

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT
2019-2020**

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 2019-2020.

I. CAP Membership

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

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 or advancement cases at Assistant Professor III and below, appointment or advancement cases at Assistant Teaching Professor III and below, short-form advancement cases at any rank, or appointment cases for Assistant Adjunct Professors steps I – VI. These actions are handled at the department/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/Provost) and to the Vice Provost for the Faculty (VPF). If the EVC/Provost 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/Provost and VPF communicate with CAP to discuss any disagreements with CAP's recommendation on particular cases. In spring semester, CAP was notified that the interim Chancellor formally delegated to the VPF the administrative authority to make final decisions on the following cases: Professor series reappointments and advancements (exceptions: Professor VI and Above Scale); mid-career appraisals (actions already delegated to the deans are excluded); and Professor series appointments at the levels of Assistant Professor IV-VI.

Recommendations

Appendix A provides a simple numerical summary and analysis of the CAP caseload for the 2019-2020 academic year. CAP reviewed a total of 77 cases during the year compared to 74 the year prior. The committee agreed with the School recommendations without modification on 55 (71%) of the reviewed cases (see Table 2). For 6 other cases, CAP voted against the recommendation. For 15 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/Provost and VPF for a final level of review and approval. On rare occasions, the EVC/Provost or VPF go against CAP's recommendation, whereupon, he/she is expected to meet with CAP to discuss his/her decision to overturn the committee's recommendation. This year, the EVC/Provost or VPF overturned 2 CAP recommendations.

III. CAP Communications

In spring semester, CAP issued a memo to the Senate faculty regarding the impact of the COVID-19 pandemic on research productivity. The memo encouraged departmental personnel committees, chairs, and deans of the need to take impacts of the required adjustments into account when reviewing future personnel cases that include the activities of the spring 2020 semester (or possibly beyond, depending upon the duration of significant virus-related disruptions). The memo also assured faculty that CAP intends to take these difficulties into account when reviewing faculty personnel cases that cover the time

period impacted by the virus (a length of time as yet unknown). CAP recommended that faculty explain negative impacts when preparing self-statements in the future and potentially note these on CVs as well.

CAP also sent a memo to the EVC/Provost requesting he abide by [MAPP 2014](#) - Preparation of the Case Review File - Section L "Higher levels of review" which states "Should the EVC/Provost disagree with CAP's recommendation, he or she will consult with CAP before issuing a final decision."

Over the course of the 2019-20 academic year, CAP identified a number of sections of the Merced Academic Personnel Policies and Procedures (MAPP) manual that could use some revision. At the end of the year, CAP submitted a memo to the Provost and Vice Provost of Faculty describing changes we recommend for their consideration as they work with the Academic Personnel Office to revise the MAPP.

IV. Counsel to EVC/Provost and VPF

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

V. Academic Personnel Meetings

Fall Meeting

As is tradition at UCM, the EVC/Provost and the VPF requested CAP's presence at a fall academic personnel meeting. The meeting, held on October 9, 2019 was also attended by Senate faculty and administrators. CAP was represented by Vice Chair David F. Kelley and members Heather Bortfeld, Ashlie Martini, and Manuel Martín-Rodríguez. The committee participated in two discussion sessions. The morning session was held with Assistant Professors, Assistant Teaching Professors, 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 Senate faculty (tenured and non-tenured), CAP members, EVC/Provost, VPF, Department Chairs, and Academic Personnel. Detailed minutes from both sessions are available from the CAP analyst. 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/Provost 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,

Nella Van Dyke, Chair (UCM)
David F. Kelley, Vice Chair (UCM)
Heather Bortfeld (UCM)

Ashlie Martini (UCM)
Manuel Martín-Rodríguez (UCM)
Philip G. Roeder (UCSD)
Charles Glabe (UCI)
Reza Abbaschian (UCR)
Michael Saler (UCD)

APPENDIX A

**2019-2020 COMMITTEE ON ACADEMIC PERSONNEL
TABLES 1A-1F FINAL RECOMMENDATIONS BY ACTION TYPE**

	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
TOTAL PERSONNEL CASES	55	15	6	1	77

TABLE 1A APPOINTMENTS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Professor	2	1	1	0	4
Associate Professor	4	0	0	0	4
Professor (includes 2 Endowed Chairs)	4	2	0	0	6
Teaching Professor	1	0	0	0	1
Total	11	3	1	0	15
% CAP Agreed with Proposal					73
% CAP Agreed or Modified Proposal					93

TABLE 1B PROMOTIONS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Associate Professor	9	6	0	0	15
Associate Teaching Professor	2	1	0	0	3
Professor	5	0	0	1	6
Professor VI	1	0	0	0	1
Above Scale	0	0	0	0	0
Teaching Professor	1	0	0	0	1
Total	18	7	0	1	26
% CAP Agreed with Proposal					69
% CAP Agreed or Modified Proposal					96

TABLE 1C Advancements/Merits	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Professor	4	2	0	0	6
Associate Professor*	6	0	2	0	8
Associate Teaching Professor	1	0	0	0	1
Professor	2	2	1	0	5
Teaching Professor	0	0	1	0	1
Total	13	4	4	0	21
% CAP Agreed with Proposal					62
% CAP Agreed or Modified Proposal					81

*Includes a Performance Improvement Plan Review

	CAP Recommendation				
TABLE 1D MID-CAREER APPRAISALS	Agreed	Modification	Disagreed	Pending	TOTAL
Assistant Professor	11	1	0	0	12
Total	11	1	0	0	12
% CAP Agreed with Proposal					92
% CAP Agreed or Modified Proposal					100

	CAP Recommendation				
TABLE 1E REAPPOINTMENTS	Agreed	Modification	Disagreed	Pending	TOTAL
Assistant Professor	2	0	0	0	2
Total	2	0	0	0	2
% CAP Agreed with Proposal					100
% CAP Agreed or Modified Proposal					100

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

TABLE 2
FINAL RECOMMENDATIONS ON SCHOOL PROPOSALS
2019-2020

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		
Engineering	26	17	3	1	4	1	65	81
(MCA)	4							
Natural Sciences	21	16	0	4	1	0	76	95
(MCA)	7							
Social Sciences, Humanities, and Arts	30	22	2	5	1	0	73	97
(MCA)	1							
TOTALS	77	55	5	10	6	1	71	91
(MCA)	12							

**TABLE 3
CASES REVIEWED BY CAP 2005-2020**

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

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

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

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

	2018-2019	2019-2020
Total Cases	74	77
Total Appointments	18	15
Total Reappointments	0	2
Total Promotions	25	26
Total Advancements/Merits	22	21
Total Mid-Career Appraisals	8	12
Total Other	1 (Career Equity Review)	1 (Career Equity Review)