

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT TO THE RIVERSIDE DIVISION
December 1, 2020**

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 47 occasions during the 2019-20 academic year. Meetings were approximately 2.36 hours in length. By the final May submission date in the CALL, there were 47 outstanding files campus wide to be routed to CAP for review. CAP notes an increase of this year's number due to impacts of COVID-19. CAP again is appreciative of staff and faculty alike for their efforts in the academic personnel review process in light these impacts.

I. Personnel Actions

a. Summary of Reviews

CAP reviewed 400 personnel actions during 2019-20 and sustained an average turn-around time of 37 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 208 and was split on 7 cases. The final decision of the Chancellor's Office over-ruled CAP's rank/step recommendation on 10 cases and disagreed on off-scale recommendations in 17 instances.
 - Of the 39 accelerated merits proposed and the 28 requests for additional off-scale, CAP and the administration disagreed in 11 instances.
- Of the 53 promotions to Associate Professor, Full Professor, Associate Professor of Teaching (LSOE), and Professor of Teaching (Sr. LSOE) CAP supported all cases. The Chancellor's Office overruled CAP's recommendation on 5 cases and disagreed on off-scale recommendation in 6 instances.
 - Of the 20 recommendations for placement at a higher step, CAP and the administration disagreed in 7 instances.
- Of the 16 advancement to Professor Step VI and to Professor Above-Scale actions proposed, CAP endorsed 15 and was split on one case. The Chancellor's Office overruled CAP's recommendation on 2 cases.
 - Of the 6 accelerated advancements proposed, CAP and the administration disagreed in 1 instance.
- Of the 27 fifth year appraisals proposed, CAP and the administration disagreed in 3 instances.
- CAP reviewed 21 proposed new appointments. CAP and the administration disagreed on placement in 3 instances. The Chancellor's Office approved 20 of the appointment actions with 1 candidate withdrawing.
- Of the 12 reappointments proposed, CAP and the administration agreed on all cases. All reappointment actions were approved by the Chancellor's Office.
- Of the 3 career review actions reviewed by CAP, the final decision of the Chancellor's Office over-ruled CAP's rank/step recommendation on 1 case.
 - One case resulted in a one-step merit increase, one case resulted in a promotion to full professor plus a two-step merit increase, and one case is pending a final decision of the Chancellor's Office.
- Of the 14 quinquennials reviewed, the Chancellor's Office overruled CAP's recommendation on 3 cases. Of the 6 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 18-19 CAP Report

Of the 25 appointment files submitted for review in the 18-19 AY, one case was noted as pending a final decision and one case was pending resubmission in the 19-20 AY. The first case was considered by CAP and the candidate withdrew before the final decision was determined.

The second case was resubmitted in the 19-20 AY, the case 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 19-20 review year, CAP utilized an ad hoc committee for one career review case.

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 2019-20 AY, Shadow CAP reviewed 1 case. The 2019-20 Shadow CAP members were the following:

Jang-Ting Guo, Chair
Christine Chiarello
Ashok Mulchandani
Linda Walling
Georgia Warnke
Jory Yarmoff

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. Due to delays in processing normal merit and promotion files caused by the COVID-19 pandemic, the post-audit of assistant professor appointment files is scheduled to take place in the Fall quarter of the 20-21AY.

f. eFilePlus

CAP reviewed 378 of its 400 cases via the new eFilePlus system (94.5%) and 22 of its 400 cases via the Document Management System (5.5%).

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 2019-20 Dickson Emeritus Professorship, sent forward by the Committee on Faculty Welfare.
- Professor of the Graduate Division appointments: CAP reviewed four files for appointment/reappointment as Professor of the Graduate Division. Three cases were approved, and one was returned pending corrections.
- Request for Emeritus Status: CAP reviewed and endorsed one case to confer the title of Emeritus to non-senate faculty.
- Full Time Equivalent (FTE) Transfer of Appointment: CAP considered and provided recommendations on two requests to transfer an entire or a portion of a filled FTE appointment from one department to another.
- Pre-Emptive Retention Cases: CAP provided recommendations on one pre-emptive retention case.

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 are available from the Academic Senate Office.

b. CAP Review of Proposed Department Chair Appointments

CAP reviewed the proposed department chair appointments for the 2020-2021 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

Winston Chung Endowed Chair Professor in Sustainability
Ross Family Term Chair in Computer Science
Everett and Imogene Ross Term Chair in Computer Science
Amrik Singh Poonian Chair in Computer Science

Jacques S. Yeager Endowed Chair in Bioengineering
Ruel Johnson Endowed Chair reappointment in Environmental Engineering
UC Presidential Chair

BUSSINESS

A. Gary Anderson Family Foundation Presidential Chair
A. Gary Anderson Endowed Chair in Finance

CHASS

Campbell Endowed Term Chair in Psychology
Maimonides Endowed Chair in Jewish Studies

CNAS

Endowed Term Chair in Teaching, Research, Service

SoM

Bruce D. and Nancy B. Varner Presidential Chair in Cancer Research
Danial Hays Endowed Chair in Cancer Research

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 Provost and Executive Vice Chancellor position. CAP completed a “pre-read” on four Target of Excellence candidates (3 CHASS, 1 CNAS).

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:

- Automatic two-year reappointment of assistant professors who receive a negative outcome on merit review
- Irregularities in the processing of files
- Clarification on departures from departmental review procedures outlined in The CALL
- Clarification of the expectations and quantity of teaching for faculty within the different appointment series
- Ensuring a consistent and fair review of appointment files across campus
- Ensuring departments are identifying Target of Excellence candidates according to the criteria outlined in the campus policy

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:

- Continued discussion regarding CAP compensation, membership, and workload
- Continued discussion regarding personnel actions subsequent to Spring 2020 and

COVID-19 disruptions

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/2019-2020/>

Campus Review

- 2nd review. Provost's Taskforce for Hybrid and Online Education Final Report
- UCR Online Course Agreement (ILTI Agreement)
- Proposed Agreement. Resubmission-UCR Online Course Agreement (ILTI Agreement)
- Proposal to Eliminate Differences in Rate of Advance of Faculty Among Genders and Ethnicities
- Appendix 7 Transfer of Program. Transfer of the Bachelor of Science Degree in Business Administration to the School of Business
- Compendium Action. Establishment of Division of Undergraduate Education
- Campus Procedure(s). Implementation Procedures for the Health Sciences Compensation Plan (HSCP)
- Proposed Policy. Prohibition on Bullying and Abusive Conduct by Employees and Non-Affiliates
- Proposed Transition of Vice Provost for Administrative Resolution (VPAR) at UCR
- Proposal. New Title for Cooperative Extension (CE) Specialists
- Proposal to Extend COVID-19 Remote Instruction
- Consideration of Proposal for Suspension of iEval for Spring 2020
- Campus Five Year Planning Perspectives (2020-2025)
- CNAS FTE Rebalancing Request
- Endowed Chair Proposal. The Singletary Family Chair in Agriculture in CNAS
- Endowed Chair Proposal. Endowed Term Chair for Inclusive Excellence in CNAS
- Endowed Chair Proposal. The Bruce D. and Nancy B. Varner Presidential Endowed Chair in Cancer Research in SOM
- Endowed Chair Proposal. KA Endowed Chair in Electrical & Computer Engineering in BCOE
- Endowed Chair Proposal. Endowed Term Chair for Research Excellence and Undergraduate Research Mentoring (CHASS)
- Disestablishment of Endowed Chair. Disestablishment of the Early Career Chair in Urban Entomology (CNAS)

System-wide Review

- Proposed Revised Presidential Policy on Copyright Ownership
- Proposed Revisions to Academic Personnel Manual-Section 120, Emerita-Emeritus Titles
- Proposed APM Revision. Reconsideration of Changes Made to APM 120
- Proposed Revisions to Academic Personnel Manual-Sections 240 (Deans) and 246 (Administrators 100% Time)
- Proposed New Presidential Policy on Gender Recognition and Lived Name

b. CAP Representation at Systemwide Senate and the Executive Council

CAP continued its active participation on the systemwide University Committee on Academic Personnel. The 2019-20 CAP representative was Professor Howard Judelson. CAP Chair Sherryl Vint 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,

Sherryl Vint, Chair
Howard Judelson, Vice Chair
Walter Clark
Sean Cutler
Srikanth Krishnamurthy
Susan Ossman
David Pion-Berlin
Aman Ullah
Yinsheng Wang
Stephen Wimpenny

TABLE I: SUMMARY OF PROMOTIONS AND ADVANCEMENTS

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

Total Proposed: 34
 Total Approved by Chancellor: 34
 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
22	0	12	0	0	0	29	0	5	25	0	0	0	0	2	7	0	28	0	0	0	1	3	2

PROMOTIONS TO PROFESSOR & PROFESSOR OF TEACHING (SR. LSOE):

Total Proposed: 19
 Total Approved by Chancellor: 18 1 file pending final decision
 Approval % 95%

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	0	8	0	0	0	12	1	6	11	0	0	1	0	1	6	0	9	0	1	1	1	5	1

ADVANCEMENTS TO PROFESSOR VI & ABOVE-SCALE:

Total Proposed: 16
 Total Approved by Chancellor: 14
 Approval % 88%

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
10	0	6	0	0	0	14	0	2	12	0	1	0	0	0	1	2	12	2	0	0	0	1	1

Table II: SUMMARY OF MERIT ACTIONS*

Total Proposed: 254
 Total Approved by Chancellor: 212
 Approval % 83%

	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
109	Assistant Professor/ LPSOE	91	0	18	91	10	8	79	13	3	0	3	8	1	2	82	16	1	3	4	1	2
64	Associate Professor/ LSOE	39	1	24	54	4	6	31	11	0	0	7	8	2	5	35	11	0	6	6	1	5
63	Professor/ Sr. LSOE	38	2	23	59	1	3	38	13	3	0	1	4	3	1	44	11	0	0	4	1	3
18	within AS	16	0	2	18	0	0	8	2	1	1	6	0	0	0	5	4	2	7	0	0	0
254	Total Merits	184	3	67	222	15	17	156	39	7	1	17	20	6	8	166	42	3	16	14	3	10

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

*LPSOE = Assistant Professor of Teaching

*LSOE = Associate Professor of Teaching

*Sr. LSOE = Professor of Teaching

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 III: SUMMARY OF APPOINTMENTS

Total Proposed: 21
 Total Approved by Chancellor: 20 1 candidate withdrew
 Approval % 95%

Rank	Department 19-20 Actions	Dean		CAP		Chancellor	
		Yes	Other	Yes	Other	Yes	Other
Assistant Professors	4	4	0	4	0	4	0
Associate Professors	4	4	0	4	0	4	0
Professors	3	2	1	1	2	0	3
Assistant Professor of Teaching	4	4	0	4	0	4	0
Associate Professor of Teaching	2	2	0	2	0	1	0
Professor of Teaching	2	2	0	1	1	1	1
Clinical Professors	2	2	0	1	1	1	1
TOTAL APPOINTMENT ACTIONS	21	20	1	17	4	15	5

TABLE IV: MISCELLANEOUS ACTIONS

Appraisals:

Total Proposed: 27

Fifth-year Appraisals	Decision			
	Positive	Qualified	Negative	Split
CAP	17	4	2	4
EVC/Chancellor	18	8	1	0

Career Reviews:

Total Proposed: 3

- 1 Resulted in a merit of 1 step
- 1 Resulted in a promotion to full professor plus a merit of 2 steps
- 1 Pending a final decision of the Chancellor's Office

Quinquennial Reviews:

Total Proposed: 14

Quinquennials	Decision		At Barrier Step	
	Satisfactory	Unsatisfactory	Satis + o/s	Satis no o/s
CAP	5	4	4	1
EVC/Chancellor	3	5	6	0

Reappointment of Assistant Professor & Assistant Professor of Teaching (LPSOE):

Total Proposed: 12

Reappointments	Decision	
	Yes	No
CAP	12	0
EVC/Chancellor	12	0

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/Retention	Appointment
CHASS	20	7
CNAS	16	1
BCOE	12	1
BUSINESS	0	1
GSOE	1	2
SoM	0	1
SPP	2	0
Totals	51	13

Total o/scales awarded = 64