To be received and placed on file:

The Committee on Academic Personnel (CAP) met on 50 occasions during the 1998-99 academic year. Meetings were approximately 3-4 hours in length. 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 235 personnel actions this year. Included are 176 merit/promotion files, 10 appraisals, 33 appointments, and 6 deferrals. In addition, the Committee reviewed files of faculty at Professor V and above who have been at step for five or more years (4 files). 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. CAP also continued the procedure for the review of an individual's career; 6 career reviews were considered this year.

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 186 merit, promotion and appraisal actions considered, the decisions of the Chancellor's Office differed from the recommendations of CAP in 2 instances (1%). Of the actions considered involving appointments, the Chancellors decision did not differ from CAP's recommendation in any instances. Additionally, the decisions of the Chancellor's Office differed from the recommendations of CAP in 3 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 proscribed in the Academic Personnel Manual. For 1998-99 the Committee recommended ad hoc committees for appraisals, promotions to Associate Professor and Professor, advancement to Professor Above-Scale, merits within Professor Above-Scale, and appointments at the tenure level (except those tenured appointments arriving in Academic Personnel after June 3, 1999. CAP served as its own ad hoc committee on those 7 cases). CAP will no longer require ad hocs for the last two categories but may request them on occasion. 65 ad hoc committees were appointed in 1998-99, involving 159 faculty and 6 emeriti/ae, including 6 faculty members from other UC campuses. Of the 221 eligible campus full professors, 118 served on ad hoc committees, and of 107 eligible associate professors, 35 served. Of the 65 ad hoc committees appointed, there was disagreement between the ad hoc committee and the Committee on Academic Personnel on 12 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. These are now kept on file.

The 1998-99 academic year was the first year in which the redesigned merit files were used. CAP found them to have worked well.
II. DISCUSSIONS AND ADVICE

RECOMMENDATIONS PROPOSED AND IMPLEMENTED

• Proactive review procedures

This year CAP continued proactive measures to facilitate rewarding academic excellence for the faculty. These include carefully considered use of off-scale salaries and on occasion retroactive off-scale salaries. CAP also discussed additional measures for encouraging and rewarding deserving faculty. This discussion will continue.

• 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. The Executive Vice Chancellor appoints this annual committee of 6 members from former CAP members of the past five years. This committee list is published and for 1998-99 it had the following members:

Benjamin Shen (Physics), Chair
Francoise Forster-Hahn (History of Art)
Eugene Anderson (Anthropology)
Emory Elliott (Center for Ideas and Society)
John Trumble (Entomology)
Anthony Huang (Botany & Plant Science)

After five years of experience with the Shadow CAP process, the committee is quite satisfied that this system is a fair one for evaluating CAP members.

• Announcements

It appears from the viewpoint of the Committee that the system of releasing personnel actions on a monthly basis is working well.

RECOMMENDATIONS PROPOSED AND PENDING IMPLEMENTATION

UCAP PARTICIPATION

• Teaching

CAP endorsed the letter of UCAP [University-wide Committee on Academic Personnel] on the importance of teaching in the UC system.

• Proposal on incompetent performance of faculty

UCR CAP endorsed the proposal on termination of gross incompetence.
OTHER

• CAP Advice to the Executive Vice Chancellor

CAP is concerned that its methods and standards for evaluating faculty files remain obscure to a large portion of the campus faculty and especially to recent hires. It recommends that members of CAP who have recently rotated off the committee be available to meet with Deans, Chairs, and Academic Personnel Office Staff to explain its procedures and answer questions.

CAP endorsed the proposed TOP Procedures, the Outline for Academic Hiring, and the proposal for the departmentalization of AGSM.

CAP, at the request of the EVC participated in discussion and analysis of proposed revisions to The CALL. Specific topics discussed included procedures for requesting information on submitted materials, ending appeals of negative merits and revised procedures for deferral of merit/promotion. A revised CALL was distributed in early June and discussed at a Chairs and Deans Meeting on June 8, 1998.

CAP provided advice to the EVC on the following issues:

- Off-Scale salary
- Refusal by some faculty to forward their deferral files
- Procedures for encouraging accelerated preparation of appropriate promotion files
- Criteria for Presidential Chairs
- Faculty Retention
- Automatic forwarding of redacted evaluation materials to faculty

• CAP Advice to the Academic Senate

CAP provided advice to the Academic Senate Chair or Chairs of Senate Committee on the following issues:

- Additional Compensation for additional teaching activities
- Faculty Retention Report
- Teaching Evaluations
- Proposals for Faculty Transfers in CNAS
- Proposed Change of Mechanical Engineering Program to Department
- Increase of Cap membership

• Chairs

CAP approved all recommendations for department chairs.

Steven Axelrod
Steven Brint
Robin DiMatteo
Michel Lapidus
Anthony W. Norman
Albert Page
Mary Price
H. Lee Swanson
Georgia Warnke, 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>Year</td>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
</tr>
<tr>
<td>1998-99</td>
<td>14</td>
<td>1</td>
<td>0</td>
<td>9</td>
</tr>
</tbody>
</table>

- Total Proposed: 15
- Total Approved: 13
- Approval %: 87%

#### 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>Year</td>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
</tr>
<tr>
<td>1998-99</td>
<td>14</td>
<td>0</td>
<td>0</td>
<td>8</td>
</tr>
</tbody>
</table>

- Total Proposed: 14
- Total Approved: 11 (1 Pending)
- Approval %: 79%

Note: Accelerated merit approved in lieu of promotion in one Neg decision.

#### 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>Year</td>
<td>Yes</td>
<td>No</td>
<td>Other</td>
<td>Yes</td>
</tr>
<tr>
<td>1998-99</td>
<td>10</td>
<td>0</td>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>

- Total Proposed: 11 (6 AS, 5 Step VI)
- Total Approved: 9 (2 Pending)
- Approval %: 82%

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>Year</th>
<th>Rank</th>
<th>Yes</th>
<th>No</th>
<th>Other</th>
<th>Yes</th>
<th>No</th>
<th>Other</th>
<th>Yes</th>
<th>No</th>
<th>Split</th>
<th>AHS</th>
<th>AOS</th>
<th>NOS</th>
<th>ALS</th>
<th>Yes</th>
<th>No</th>
<th>AHS</th>
<th>AOS</th>
<th>NOS</th>
<th>ALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1998-99</td>
<td>Assistant Professor</td>
<td>30</td>
<td>1</td>
<td>0</td>
<td>30</td>
<td>1</td>
<td>0</td>
<td>26</td>
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<td>1</td>
<td>26</td>
<td>4</td>
<td>0</td>
<td>1</td>
<td>26</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Associate Professor</td>
<td>29</td>
<td>2</td>
<td>1</td>
<td>23</td>
<td>6</td>
<td>3</td>
<td>21</td>
<td>4</td>
<td>1</td>
<td>2</td>
<td>4</td>
<td>0</td>
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<td>22</td>
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<td>4</td>
</tr>
<tr>
<td></td>
<td>Professor</td>
<td>63</td>
<td>2</td>
<td>1</td>
<td>43</td>
<td>18</td>
<td>5</td>
<td>40</td>
<td>11</td>
<td>1</td>
<td>3</td>
<td>9</td>
<td>2</td>
<td>42</td>
<td>11</td>
<td>1</td>
<td>9</td>
<td>42</td>
<td>11</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>within AS</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>0</td>
<td>1</td>
<td>5</td>
<td>1</td>
<td>0</td>
<td>1*</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>0</td>
<td>1*</td>
<td>0</td>
<td>6</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

*Approved retroactive salary increase

<table>
<thead>
<tr>
<th>Year</th>
<th>Rank</th>
<th>Yes</th>
<th>No</th>
<th>Other</th>
<th>Yes</th>
<th>No</th>
<th>Other</th>
<th>Yes</th>
<th>No</th>
<th>Split</th>
<th>AHS</th>
<th>AOS</th>
<th>NOS</th>
<th>ALS</th>
<th>Yes</th>
<th>No</th>
<th>AHS</th>
<th>AOS</th>
<th>NOS</th>
<th>ALS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total Merits</td>
<td>129</td>
<td>5</td>
<td>2</td>
<td>102</td>
<td>25</td>
<td>9</td>
<td>92</td>
<td>20</td>
<td>2</td>
<td>14</td>
<td>2</td>
<td>1</td>
<td>96</td>
<td>18</td>
<td>3</td>
<td>14</td>
<td>2</td>
<td>14</td>
<td>2</td>
</tr>
</tbody>
</table>

### Table III: SUMMARY OF APPOINTMENTS

<table>
<thead>
<tr>
<th>Rank</th>
<th>97-98 Ad hocs</th>
<th>97-98 Actions</th>
<th>98-99 Ad hocs</th>
<th>98-99 Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acting Assistant Professors</td>
<td>0</td>
<td>7</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Assistant Professors</td>
<td>0</td>
<td>14</td>
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<td>13</td>
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<tr>
<td>Associate Professors</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Professors</td>
<td>9</td>
<td>9</td>
<td>4</td>
<td>10</td>
</tr>
</tbody>
</table>

| TOTAL APPOINTMENT ACTIONS | 10 | 31 | 6  | 33 |

*CAP served as its own ad hoc committee on tenured appointments arriving in Academic Personnel after June 3, 1999 (7 files)
**TABLE IV: MISCELLANEOUS ACTIONS**

### Appraisals:
- **Total Proposed:** 10

<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>3</td>
<td>4</td>
<td>2</td>
<td>10</td>
</tr>
</tbody>
</table>

### Career Reviews:
- **Total Proposed:** 6
- **Total Approved:** 4 (1 Pending)
- **Approval %** 67%

<table>
<thead>
<tr>
<th>Recommendation</th>
<th>Department</th>
<th>Ad Hoc</th>
<th>Dean</th>
<th>CAP</th>
<th>Chancellor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promotion</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>One-step merit</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Merit of 2 or more steps</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Merit Based Off-scale</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>No Change</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

*Promotion category not mutually exclusive, reviewing bodies recommended promotion and one or two step merit advancements in two cases.

### Deferrals:
- **Total Proposed:** 6
- **Total Approved:** 6
- **Ad Hocs:** 0

### Quinquennial Reviews
- **Total Proposed:** 4
- **Total Approved:** 4*
- **Ad hocs:** 0

*Merit also awarded in one case

### Total Merits & Promotions:
- 176 (75%)

### Total Appointments:
- 33 (14%)  

### Total Misc. Actions:
- 26 (11%)

**TOTAL PERSONNEL ACTIONS** 235 (100%)
Table V: SUMMARY OF OFF-SCALE SALARIES APPROVED BY CHANCELLOR IN 1998-99

The off-scale (O/S) salaries are distributed below by college or school.

<table>
<thead>
<tr>
<th>College/School</th>
<th>New O/S Salaries Approved in ’99-1999</th>
<th>O/S Returned to Scale &amp; Separations</th>
<th>Total Faculty</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Merit based</td>
<td>Retention</td>
<td>Appointment</td>
</tr>
<tr>
<td>Humanities, Arts &amp; Social Sciences</td>
<td>8</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>Natural &amp; Agricultural Sciences</td>
<td>10</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Engineering</td>
<td>0</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Education</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Graduate School of Management</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>19</td>
<td>3</td>
<td>18</td>
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</tbody>
</table>