New off-scale awards were distributed as below for each college or school.

<table>
<thead>
<tr>
<th>College/School</th>
<th>CAP merit based</th>
<th>Admin Merit Based</th>
<th>Equity Merit Pool</th>
<th>A/S or o/s Appointment</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHASS</td>
<td>9</td>
<td>5</td>
<td>10</td>
<td>30</td>
</tr>
<tr>
<td>CNAS</td>
<td>11</td>
<td>3</td>
<td>7*</td>
<td>17</td>
</tr>
<tr>
<td>BCOE</td>
<td>5</td>
<td>6</td>
<td>4**</td>
<td>5</td>
</tr>
<tr>
<td>AGSM</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>GSOE</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Biomed</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>26</strong></td>
<td><strong>16</strong></td>
<td><strong>11</strong></td>
<td><strong>61</strong></td>
</tr>
</tbody>
</table>

*1 CNAS equity merit pool off-scale was administratively awarded
** 1 COE equity merit pool off-scale was administratively awarded