

**COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT
2023-2024**

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 2023-2024.

I. CAP Membership

This year, the CAP membership included eight members from UCM and one external member. The UCM members were Sean Malloy, Chair (School of Social Sciences, Humanities, and Arts); Miriam Barlow, Vice Chair (School of Natural Sciences); Irene Yen (School of Social Sciences, Humanities, and Arts); Ajay Gopinathan (School of Natural Sciences); Michael Dawson (School of Natural Sciences); Wei-Chun Chin (School of Engineering); Miguel Carreira-Perpiñán (School of Engineering); Cristián Ricci (School of Social Sciences, Humanities, and Arts); and Baki Tezcan (History, UCD).

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, CAP's report and those of other levels of review are 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 2023-2024 academic year. CAP reviewed a total of 100 cases during the year, the same number as the year prior. The committee agreed with the School recommendations without modification on 64 (64%) of the reviewed cases (see Table 2). For 6 other cases, CAP voted against the recommendation. For 29 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 1 of CAP's recommendations. For 3 other cases, the EVC/Provost or VPAP agreed with CAP's recommendation but with a modified step.

III. CAP Communications

CAP issued a memo to the Chancellor and EVC/Provost on April 1, 2024 (also shared with the Senate Chair and the VPAP) about the fact that CAP had not received any cases for review from one of the Schools for the academic year 2023-2024 as of that date. While CAP understands the complexities of processing personnel cases within such a large and diverse school, this unprecedented delay not only complicates CAP's work but also potentially jeopardizes the ability of candidates to have their actions decided by the end of the academic year. It is not ideal for either the committee or the candidates to have rushed consideration of a raft of personnel cases in the closing weeks of the semester. Maintaining the integrity of the personnel process is crucial to both individual faculty members and the university's reputation as it strives to reach R1 status. Systematic delays in getting cases to CAP undeniably

complicate that process. CAP strongly urged the campus leadership to encourage School leadership to work with department chairs and APO and, if necessary, with higher-level administrators to clear the apparently systemic roadblocks that have led to this situation in recent years.

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

Workshops

At the VPAP's invitation, this year the CAP chair and vice chair participated in two department chair meetings.

VI. Academic Senate Review Items

The Divisional Council transmitted to CAP various campus and systemwide proposals and documents for review including

VII. Acknowledgments

CAP would like to acknowledge its working relationship with former Interim EVC/Provost Marjorie Zatz, EVC/Provost Betsy Dumont, and VPAP Tom Hansford. 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 whose invaluable work and expertise makes possible CAP's work.

Respectfully,

Sean Malloy, Chair (UCM)
Miriam Barlow, Vice Chair (UCM)
Irene Yen (UCM)
Ajay Gopinathan (UCM)
Michael Dawson (UCM)
Wei-Chun Chin (UCM)
Miguel Carreira-Perpiñán (UCM)
Cristián Ricci (UCM)
Baki Tezcan (UCD)

APPENDIX A

**2023-2024 COMMITTEE ON ACADEMIC PERSONNEL
TABLES 1A-1E FINAL RECOMMENDATIONS BY ACTION TYPE**

	CAP Recommendation				Pending	TOTAL
	Agreed	Modification	Disagreed	No Recommendation		
TOTAL PERSONNEL CASES	64	29	6	1	0	100

TABLE 1A APPOINTMENTS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Teaching Professor	1	0	0	0	1
Associate Professor	0	1	0	0	1
Professor	0	1	0	0	1
Teaching Professor (Full)	2	1	0	0	3
Total	3	3	0	0	6
% CAP Agreed with Proposal					50
% CAP Agreed or Modified Proposal					100

TABLE 1B RE-APPOINTMENTS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Professor (Endowed Chair)	1	0	0	0	1
Total	1	0	0	0	1
% CAP Agreed with Proposal					100
% CAP Agreed or Modified Proposal					100

TABLE 1C PROMOTIONS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Associate Professor	10	6	1	0	17
Associate Teaching Professor	1	0	0	0	1
Professor	6	0	0	0	6
Total	17	6	1	0	24
% CAP Agreed with Proposal					71
% CAP Agreed or Modified Proposal					96

TABLE 1D Advancements/Merits	CAP Recommendation					TOTAL
	Agreed	Modification	Disagreed	No Recommendation	Pending	
Assistant Professor	2	2	1	0	0	5
Assistant Teaching Professor	0	1	0	0	0	1
Associate Professor	11	1	2	1	0	15
Associate Teaching Professor	2	0	0	0	0	2
Professor (includes 2 Career Equity Reviews)	6	5	2	0	0	13
Adjunct Professor	2	0	0	0	0	2
Professor VI (includes 1 Career Equity Review)	3	2	0	0	0	5
Total	26	11	5	1	0	43
% CAP Agreed with Proposal						60
% CAP Agreed or Modified Proposal						86

TABLE 1E MID-CAREER APPRAISALS	CAP Recommendation				TOTAL
	Agreed	Modification	Disagreed	Pending	
Assistant Professor	16	9	0	0	25
Assistant Teaching Professor	1	0	0	0	1
Total	17	9	0	0	26
% CAP Agreed with Proposal					65
% CAP Agreed or Modified Proposal					100

TABLE 2
FINAL RECOMMENDATIONS ON SCHOOL/UNIT PROPOSALS
2023-2024

School/Unit	Number Proposed	CAP Recommendation						% CAP agreed w/dept. without modification	% CAP agreed w/dept. or modified up or down
		Agree	Modify-Up	Modify-Down	Disagree	No Recommendation	Pending		
Engineering	26	16	0	8	2	0	0	62	92
(MCA)	6								
Natural Sciences	32	23	0	8	0	1	0	72	97
(MCA)	8								
Social Sciences, Humanities, and Arts	42	25	0	13	4	0	0	59	90
(MCA)	12								
TOTALS	100	64	0	29	6	1	0	64	93
(MCA)	26								

**TABLE 3
CASES REVIEWED BY CAP 2005-2024**

	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	2022-2023	2023-2024
Total Cases	80	100	100
Total Appointments	8	13	6
Total Reappointments	0	3	1
Total Promotions	21	28	24
Total Advancements/Merits	34	31	43
Total Mid-Career Appraisals	16	15	26
Total Other	1 (Career Equity Review)	10 (Career Equity Reviews, Quinquennial Reviews, Emeritus Status – Associate Librarian)	0