

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT
2021-2022**

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 2021-2022.

I. CAP Membership

This year, the CAP membership included eight members from UCM and two external members. The UCM members were Ramesh Balasubramaniam, Chair (School of Social Sciences, Humanities, and Arts); Sayantani Ghosh, Vice Chair (School of Natural Sciences); Manuel Martín-Rodríguez (School of Social Sciences, Humanities, and Arts); Peggy O'Day (School of Natural Sciences), Kathleen Hull (School of Social Sciences, Humanities, and Arts); Nancy Burke (School of Social Sciences, Humanities, and Arts); Michele Nishiguchi (School of Natural Sciences); and Mukesh Singhal (School of Engineering). The external members were Michael Saler (UCD, History) and Reza Abbaschian (UCR, Mechanical Engineering).

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, or if there is a proposed acceleration; in these situations, 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 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 members also recused according to reasons listed in the committee's [conflict of interest statement/recusal policy](#) and if they collaborated with the faculty member under review within the past five years.

CAP convened for two-hour teleconference meetings on Friday afternoons. 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 Academic Personnel (VPAP). 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 majority of cases, the above process ends CAP's review of the file. The EVC/Provost and VPAP communicate with CAP to discuss any disagreements with CAP's recommendation on specific cases.

Recommendations

Appendix A provides a simple numerical summary and analysis of the CAP caseload for the 2021-2022 academic year. CAP reviewed a total of 80 cases during the year compared to 102 the year prior. The committee agreed with the School recommendations without modification on 62 (78%) of the reviewed cases (see Table 2). For 6 other cases, CAP voted against the recommendation. For 12 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 – 1E 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 VPAP for a final level of review and approval. If the EVC/Provost or VPAP disagree with CAP's recommendation, he or she meets with CAP to discuss his or her decision to disagree with the committee's recommendation. This year, the EVC/Provost or VPAP disagreed with one of CAP's recommendations and modified four other recommendations.

III. CAP Communications

In fall 2021, CAP drafted an FAQ document that addressed issues that CAP repeatedly encounters or that can be sources of confusion. The FAQ was not meant to be comprehensive and will be updated periodically. The FAQ was distributed to Divisional Council, School Executive Committee chairs, and department chairs and was posted on the CAP webpage of the Academic Senate website.

IV. Counsel to EVC/Provost and VPAP

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

V. Academic Personnel Meetings

Fall Workshops

On August 30, 2021, the VPAP and CAP chair co-hosted a workshop with department chairs entitled "Academic Review 101". Significant discussion items raised by faculty concerned criteria for advancement and promotion, and the impact of the COVID-19 pandemic on faculty productivity.

VI. Academic Senate Review Items

The Divisional Council transmitted to CAP various campus and systemwide proposals and documents for review including proposed revisions to APM 759 (Leaves of Absence/Other Leaves Without Pay), the revised Presidential Policy on Sexual Violence and Sexual Harassment, and the School of Engineering Committee's request for lecturer and adjunct remote lectures.

VII. Acknowledgments

CAP would like to acknowledge its working relationship with EVC/Provost Gregg Camfield and VPAP 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,

Ramesh Balasubramaniam, Chair (UCM)

Sayantani Ghosh, Vice Chair (UCM)

Manuel Martín-Rodríguez (UCM)

Peggy O'Day (UCM)

Kathleen Hull (UCM)

Nancy Burke (UCM)

Michele Nishiguchi (UCM)

Mukesh Singhal (UCM)

Michael Saler (UCD)

Reza Abbaschian (UCR)

APPENDIX A

**2021-2022 COMMITTEE ON ACADEMIC PERSONNEL
TABLES 1A-1F FINAL RECOMMENDATIONS BY ACTION TYPE**

	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
TOTAL PERSONNEL CASES	62	12	6	0	80

TABLE 1A APPOINTMENTS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Professor	0	0	0	0	0
Associate Professor	3	0	0	0	3
Professor (3 Endowed Chairs)	3	1	0	0	4
Adjunct Professor	1	0	0	0	1
Teaching Professor	0	0	0	0	0
Total	7	1	0	0	8
% CAP Agreed with Proposal					88
% CAP Agreed or Modified Proposal					100

TABLE 1B PROMOTIONS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Associate Professor	9	0	0	0	9
Associate Teaching Professor	0	1	0	0	1
Professor	8	2	0	0	10
Adjunct Professor	1	0	0	0	1
Total	18	3	0	0	21
% CAP Agreed with Proposal					86
% CAP Agreed or Modified Proposal					100

TABLE 1C Advancements/Merits	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Professor	1	2	1	0	4
Assistant Teaching Professor	1	0	0	0	1
Associate Professor	5	1	2	0	8
Associate Teaching Professor	1	0	0	0	1
Adjunct Associate Professor	1	0	0	0	1
Professor (2 Quinquennial Reviews)	13	0	3	0	16
Teaching Professor	0	1	0	0	1
Professor VI	1	0	0	0	1
Professor Above Scale	1	0	0	0	1
Total	24	4	6	0	34
% CAP Agreed with Proposal					71
% CAP Agreed or Modified Proposal					82

	CAP Recommendation				
TABLE 1D MID-CAREER APPRAISALS	Agreed	Modification	Disagreed	Pending	TOTAL
Assistant Professor	12	4	0	0	16
Total	12	4	0	0	16
% CAP Agreed with Proposal					75
% CAP Agreed or Modified Proposal					100

	CAP Recommendation				
TABLE 1E OTHER	Agreed	Modification	Disagreed	Pending	TOTAL
Professor (Career Equity Review)	1	0	0	0	1
Total	1	0	0	0	1
% CAP Agreed with Proposal					100
% CAP Agreed or Modified Proposal					100

TABLE 2
FINAL RECOMMENDATIONS ON SCHOOL PROPOSALS
2021-2022

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	16	14	0	1	1	0	88	94
(MCA)	2							
Natural Sciences	19	17	0	2	0	0	89	100
(MCA)	5							
Social Sciences, Humanities, and Arts	45	31	2	7	5	0	69	89
(MCA)	9							
TOTALS	80	62	2	10	6	0	78	93
(MCA)	16							

**TABLE 3
CASES REVIEWED BY CAP 2005-2022**

	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	2020-2021
Total Cases	74	77	102
Total Appointments	18	15	10
Total Reappointments	0	2	1
Total Promotions	25	26	32
Total Advancements/Merits	22	21	35
Total Mid-Career Appraisals	8	12	22
Total Other	1 (Career Equity Review)	1 (Career Equity Review)	2 (Performance Improvement Plan, Career Equity Review)

	2021-2022
Total Cases	80
Total Appointments	8
Total Reappointments	0
Total Promotions	21
Total Advancements/Merits	34
Total Mid-Career Appraisals	16
Total Other	1 (Career Equity Review)