To be received and placed on file:

The Committee on Academic Personnel (CAP) met on 57 occasions during the 2003-2004 academic year. Meetings were approximately 3-4 hours in length. At the beginning of the academic year, the Committee additionally met with the Chancellor and Executive Vice Chancellor as well as 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 314 personnel actions this year. Unfortunately, this number includes nearly 30 cases left from the previous academic year. Included are 220 merit/promotion files, 11 advancements to above-scale or Step VI, 18 appraisals, 10 career reviews, and 59 appointments. In addition, the Committee reviewed files of faculty at Professor V and above who have been at step for five or more years (7 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 different if it differs from the majority vote of the Committee on Academic Personnel. Of the merit, promotion, career review and appraisal actions considered, the decisions of the Chancellor’s Office differed from the recommendations of CAP in 19 instances (8%). Of the advancements to Step VI or to Professor, Above Scale, CAP differed in 1 instance. CAP did not differ from the final decision of the Chancellor’s office for any of the quinquennial reviews. Of the actions considered involving appointments, the Chancellor’s decision differed from CAP’s recommendation in only 1 instance of the 59 proposals. Additionally, the decisions of the Chancellor’s Office differed from the recommendations of CAP in 2 instances concerning off-scale awards related to merits, promotions, and appointments (1%).

CAP continues to depend on ad hoc committees for detailed analyses of many cases by the procedures prescribed in the Academic Personnel Manual. For 2003-2004 the Committee recommended ad hoc committees for promotions to Associate Professor and in 1 instance each for promotion to Professor and for advancement to Professor, Step VI. CAP served as its own ad hoc for all other actions. A total of 21 ad hoc committees were appointed in 2003-04. Of the campus full professors, 64 served on ad hoc committees, and of eligible associate professors, 16 served. Of the 21 ad hoc committees appointed, there was disagreement between the ad hoc committee and the Committee on Academic Personnel on 2 occasions. The Committee on Academic Personnel expresses its appreciation of the work of colleagues on these committees. Declinations by other colleagues continue to be a problem and continue to be kept on file.

CAP was presented with a “career assessment” this academic year and opted to return the case unreviewed to the administration. It was the unanimous agreement of the committee to decline participation in the review of a file outside of the stipulations of the CALL and the APM.
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 last year (2002-2003) was responsible for appointing Shadow CAP members. Shadow CAP continues to consists of 6 members from former CAP committees of the past five years.

After nine 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:

1. Extramural letters - CAP relies on the expert analysis provided in extramural letters and encouraged solicitation of faculty within the UC system or of writers familiar with the UC rank and step system. CAP additionally requested a CALL revision which discourages solicitation of more than two faculty from the same institution.

2. File material - CAP agreed with the revision allowing candidates for promotion to professor to receive redacted file material in the preliminary negative stage rather than waiting until the end of the process.

3. Above Scale language – In coordination with the Vice Provost for Academic Personnel and the Dean’s council, CAP agreed to a revision of the language in the CALL for advancement to Above-Scale and advancement within above-scale.

• CAP Advice to and Discussion with the Executive Vice Chancellor
CAP provided advice to and initiated or participated in discussions with the EVC on the following issues:

1. Criteria for advancement to Above-Scale
2. Use of the Distinguished Professor title
3. Timing within the review cycle and the difficulties we’ve experienced
4. Movement of excellent faculty through the review process outside of retention efforts
5. Understanding of the career review process

Additionally, 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.
At the request of the Interim Executive Vice Chancellor, the members of the Committee on Academic Personnel agreed to and signed a memorandum of understanding articulating our commitment to timeliness in our role in the personnel review process.

• CAP Advice to the Academic Senate
CAP reviewed the Proposed Endowed Chair Policy as submitted by the Administration through the Academic Senate and unanimously agreed with the policy as proposed.

CAP recommended adoption of the Draft UC Policy on Sexual Harassment and Procedures for Responding to Reports of Sexual Harassment.

CAP reviewed the proposed name change for the Department of Earth Sciences and had no comment. The Committee on Academic Personnel looks forward to reviewing each transfer of FTE, as is the norm.

UCAP PARTICIPATION
UC Riverside CAP continued its participation in the all system UCAP.

MISCELLANEOUS
• Case flow was more evenly distributed this year than in 2002-2003. CAP thanks the departments and especially the Deans for helping to spread the load and prevent the end-of-the-year crunch we experienced in 2002-03. In addition, fewer files were unresolved at the end of the year. There were 29 carry-overs in 2002-03 but only 8 in 2003-04, all of which were being held pending receipt of additional information requested; these cases will be considered in Fall 2004 and will be retroactive.

• CAP continues to be aware of the need to process promotion to tenure cases as expeditiously as possible. Among the data collected this year was the length of time each case spent at each level of review before being finally announced. Time spent at the administrative level (VP for Academic Personnel, EVC and Chancellor) was a consistent, commendable two weeks, as was time spent with Dean Steve Angle, Dean of CNAS. CAP assures continuation of our best effort to give promotions to tenure a priority.

John Andersen
Jay Farrell
William Frankenberger
John Ganim
Aman Ullah
Giles Waines
Ameae Walker
Gary Watson
Raymond Williams, Chair