

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT TO THE RIVERSIDE DIVISION
December 3, 2019**

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 46 occasions during the 2018-19 academic year. Meetings were approximately 2 hours in length. By the final May submission date in the CALL, there were 46 outstanding files campus wide 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 364 personnel actions during 2018-19 and sustained an average turn-around time of 23 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 223 merit actions reviewed by CAP, CAP endorsed 191. The final decision of the Chancellor's Office over-ruled CAP's rank/step recommendation on 5 cases and disagreed on off-scale recommendations in 13 instances.
 - Of the 51 accelerated merits proposed, CAP and the administration disagreed in 5 instances.
- Of the 40 promotions to Associate Professor, Full Professor, and Associate Professor of Teaching (LSOE), CAP supported 38 cases. The Chancellor's Office overruled CAP's recommendation on 5 cases and disagreed on off-scale recommendation in 3 instances.
 - Of the 16 post-promotion accelerations proposed, CAP and the administration disagreed in 4 instances.
- Of the 11 advancement to Professor Step VI and to Professor Above-Scale actions proposed, CAP endorsed 9 cases. The Chancellor's Office overruled CAP's recommendation on 1 case and disagreed on the off-scale recommendation in 1 instance.
 - CAP and the administration agreed on the 3 accelerated advancements proposed.
- Of the 27 fifth year appraisals proposed, CAP and the administration disagreed in 1 instance.
- CAP reviewed 24 of the 25 proposed new appointments. The Chancellor's Office approved 23 of the 25 cases with 1 file pending a final decision and 1 pending resubmission in the 19-20AY. The Chancellor's Office overruled CAP's recommendation in 2 cases.
- Of the 9 reappointments proposed, CAP and the administration disagreed in 1 instance. All reappointment actions were approved by the Chancellor's Office.
- Of the 10 career review actions reviewed by CAP, the final decision of the Chancellor's Office over-ruled CAP's rank/step recommendation on 2 cases. One case resulted in no change to the current rank or step, two cases resulted in a one-step merit increase, five cases resulted in a two-step merit increase, one case resulted in a promotion to full professor, and one case resulted in a promotion to full professor plus a one-step merit increase.
- Of the 19 quinquennials reviewed, the Chancellor's Office overruled CAP's recommendation on 1 case. Of the 9 quinquennials cases at a barrier step that proposed an off-scale, CAP and the administration disagreed in 1 instance.

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 17-18 CAP Report

Of the 39 appointment files submitted for review in the 17-18 AY, one case was noted as pending for resubmission in the 18-19 AY. This appointment file is still pending and may be resubmitted to CAP for consideration in the 19-20 AY.

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 18-19 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 2018-19, Shadow CAP reviewed 2 cases. The 2018-19 Shadow CAP members were the following:

Mark Springer, Chair
Linda Walling
Ashok Mulchandani
Christine Chiarello
Jang-Ting Guo
Georgia Warnke

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 AY CAP did not conduct a post-audit of dean's level hires. The 18-19 AY CAP did not conduct a post-audit as APO was focused on moving over to the new eFilePlus system. The issue of conducting post-audits and the continuance of CAP waiving its right to review files will be considered in the 19-20 AY.

f. eFilePlus

CAP reviewed 335 of its 364 cases via the new eFilePlus system (92%) and 29 of its 364 cases via the Document Management System (8%).

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 2018-19 Dickson Emeritus Professorship, sent forward by the Committee

on Faculty Welfare.

- Professor of the Graduate Division appointments: CAP reviewed 6 files for appointment/reappointment as Professor of the Graduate Division. All appointments were approved.
- Request for Emeritus Status: CAP reviewed and endorsed two cases to confer the title of Emeritus to non-senate faculty.
- Full Time Equivalent (FTE) Transfer of Appointment: CAP considered and provided recommendations on four 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 reduce an FTE from 100% to 50%.
- Pre-Emptive Retention Cases: CAP provided recommendations on five pre-emptive retention cases.
- Placement of LSOE-LPSOE faculty on rank and step scale: CAP provided recommendations on 26 cases for placement on the rank and step scale.

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 2019-2020 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

William R. Johnson, Jr. Family Chair in Mechanical Engineering

CHASS

Tomás Rivera Endowed Chair in English & Creative Writing

SoM

Salma Haider Endowed Chair in Biomedical Sciences

S. Sue Johnson Presidential Endowed Chair in Biomedical Sciences

William R. & S. Sue Johnson Endowed Chair in Clinical Sciences

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. CAP provided a preliminary professorial assessment on the candidates for the Vice Chancellor of Research and Economic Development position. CAP completed a “pre-read” on five Target of Excellence candidates (2 CHASS, 3 CNAS) and one spousal hire in CHASS.

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:

- Ensuring a consistent and fair review of merit and promotion files across campus
- Ensuring recommendations are based on criteria in the Call and material in the file
- Clarification on teaching, service and scholarly expectations for the LPSOE/LSOE series
- Balanced department letters that address each aspect of the material presented in the file and are reflective of all department votes
- Issues with requests to expedite files that do not contain full materials needed to conduct a review in a fair and transparent manner
- Clarification regarding teaching responsibilities

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:

- Committee’s thoughts on UCR Strategic Plan
- Proposal regarding course release compensation for CAP members

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/2018-2019/>

Campus Review

- Transfer of and Changes to the LGBT Studies Minor Program
- Transfer of the Bachelor of Science Degree in Business Administration to the School of Business
- Updated Proposal - Transfer of the Bachelor of Science Degree in Business Administration to the School of Business
- Provost’s Taskforce for Hybrid and Online Education Final Report
- Extension of Exception to APM 275-16-f(3) Restrictions: 1/6 Limitation on Appointment to Professor of Clinical X Series
- Department Name Change: Earth Sciences to Earth and Planetary Sciences
- Endowed Chair Proposal: Endowed Term Chair for Teaching, Research & Service in CNAS

System-wide Review

- Proposed Revisions to the Presidential Policy on Sexual Violence and Sexual Harassment
- Proposed Revisions to Senate Bylaw 336
- Proposed Revisions to SVSH Academic Frameworks
- New APM 011, Academic Freedom, Protection of Professional Standards, and Responsibilities of Non-Faculty Academic Appointees

b. CAP Representation at Systemwide Senate and the Executive Council

CAP continued its active participation on the systemwide University Committee on Academic Personnel. The 2018-19 CAP representative was Professor Sherryl Vint. CAP Chair Gupta represented the committee on the UCR Academic Senate's Executive Council.

c. Bylaw 55 delegations

CAP continues to 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,

Rajiv Gupta, Chair
Walter Clark
Mary Droser
Howard Judelson
Adam Lukaszewski
Susan Ossman
David Pion-Berlin
Aman Ullah
Sherryl Vint
Yingsheng Wang

TABLE I: SUMMARY OF PROMOTIONS AND ADVANCEMENTS

PROMOTIONS TO ASSOCIATE PROFESSOR/ASSOCIATE PROFESSOR OF TEACHING (LSOE):

Total Proposed: 27
 Total Approved by Chancellor 24
 Approval % 89%

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
25	1	1				26	1		19	2	1		1			4	18	3		3			3

PROMOTIONS TO PROFESSOR:

Total Proposed: 13
 Total Approved by Chancellor 13
 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
13						11		2	7				1		2	3	9			1		1	2

ADVANCEMENTS TO PROFESSOR VI & ABOVE-SCALE:

Total Proposed: 11
 Total Approved by Chancellor 8
 Approval % 73%

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
11						11			9	2							7	3		1			

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: 223
 Total Approved by Chancellor 191
 Approval % 86%

Rank	Total	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/*PIR	93	91	2		89	3	1	71	7	1			9	4	1	73	6		1	8	3	2
Associate Professor	41	40	1		34	2	5	25	6				6	1	3	25	6		1	5	1	3
Professor	71	65	3	3	57	12	2	45	14			1	8	1	2	45	16			8	1	1
within A/S	9	8	1		8	1		6	3							6	3					
**LPSOE/SOE	9	9			8	1		7	2							2	1		6			
Total Merits	223	213	7	3	196	19	8	154	32	1	0	1	23	6	6	151	32	0	8	21	5	6

Note: does not include advancement to VI or advancement to A/S

*Assistant Professor-in-Residence

**Assistant Professor of Teaching/ Professor of Teaching

TABLE III: SUMMARY OF APPOINTMENTS

Total Proposed: 25
 Total Approved by Chancellor 23 1 file pending final decision
 Approval % 92% 1 file pending resubmission in the 19-20AY

Rank	Department 18-19 Actions	Dean			CAP			Chancellor		
		Yes	No	Other	Yes	No	Other	Yes	No	Other
Assistant Professors	5	5			5			4		1
Associate Professors	7	6		1	5		2	6		
Full Professors	6	6			4		1	4		1
LPSOE/LSOE/Sr. LSOE	5	5			4		1	4		1
Assoc & Full Clinical Professors	2	2			2			2		
TOTAL APPOINTMENT ACTIONS	25	24	0	1	20	0	4	20	0	3

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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: 27

Fifth-year Appraisals	Decision		
	Positive	Qualified	Negative
CAP	15	10	2
EVC/Chancellor	14	11	2

Quinquennial Reviews:

Total Proposed: 19

Quinquennials	Decision		At Barrier Step	
	Satisfactory	Unsatisfactory	Satis + o/s	Satis no o/s
CAP	6	4	5	4
EVC/Chancellor	5	5	6	3

Career Reviews:

Total Proposed: 10

- 1 Resulted in no change to rank or step
- 2 Resulted in a merit of 1 step
- 5 Resulted in a merit of 2 steps
- 1 Resulted in a promotion to full professor
- 1 Resulted in a promotion to full professor plus a merit of 1 step

Reappointment of Assistant Professor/ LPSOE/ Acting LPSOE:

Total Proposed: 9

Reappointments	Decision		
	Yes	No	Split
CAP	8	1	
EVC/Chancellor	9		

LPSOE = Assistant Professor of Teaching

Summary of Actions in Tables I-IV:

Total Merits & Promotions:	274
Total Appointments:	25
Total Misc. Actions:	65
TOTAL PERSONNEL ACTIONS	364

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
CHASS	18	11
CNAS	14	3
BCOE	6	2
BUSINESS	3	1
GSOE	3	1
SoM	1	0
SPP	1	1
Totals	46	19

Total o/scales awarded = 65