

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT TO THE RIVERSIDE DIVISION
December 4, 2018**

To be received and placed on file:

The Committee on Academic Personnel (CAP) is an important part of faculty governance and collegial responsibility in the University of California system. As a committee of the Riverside Division of the Academic Senate, CAP is appointed by the Senate's Committee on Committees and charged with providing advice to the Chancellor on academic personnel matters and representing the Division in all matters relating to appointments and promotions. CAP consists of ten members, who represent a wide variety of academic disciplines from across campus. All members hold the rank of full professor and serve for offset periods of three years (with annual reappointment) so that there is continuity and memory on the committee. CAP reviews all academic personnel files for merit, appraisal, promotion, and appointment and makes recommendations to the Vice Provost for Academic Personnel, the Executive Vice Chancellor and Provost, and the Chancellor. CAP is also asked to provide feedback and recommendations about a variety of Senate matters and administrative directives.

CAP's goal is to assure that its recommendations are based on rigorous application of the academic personnel procedures in the CALL and the APM, and to assure that decisions are based on a fair and thorough evaluation of evidence in the file.

CAP met on 51 occasions during the 2017-18 academic year. Meetings were approximately 2 hours in length. By the final May submission date in the CALL, there were 10 outstanding files campuswide with 64 files to be routed to CAP for review. CAP again is appreciative of staff and faculty alike for their efforts in the academic personnel review process.

I. Personnel Actions

a. Summary of Reviews

CAP reviewed 398 personnel actions during 2017-18 and sustained an average turn-around time of 22 days from the time a file is received at CAP from the Academic Personnel Office to the time the CAP recommendation is forwarded to the administration. Committee work during this period includes (a) receipt of the file in the Academic Senate Office by the CAP Analyst, who reviews the file to assure that it is complete for CAP review; (b) assigning of primary and secondary readers to each file by the CAP Chair, who serves as the third reader; (c) announcement to all CAP members that the file is available for their review online; (d) thorough review of the file by the assigned readers in preparation for discussion by the full committee at the next CAP meeting; (e) presentation of the file and discussion/vote by the full committee; (f) preparation of the draft CAP recommendation by the primary and secondary readers; (g) review and signature by the CAP Chair, who forwards the CAP report to the CAP Analyst to be finalized and forwarded to the Academic Personnel Office.

The Academic Senate office also maintains data reflecting the processing time (including the percentage of files that are forwarded according to due dates in the CALL) by department and school/college, as well as turn-around time for files reviewed by ad hoc committees. These data

are available from the Academic Senate Office.

A decision of the Chancellor's office is defined as an over-rule if it is contrary to the majority recommendation from CAP on rank, step, or the awarding of an off-scale.

- Of the 254 merit actions reviewed by CAP, CAP endorsed 222. The final decision of the Chancellor's Office over-ruled CAP's rank/step recommendation on 16 cases and disagreed on off-scale recommendations in 12 instances.
 - Of the 41 accelerated merits proposed, CAP and the administration disagreed in 9 instances.
- Of the 45 promotions to Associate Professor or Professor, CAP supported 43. The Chancellor's Office overruled CAP's recommendation on 2 cases and disagreed on off-scale recommendation in 2 instances.
 - Of the 15 accelerated promotions proposed, CAP and the administration disagreed in 2 instances.
- Of the 14 advancement to Professor Step VI or to Professor Above-Scale actions reviewed by CAP, CAP endorsed 9. The Chancellor's Office overruled CAP's recommendation on 3 cases and disagreed on off-scale recommendations in 2 instances.
 - Of the 3 accelerated advancements proposed, CAP and the administration disagreed in 2 instances.
- Of the 16 fifth year appraisals proposed, CAP and the administration disagreed in 1 instance.
- CAP reviewed 38 of the 39 proposed new appointments. Administration approved 38 of the 39 files with 1 file pending resubmission in the 18-19AY. The Chancellor's Office overruled CAP's recommendation on 5 cases.
- Of the 16 reappointments proposed, CAP and the administration disagreed in 2 instances. All reappointment actions were approved by the Chancellor's Office.
- Of the 5 career review actions reviewed by CAP, the final decision of the Chancellor's Office over-ruled CAP's rank/step recommendation on 1 case and disagreed on off-scale recommendation in 1 instance. One case resulted in a one-step merit increase, one case resulted in a two-step merit increase, once case resulted in a four-step merit increase, and two cases resulted in no change to the current rank or step.
- Of the 7 quinquennials reviewed, the Chancellor's Office overruled CAP's recommendation on 1 case.

A detailed table summary of CAP's personnel reviews merits, promotions, advancements, appraisals, appointments, career reviews, and quinquennial reviews, is appended.

b. Follow up to the cases listed as pending in the 16-17 CAP Report

Of the 30 appointment files submitted for review in the 16-17 AY, one case was noted as pending a final decision and one case was pending CAP review. The first case was finalized, and the appointment approved. The second case was resubmitted to CAP for consideration in the 17-18 AY. This case was also finalized, and the appointment approved.

c. Ad hoc Committees

The Committee on Academic Personnel continued to act as its own ad hoc for promotion to

tenure and Advancement to Above-Scale cases, a process which results in early decisions for the majority of these promotion cases. During the 17-18 review year, CAP did not utilize an ad hoc committee.

d. Shadow CAP

To avoid conflict of interest, the personnel actions for current CAP members and their spouses/partners are reviewed by Shadow CAP, a 6-person committee appointed by the Committee on Committees from a pool of former CAP members from the previous five years. During 2017-18, Shadow CAP reviewed 2 cases. The 2017-18 Shadow CAP members were the following:

Mark Springer, Chair
Linda Walling
Ashok Mulchandani
George Haggerty
Christine Chiarello
Jang-Ting Guo

e. Assistant Professor Appointments

In January 2008, final decisions for appointments to Assistant Professor Step I-III were delegated to the deans, with the proviso that CAP would conduct a *post hoc* audit/review of the appointments and submit recommendations about continuing with the delegation. In fall 2013, CAP reviewed 42 appointments made at this level for the 11-12 and 12-13 years. Noting a number of procedure irregularities, CAP rescinded its waiver of review for all appointments for Acting Assistant Professor, Step III and clarified the expectation that all reappointments for Assistant Professor Step I-III will continue to be reviewed by CAP. The Committee recommended that the delegation be continued for appointments to Assistant Professor Step I-III followed by another CAP review in one to two years. In the 2015-16 AY CAP was asked to consider waiving its right to review appointment files for Assistant Professor in Residence and Assistant Professor of Clinical X (Step I to III) series which have been delegated to the deans for final decision authority. CAP considered this request and elected to continue reviewing these cases in advance of the final decision. In the 2016-2017 AY CAP was scheduled to conduct a post-appointment audit of all 13-14 and 14-15 dean's level hires. However, CAP was unable to complete the post-audit because a response to the request for files was not received. The 17-18 CAP did not conduct a post-audit of dean's level hires. This issue will be considered in the following year.

f. eFile

CAP reviewed 378 of its 398 cases via the eFile system (95%). This compares to the 312 of 319 eFiles reviewed in 2016-17 (98%).

g. Other Personnel Actions (not included in the total number of files reviewed by CAP)

- Dickson Emeritus Professorship: CAP reviewed and endorsed three nominations for the 2017-18 Dickson Emeritus Professorship, sent forward by the Committee on Faculty Welfare.
- Professor of the Graduate Division appointments: CAP reviewed 13 files for

appointment/reappointment as Professor of the Graduate Division. All appointments were approved.

- Full Time Equivalent (FTE) Transfer of Appointment: CAP considered and provided recommendations on five requests to transfer an entire or a portion of a filled FTE appointment from one department to another. CAP also commented on a request to change a whole FTE from one college to another.
- Pre-Emptive Retention Cases: CAP provided recommendations on two pre-emptive retention cases.

II. CAP Discussions with and Policy Recommendations to the Administration

In addition to regular CAP meetings to review personnel cases, CAP met on occasion with the Chancellor, the Executive Vice Chancellor & Provost, the Vice Provost for Academic Personnel, the College/School Deans, and with Departmental Chairs. CAP participation in these joint administrative sessions is especially helpful in assuring a shared understanding of the review process and guidelines, and of the expectations at every level of review. CAP is grateful for the spirit of cooperation of the campus administrators. CAP provided advice to and initiated or participated in discussions with the administration on the following issues:

a. Revisions to the CALL

CAP reviewed and provided feedback to the VPAP on proposed changes received by the campus at large. CAP's comments and suggested changes can be found on the committee webpage <http://senate.ucr.edu/committee/4/Archive.html>

b. CAP Review of Proposed Department Chair Appointments

CAP reviewed the proposed department chair appointments for the 2018-2019 academic year and expressed no concern about the recommendations submitted.

c. Endowed and Presidential Chair Appointments

CAP reviewed and provided comments on appointments/reappointments to the following Endowed and Presidential Chair positions:

BCOE

John Babbage Endowed Chair in Environmental Engineering
Jacques S. Yeager, Sr. Endowed Chair in Bioengineering
Jacques & Eugene Yeager Families Endowed Chair at CE-CERT
Ford Motor Company Endowed Chair within BCOE
W. Ruel Johnson Chair in Environmental Engineering
UC Presidential Chair

CHASS

Shrimas Rajchandra Chair in Jain Studies
John Gleason McSweeny Endowed Chair in Rhetoric and Teaching Excellence
Four positions for the Teresa and Byron Pollitt Endowed Chair within CHASS

CNAS

F. Burton Jones Endowed Chair in Pure Mathematics
George K. Helmkamp Endowed Founder's Chair in Chemistry

Endowed Chair of Urban Entomology
UCR Presidential Chair

GSOE

Peloy Endowed Chair in Learning Disabilities
Bank of America Endowed Chair in GSOE

d. Administrative Appointments – other Appointment “pre-reads”

It is customary for CAP to provide preliminary input regarding the faculty appointment of any senior administrators, including: Chancellors, Vice Chancellors, Provosts, Deans, Institute Directors, Directors of ORUs, Laboratory Directors and other offices who are also faculty members. However, CAP was not provided the opportunity to provide a preliminary professorial assessment on the candidates for the Dean position in the Bourns College of Engineering. CAP completed a “pre-read” on nine Target of Excellence candidates (5 CHASS, 2 CNAS, 1 SoBA, 1 SPP).

e. Additional Local Issues

CAP corresponded with administration to seek clarification and/or ask that advice be communicated to the campus regarding the following topics:

- administrative review of merit and promotion files
- recommendations based on criteria in the Call
- first merit actions and reappointment files
- teaching load statements
- period of review
- choosing appropriate extramural letter writers
- clarification on teaching, service and scholarly expectations for the LPSOE/LSOE series

III. CAP Advice to the Academic Senate

CAP is asked to provide feedback and recommendations about a variety of Senate matters and administrative directives. In addition to reaffirming its policy on Conflict of Interest, the Committee reviewed and provided comments on the following items:

a. CAP Review of Proposed Revisions to the Academic Personnel Manual and other personnel processes

The Committee’s formal response to each issue is located on the Academic Senate website and can be found at: <http://senate.ucr.edu/about/issues/2017-2018/>

Campus Review

- Draft WASC Institutional Report
- Revised Endowed Chair Policy
- Sustainability Ad Hoc Report
- Proposal Open Access 2020 (OA2020)
- Consultation. Cluster Hiring Initiative. Status and Future Plans
- Title Change from Vice Provost of Undergraduate Education to Vice Provost & Dean of Undergraduate Education
- Renaming the VPUE to the VPDUE and UWP Personnel Process

- Revised: New Master Degree in Supply Chain and Logistics Management (MSCLM)
- Proposal. Campus Implementation Procedures for the Negotiated Salary Trial Program
- Campus Procedure(s). Proposed Changes to Implementation Procedures for the Health Sciences Compensation Plan
- Request to establish the Everett and Imogene Ross Endowed Term Chair in CS & Ross Family Endowed Term Chair in CS – BCOE
- Request to Establish the S. Sue Johnson Presidential Endowed Chair in the School of Medicine

System-wide Review

- Taskforce Report on the Negotiated Salary Trial Program
- Second Round. Proposed Revision to APM Sections. 285, 210-3, 133, 740, 135 and 235
- Proposed Amendment to Senate Bylaw 128, Conflicts of Interest
- Proposed Presidential Policy on Disclosure of Financial Interests and Management of COI in Private Sponsors of Research and Revised APM – 028
- Proposed New APM - 675, Veterinary Medicine Salary Administration

b. CAP Representation at Systemwide Senate and the Executive Council

CAP continued its active participation on the systemwide University Committee on Academic Personnel. The 2017-18 CAP representative was Rajiv Gupta. CAP Chair Chari represented the committee on the UCR Academic Senate's Executive Council.

c. Bylaw 55 delegations

CAP continues rely on each department to send its Bylaw-55 delegations and departmental voting procedures to the Senate. Departmental Bylaw-55 designations are collected each year through the end of October.

Finally, CAP thanks all who have contributed to the personnel process. The process works as well as it does only because of the hard work and dedication of all involved.

Respectfully submitted,

Vyjayanthi Chari, Chair
 Walter Clark
 Carl Cranor
 Mary Droser
 Rajiv Gupta
 Howard Judelson
 Adam Lukaszewski
 David Pion-Berlin
 Richard Smith
 Sherryl Vint

TABLE I: SUMMARY OF PROMOTIONS AND ADVANCEMENTS

PROMOTIONS TO ASSOCIATE PROFESSOR:

Total Proposed: 27
 Total Reviewed by CAP: 27
 Total Reviewed by Chancellor: 26 1 candidate resigned
 Total Approved by Chancellor: 26 Approval % 100%

Department			Ad Hoc			Dean			CAP							Chancellor							
Yes	No	Other	Yes	No	Other	Yes	No	Other	Yes	No	Split	AHS	AOS	NOS	ALS	LOS	Yes	No	AHS	AOS	NOS	ALS	LOS
26	1	0	0	0	0	25	1	1	22	1	0	0	0	0	4	0	23	0	0	0	0	3	0

PROMOTIONS TO PROFESSOR:

Total Proposed: 18
 Total Reviewed by CAP: 18
 Total Reviewed by Chancellor: 18
 Total Approved by Chancellor: 17 Approval % 94%

Department			Ad Hoc			Dean			CAP							Chancellor							
Yes	No	Other	Yes	No	Other	Yes	No	Other	Yes	No	Split	AHS	AOS	NOS	ALS	LOS	Yes	No	AHS	AOS	NOS	ALS	LOS
17	1	0	0	0	0	16	1	1	12	1	0	0	0	1	3	1	13	1	0	0	0	2	2

ADVANCEMENTS TO PROFESSOR VI & ABOVE-SCALE:

Total Proposed: 15
 Total Reviewed by CAP: 14 1 candidate withdrew
 Total Reviewed by Chancellor: 14
 Total Approved by Chancellor: 9 Approval % 64%

Department			Ad Hoc			Dean			CAP							Chancellor							
Yes	No	Other	Yes	No	Other	Yes	No	Other	Yes	No	Split	AHS	AOS	NOS	ALS	LOS	Yes	No	AHS	AOS	NOS	ALS	LOS
15	0	0	0	0	0	11	3	1	6	5	1	0	0	0	2	0	7	5	0	0	0	0	2

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 II: SUMMARY OF MERIT ACTIONS*

Total Proposed:	255			
Total Reviewed by CAP:	254	1 candidate withdrew		
Total Reviewed by Chancellor:	254			
Total Approved by Chancellor:	224	Approval %	88%	

Rank	Department			Dean			CAP							Chancellor							
	Yes	No	Other	Yes	No	Other	Yes	No	Split	AHS	AOS	NOS	ALS	LOS	Yes	No	AHS	AOS	NOS	ALS	LOS
Assistant Professor	111	2	0	103	4	6	84	14	1	0	1	7	4	1	90	10	0	2	5	1	4
Associate Professor	49	2	0	44	3	4	38	4	1	0	1	6	1	0	39	7	0	1	3	0	1
Professor	68	0	1	61	4	4	45	9	0	0	2	6	6	1	44	9	0	0	9	5	2
within AS	12	1	0	10	3	0	10	3	0	0	0	0	0	0	11	2	0	0	0	0	0
LPSOE/SOE	9	0	0	8	1	0	7	2	0	0	0	0	0	0	7	2	0	0	0	0	0
Total Merits	249	5	1	226	15	14	184	32	2	0	4	19	11	2	191	30	0	3	17	6	7

*does not include advancement to VI or advancement to A/S

TABLE III: SUMMARY OF APPOINTMENTS

Total Proposed:	39			
Total Reviewed by CAP:	38	1 file pending resubmission in 18-19AY		
Total Reviewed by Chancellor:	38			
Total Approved by Chancellor:	38	Approval %	100%	

Rank	17-18 Actions	Department			Dean			CAP			Chancellor		
		Yes	No	Other	Yes	No	Other	Yes	No	Other	Yes	No	Other
Assistant Professors	8	8	0	0	8	0	0	7	0	1	7	0	1
Associate Professors	9	9	0	0	9	0	0	4	2	3	6	0	3
Professors	10	10	0	0	9	0	1	5	0	4	5	0	4
Professors Above Scale	4	4	0	0	3	0	1	3	0	1	3	0	1
LPSOE/LSOE/SOE	8	8	0	0	8	0	0	7	1	0	8	0	0
TOTAL APPOINTMENT ACTIONS	39												

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

Fifth-year Appraisals	Decision		
	Positive	Qualified	Negative
CAP	5	9	2
EVC/Chancellor	6	8	2

Career Reviews:

Total Proposed: 5

- 1 Resulted in a merit of 1 step
- 1 Resulted in a merit of 2 steps
- 1 Resulted in a merit of 4 steps
- 2 Resulted in no change in rank or step

Quinquennial Reviews

Total Proposed: 7

Quinquennials	Decision	
	Satisfactory	Negative
CAP	6	1
EVC/Chancellor	7	0

Assistant Professor Reappointments:

Total Proposed: 16

	Decision		
	Yes	No	Split
CAP	14	1	1
EVC/Chancellor	16	0	0

Summary

Total Merits & Promotions:	315
Total Appointments:	39
Total Misc. Actions:	44
TOTAL PERSONNEL ACTIONS	398

Table V: SUMMARY OF OFF-SCALE SALARIES APPROVED BY CHANCELLOR (OR DESIGNEE)

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

College/School	Merit Based	Appointment	A/S Appointment
CHASS	14	10	0
CNAS	7	7	2
BCOE	11	3	1
SoBA	0	3	0
GSOE	0	2	0
SPP	1	0	0
Totals	33	25	3

Total o/scales awarded = 61