

**COMMITTEE ON ACADEMIC PERSONNEL  
ANNUAL REPORT  
2018-2019**

**TO THE MERCED DIVISION OF THE ACADEMIC SENATE:**

The Committee on Academic Personnel (CAP) is pleased to report on its activities for the Academic Year 2018-2019.

**I. CAP Membership**

This year the CAP membership included five members from UCM and four external members. The UCM members were Ignacio López-Calvo, Chair (School of Social Sciences, Humanities, and Arts), Nella Van Dyke, Vice Chair (School of Social Sciences, Humanities, and Arts), Heather Bortfeld (School of Social Sciences, Humanities, and Arts), David F. Kelley (School of Natural Sciences), and Ashlie Martini (School of Engineering). The external members were Philip Roeder (UCSD, Political Science), Charles Glabe (UCI, Biology), Reza Abbaschian (UCR, Materials Science and Engineering), and Parama Roy (UCD, English Literature).

The CAP analyst this year was Simrin Takhar.

**II. CAP Review of Academic Personnel Cases**

CAP is charged with making recommendations on all Senate faculty appointments and academic advancements, including merit actions, promotions to tenure, promotions to Professor, and advancements across the barrier steps Professor V to VI and Professor IX to Above Scale. CAP however, does not review appointment cases at Assistant Professor III and below, or short-form advancement cases at any rank. These two actions are handled at the unit/dean level, unless there is a disagreement between the department faculty and the dean, in which case, the file in question is reviewed by CAP as an independent body.

**Policies and Procedures**

CAP adheres to systemwide policies and procedures as described in the UC Academic Personnel Manual ([APM](#)). Policies and procedures not outlined in the APM, but practiced at other UC campuses, were generally observed at Merced.

The Merced Academic Personnel Policies & Procedures ([MAPP](#)) document is also a useful resource for faculty members, administrators and department chairs. The MAPP is an evolving resource. The Academic Personnel Office (APO) issues to the campus any proposed revisions to the MAPP usually on an annual basis. These proposed revisions also undergo Senate review, by all Senate committees, including CAP.

**Review Process**

CAP's review process begins when the committee receives files from APO, where they have been analyzed, vetted, and classified to facilitate further, efficient processing. The cases, as well as reviewer assignments, are distributed to the committee one week prior to CAP's meeting and ensuing discussion of the files. CAP typically reviews fewer cases in the Fall and many more in the Spring. One lead reviewer and one secondary reviewer are assigned to report on each case; however, all members are expected to read and discuss the files. Reviewer assignments are made according to members' areas of expertise.

Reviewers serve not as advocates of their areas, but as representatives who act in the best long-term interests of the campus. Committee members who participate in a prior level of review for a file are recused from CAP's respective review of the file.

CAP convenes for two-hour teleconference meetings on Friday mornings. Reports from the primary and secondary readers on each case are followed by a thorough committee discussion, as well as a vote on the proposed action. CAP's quorum for all personnel actions is half plus one of its membership. On rare occasions, a vote on a case is deferred and the file is returned for further information or clarification. After the meeting, the CAP analyst and Chair prepare draft reports on the dossiers. These are then distributed to the committee for review, consultation, and approval. The final version of the report is sent as a letter to the Executive Vice Chancellor/Provost (EVC) and to the Vice Provost for the Faculty (VPF). If the EVC determines that no further deliberation is necessary, the substance of CAP's report and those of other levels of review are summarized by Academic Personnel in a letter that is transmitted to the dean of the candidate's school.

For the vast majority of the cases, the above process ends CAP's review of the file. The EVC communicates with CAP to discuss any disagreements with CAP's recommendation on particular cases.

Throughout the UC system, certain categories of academic personnel cases, for example, appointment at tenure or promotion to tenure, sometimes require an additional formal review of the dossier and supplemental materials by an *ad hoc* committee of experts. In most cases, CAP makes the request for this *ad hoc* review, especially in instances where CAP lacks sufficient expertise in the faculty member's research area or when there are ambiguities in the case file. The *ad hoc* committee is appointed by the Chancellor or the Chancellor's designate and its report is included in the materials submitted to CAP; the identity of the committee members is known only to CAP and the Chancellor or the Chancellor's designate. These *ad hoc* committees generally involve external (UC) experts.

### **Recommendations**

Appendix A provides a simple numerical summary and analysis of the CAP caseload for the 2018-2019 academic year. CAP reviewed a total of 74 cases during the year compared to 95 the year prior. The committee agreed with the School recommendations without modification on 62 (84%) of the reviewed cases (see Table 2). For 5 other cases, CAP voted against the recommendation. For 7 cases, CAP recommended a modification of the proposed action from the department or dean (e.g., a higher or lower step or a higher or lower mid-career appraisal rating).

Tables 1A – 1F detail caseloads and their respective outcomes according to the proposed personnel actions. Table 2 provides aggregate recommendations by the academic units.

CAP recommendations are transmitted to the EVC for a final level of review and approval. On rare occasions, the EVC goes against CAP's recommendation, whereupon, he meets with CAP to discuss his decision to overturn the committee's recommendation. This year, the EVC overturned two CAP recommendations and the Chancellor overturned one CAP recommendation.

### **III. General Comments Regarding the Submission of Personnel Cases**

CAP submitted a memo to the EVC regarding the interpretation of APM 245 (Appointment and Promotion of Chairs). This memo resulted from discussions between the committee and the EVC during

the academic year on standards applied to UC Merced faculty and standards applied on the other nine UC campuses.

#### **IV. Counsel to EVC/Provost and VPF**

The CAP Chair briefly discusses each week's cases, after CAP has voted on its recommendation, with the EVC and VPF. These discussions mostly focus on individual cases.

#### **V. Academic Personnel Meetings**

##### **Fall Meeting**

As is tradition at UCM, the EVC and the VPF requested CAP's presence at a fall academic personnel meeting. The meeting, held on October 18, 2018 was also attended by faculty and administrators. CAP was represented by Chair Ignacio López-Calvo, Vice Chair Nella Van Dyke, and members Heather Bortfeld and David F. Kelley. The committee participated in two discussion sessions. The morning session was held with Assistant Professors, LPSOEs, and Academic Personnel. This session began with a brief introduction to the academic personnel review process and proceeded to a question-and-answer period. The afternoon session included all faculty (tenured and non-tenured), CAP members, EVC, VPF, Department Chairs, and Academic Personnel. Detailed minutes from both sessions are available in the Senate office. Significant discussion items raised by faculty concerned criteria for promotion, the evaluation of teaching, and extramural funding success.

#### **VI. Academic Senate Review Items**

The Division Council transmitted to CAP various campus and systemwide proposals and documents for review. The EVC and VPF did not distribute proposed revisions to the MAPP for campus review this year.

#### **VII. Acknowledgments**

CAP would like to acknowledge its working relationship with EVC/Provost Gregg Camfield and VPF Teenie Matlock. The committee would also like to acknowledge APO, the Deans, the Department Chairs, and the AP staff in each school for their dedication to excellence in the personnel review process at UC Merced, as well as the Senate analyst who supports CAP.

Respectfully,

Ignacio López-Calvo, Chair (UCM)  
Nella Van Dyke, Vice Chair (UCM)  
Heather Bortfeld (UCM)  
David F. Kelley (UCM)  
Ashlie Martini (UCM)  
Philip G. Roeder (UCSD)  
Charles Glabe (UCI)  
Reza Abbaschian (UCR)  
Parama Roy (UCD)

**APPENDIX A**

**2018-2019 COMMITTEE ON ACADEMIC PERSONNEL  
TABLES 1A-1F FINAL RECOMMENDATIONS BY ACTION TYPE**

	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
<b>TOTAL PERSONNEL CASES</b>	<b>62</b>	<b>7</b>	<b>5</b>	<b>0</b>	<b>74</b>

TABLE 1A APPOINTMENTS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Professor	1	0	0	0	<b>1</b>
Associate Professor	3	0	0	0	<b>3</b>
Professor	2	3	0	0	<b>5</b>
Lecturer Series (LPSOE/LSOE)	3	0	0	0	<b>3</b>
Endowed Chairs	5	0	1	0	<b>6</b>
<b>Total</b>	<b>14</b>	<b>3</b>	<b>1</b>	<b>0</b>	<b>18</b>
% CAP Agreed with Proposal					<b>78</b>
% CAP Agreed or Modified Proposal					<b>94</b>

TABLE 1B PROMOTIONS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Associate Professor	11	0	1	0	<b>12</b>
Professor	9	0	2	0	<b>11</b>
Professor VI	0	0	0	0	<b>0</b>
Above Scale	0	0	0	0	<b>0</b>
LSOE	2	0	0	0	<b>2</b>
<b>Total</b>	<b>22</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>25</b>
% CAP Agreed with Proposal					<b>88</b>
% CAP Agreed or Modified Proposal					<b>88</b>

TABLE 1C Advancements/Merits	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
LPSOE/LSOE	4	0	0	0	<b>4</b>
Assistant	1	1	0	0	<b>2</b>
Associate Professor	10	0	1	0	<b>11</b>
Professor	4	1	0	0	<b>5</b>
<b>Total</b>	<b>19</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>22</b>
% CAP Agreed with Proposal					<b>86</b>
% CAP Agreed or Modified Proposal					<b>95</b>

<b>TABLE 1D MID-CAREER APPRAISAL ONLY</b>	<b>CAP Recommendation</b>				<b>TOTAL</b>
	<b>Agreed</b>	<b>Modification</b>	<b>Disagreed</b>	<b>Pending</b>	
LPSOE and Assistant Professor	5	3	0	0	8
<b>Total</b>	<b>5</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>8</b>
% CAP Agreed with Proposal					63
% CAP Agreed or Modified Proposal					100

<b>TABLE 1E REAPPOINTMENTS</b>	<b>CAP Recommendation</b>				<b>TOTAL</b>
	<b>Agreed</b>	<b>Modification</b>	<b>Disagreed</b>	<b>Pending</b>	
Assistant	0	0	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
% CAP Agreed with Proposal					0
% CAP Agreed or Modified Proposal					0

<b>TABLE 1F OTHER</b>	<b>CAP Recommendation</b>				<b>TOTAL</b>
	<b>Agreed</b>	<b>Modification</b>	<b>Disagreed</b>	<b>Pending</b>	
Assistant	0	0	0	0	0
Associate ( <b>Career Equity Review</b> )	1	0	0	0	1
Professor	0	0	0	0	0
<b>Total</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
% CAP Agreed with Proposal					100
% CAP Agreed or Modified Proposal					100

**TABLE 2**  
**FINAL RECOMMENDATIONS ON SCHOOL PROPOSALS**  
**2018-2019**

School	Number Proposed	CAP Recommendation					% CAP agreed w/unit without modification	% CAP agreed w/unit or modified up or down
		Agree	Modify-Up	Modify-Down	Disagree	Pending		
<b>Engineering</b>	<b>10</b>	10	0	0	0	0	100	100
<b>(MCA)</b>	<b>0</b>							
<b>Natural Sciences</b>	<b>25</b>	19	1	3	2	0	76	92
<b>(MCA)</b>	<b>6</b>							
<b>Social Sciences, Humanities, and Arts</b>	<b>39</b>	33	0	3	3	0	85	92
<b>(MCA)</b>	<b>2</b>							
<b>TOTALS</b>	<b>74</b>	<b>62</b>	<b>1</b>	<b>6</b>	<b>5</b>	<b>0</b>	<b>84</b>	<b>93</b>
<b>(MCA)</b>	<b>8</b>							

**TABLE 3  
CASES REVIEWED BY CAP 2005-2019**

	<b>2005-2006</b>	<b>2006-2007</b>	<b>2007-2008</b>	<b>2008-2009</b>
<b>Total Cases</b>	<b>61</b>	<b>56</b>	<b>82</b>	<b>61</b>
<b>Total Appointments</b>	<b>43</b>	<b>32</b>	<b>45</b>	<b>22</b>
<b>Total Promotions</b>	<b>3</b>	<b>2</b>	<b>2</b>	<b>3</b>
<b>Total Merit Increases</b>	<b>14</b>	<b>22</b>	<b>35</b>	<b>33</b>
<b>Total Other</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>3</b>

	<b>2009-2010</b>	<b>2010-2011</b>	<b>2011-2012</b>	<b>2012-2013</b>
<b>Total Cases</b>	<b>63</b>	<b>96</b>	<b>90</b>	<b>98</b>
<b>Total Appointments</b>	<b>13</b>	<b>34</b>	<b>33</b>	<b>30</b>
<b>Total Promotions</b>	<b>10</b>	<b>17</b>	<b>18</b>	<b>13</b>
<b>Total Merit Increases</b>	<b>40</b>	<b>39</b>	<b>38</b>	<b>47</b>
<b>Total Other</b>	<b>0</b>	<b>6</b>	<b>1</b>	<b>0</b>

	<b>2013-2104</b>	<b>2014-2015</b>	<b>2015-2016</b>
<b>Total Cases</b>	<b>128*</b>	<b>92</b>	<b>148</b>
<b>Total Appointments</b>	<b>50</b>	<b>16</b>	<b>38</b>
<b>Total Promotions</b>	<b>16</b>	<b>16</b>	<b>22</b>
<b>Total Merit Increases</b>	<b>58</b>	<b>57</b>	<b>87</b>
<b>Total Other</b>	<b>4</b> 1 MCA only 3 reappointments  *1 case pending	<b>3 reappointments</b>	<b>1 reappointment</b>

	<b>2016-2017</b>	<b>2017-2018</b>
<b>Total Cases</b>	<b>105</b>	<b>95</b>
<b>Total Appointments</b>	<b>20</b>	<b>10</b>
<b>Total Promotions</b>	<b>20</b>	<b>26</b>
<b>Total Merit Increases</b>	<b>59</b>	<b>30</b>
<b>Total Other</b>	<b>6</b> 4 MCA only 2 Endowed Chair reappointments	<b>29</b> 26 MCA only 2 reappointments 1 Performance Improvement Plan review

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	<b>2018-2019</b>
<b>Total Cases</b>	<b>74</b>
<b>Total Appointments</b>	<b>18</b>
<b>Total Promotions</b>	<b>25</b>
<b>Total Advancements/Merits</b>	<b>22</b>
<b>Total Mid-Career Appraisals</b>	<b>8</b>
<b>Total Other (Career Equity Review)</b>	<b>1</b>