ANNUAL REPORT
COMMITTEE ON ACADEMIC PERSONNEL – OVERSIGHT COMMITTEE
2015-16

The Committee on Academic Personnel – Oversight Committee (CAP) advises the Vice Provost for Academic Affairs on matters that affect the personnel process. These include appointments, promotions, merits, high-level merit actions, third-year deferrals, five year reviews, and appraisals. CAP also recommends membership on ad hoc committees when necessary, with these appointments made by the Vice Provost. The agenda for CAP actions is determined by a list that prioritizes appointments and tenure cases. Appendix A provides a summary of CAP’s deliberations by category for the past academic year.

Academic Personnel Actions: During the 2015-16 academic year, CAP met 44 times and considered over 450 agenda items. The committee provided advice on numerous issues related to academic personnel. These included 10 ‘Change-of-Title’ actions, 14 Endowed Chair actions, 3 Third-Year Deferrals, 12 Five-Year Reviews, 4 Emeritus Status actions, and 11 appointments or reappointments as Department Chair. CAP also evaluated 3 Initial Continuing Appointments for Lecturers. Of the 484 academic personnel actions, the Vice Provost—Academic Affairs disagreed with CAP’s recommendation 41 times (about 8.5%). In most of these cases, CAP’s recommendation included majority and minority votes.

Overall, both CAP and the FPCs made negative recommendations in fewer than 15% of the cases. This reflects the high-quality of research and teaching that is performed by the vast majority of the faculty at UC Davis.

Step Plus Implementation: The 2015-2016 academic year was the second year of Step Plus implementation for all Academic Senate titles. The Step Plus system was designed to allow evaluations to be done in a more timely and efficient manner, to reward faculty for outstanding performance in teaching and service in addition to research, and to eliminate the need for faculty to specifically request greater than normal advancement.

Appendix D provides a summary of CAP’s recommendations on non-redelegated Step Plus promotion cases. CAP reviewed a total of 101 Step Plus promotions during the 2015-16 academic year. CAP recommended an additional 0.5 step or an additional 1.0 step promotion above and beyond FPC and department recommendations for 59% of the cases (N = 59). CAP did not recommend an additional 0.5 step or an additional 1.0 step promotion beyond the proposed 1.0 step recommendation from the department for 30% of the cases (N = 30). CAP did not recommend promotion for 11% of the cases (N = 11).

Appendix E provides a summary of CAP’s recommendations for non-redelegated Step Plus merit cases. CAP reviewed a total of 156 Step Plus merits during the 2015-16 academic year. CAP recommended an additional 0.5 step or an additional 1.0 step merit for 67% of the cases (N = 105). CAP did not recommend an additional 0.5 step or an additional 1.0 step merit beyond the proposed 1.0 step recommendation from the department for 19% of the cases (N = 29). CAP did not recommend a merit advancement for 14% of the cases (N = 22).

Step 6 Merit Actions: CAP continues to experience difficulties with some cases for advancement to Professor, Step 6. The requirement for outside letters was discontinued for the 2014-15 academic year. However, Step 6 is still a barrier step and is subject to the criteria set forth in APM 220-18.b.4 and UCD-APM 220.IV.C.4a. In the absence of outside letters, department letters should be very clear in addressing the Step 6 criteria, and should provide the type of information that was previously gathered from outside letters. Department Chairs should reference the standards for research, teaching and service as described in the APM. CAP notes that such information was largely absent from the Department Chair and Deans’ letters this year, suggesting that Step 6 is being regarded as a normal advancement rather than a barrier step.
**CAP will continue to return dossiers that do not provide sufficient justification for advancement to Professor, Step 6 as specified in the APM.**

**Late Appointment Actions:** Over the last several years, CAP has had a continuous problem with late appointment actions. CAP continues to receive appointment actions in late summer/early fall that are effective July 1. This means that CAP is being asked to review an appointment that is retroactive to July 1; in many cases tentative offer letters have already been given to the candidate and in some cases candidates have already moved to Davis and purchased a home. This clearly renders CAP’s participation in the appointment process meaningless.

During the 2015-16 academic year, this problem was exacerbated with all actions coming late from the School of Medicine. This included appointments, promotions, merits, and more importantly appraisals where timeliness is critical if candidates are to benefit from advice about how to prepare for tenure. Although some of this may be explained by difficulties in transitioning to the Step Plus system, it should be noted that almost all other units managed to stay very close to the standard timetables for promotion, tenure and merit actions.

**Dossier Accuracy:** Under Step Plus, more than one-step advancement is being awarded for outstanding teaching and service. Therefore, it is extremely important that dossiers accurately document both the amount and the quality of teaching and service. To prevent the return of dossiers to departments for correction, CAP requests that departments and Deans’ offices clearly document the period of review for service activities, provide sufficient detail about teaching activities, including evaluations and details of graduate student mentoring, provide publications that are readily accessible if not provided in hard copy, and provide verbatim faculty comments in department letters.

**CAP will routinely return improperly prepared dossiers to departments/candidates, which will result in significant delays in processing merit cases, and will likely require the department to revote.**

**Faculty Personnel Committees (FPCs):** During the 2015-16 academic year, CAP conducted a review of all FPCs. With the implementation of Step Plus, FPCs are seeing fewer cases than in previous years. This is a problem for the smaller professional school FPCs because they may only review a few cases per year. Thus, CAP reconstituted the small professional school FPCs and combined them into a single FPC. One member from each of the professional schools constitutes the membership of the new professional school FPC. One of the advantages is that the committee will review a much larger number of cases, allowing it to develop the expertise and broad perspective that distinguishes evaluation by the FPC from evaluation by the voting unit. The Graduate School of Management, School of Education, and School of Law have faculty with overlapping expertise, but with sufficient diversity to be advantageous in the evaluation process. The School of Nursing also fits well given that faculty study health education, health care policy, and informatics, in addition to applied nursing. CAP will evaluate the new FPC at the end of 2016-17 as part of the post audit review process.

**Discussion Items/Requests for Consultation:** Other items that were discussed this year by CAP were: a Department Reconstitution Proposal for the Department of Chemical Engineering and Materials Science, Guiding Principles for Search Waivers for Academic Appointees at the University of California, Advisory regarding Changes to Deferral, Five-Year Review, and subsequent advancements, Professor of Teaching Proposal, and Step Plus Revisions.

**Promotions:** For promotions to Associate Professor (N = 56), Professor (N = 51), and Lecturer PSOE (N = 1), CAP recommended promotion in 95 of 108 cases. CAP recommended the promotion proposed by the department and recommended by the Dean for 92 cases. CAP modified recommendations from the department for 3 cases. Of the 3 modifications, CAP recommended as follows:

- 1.0 step promotions were recommended and CAP recommended a lateral promotion instead
CAP recommended no advancement in 10 cases.

**Accelerated Actions in Time:** Appendix B lists the cases for accelerations that came to CAP (accelerations involving a promotion, merit increases to Professor, Step 6, and to Above Scale, merit increases within Above Scale, merit increases for an FPC member, Department Chair or administrator, merit increases that entailed skipping a step at any level). Faculty who received favorable recommendations for a multi-year acceleration generally had received some major recognition nationally or internationally, had superior scholarly achievements, and were excellent teachers and had meritorious service. At the upper levels of the professoriate, the expectation of excellence in all areas increases with each step.

**Career Equity Reviews:** Career Equity Reviews occur concurrent with a merit or promotion action for faculty who (1) hold an eligible title, and (2) have not been reviewed by CAP during the previous four academic years. The purpose of career equity reviews is to address potential inequities that may have originated at the point of hire and/or during a faculty member’s career. Career equity reviews consider the entire record of the individual to determine if the current placement on the academic ladder is consistent with faculty at equal and higher rank and step. In 2015-16, CAP conducted 3 career equity reviews that were initiated at a lower level of review and supported two of them. CAP also examines equity for every case that it reviews and recommends equity adjustments when appropriate.

**Five-Year Reviews:** CAP conducted 12 five-year reviews, recommending “advancement, performance satisfactory” in 0 cases, recommending “no advancement, performance satisfactory” in 4 cases and recommending “no advancement, performance unsatisfactory” in 8 cases.

**Initial Continuing Appointments for Lecturers:** CAP reviewed and made recommendations on 3 initial continuing non-Senate appointments in 2015-16. All three cases received favorable recommendations. Teaching excellence is the primary requirement for a continuing appointment.

**Accelerated Merits for Continuing Lecturers:** CAP considers accelerated merit requests for Continuing Lecturers, whereas normal merit advancements are redelegated to the Deans. In recommending accelerations (one or two steps beyond the normal two-salary point advancement), CAP looks for evidence of teaching accomplishments that go beyond teaching excellence (the minimum standard for normal advancement). Such evidence may come in the form of prestigious teaching awards or publication of books (and other creative works) that have substantial pedagogical impact. In 2015-16, CAP considered 6 such requests and made a positive recommendation in 3 cases.

**University Committee on Academic Personnel (UCAP):** Andrew Ishida served as CAP’s representative to the University Committee on Academic Personnel, which held several meetings throughout the academic year. The Office of the President, UCAP members, and other UC Academic Senate committees and officers bring issues to the attention of UCAP. A primary function of the systemwide committee is to facilitate the exchange of information among campuses. Accordingly, CAP was regularly informed of UCAP discussions and provided input into such discussions, when appropriate.

Respectfully submitted,

Debra Long, Chair
CAP’s Membership 2015-2016

Debra Long, Chair
Mary Christopher
Rida Farouki
Andrew Ishida
Prasad Naik
Pablo Ortiz
Patricia Oteiza
Susanna Park
Dean Tantillo
Kimberly Pulliam, Analyst
APPENDIX A: SUMMARY OF CAP ACTIONS

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<th>Appointments (114)</th>
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<th>Modified Actions@</th>
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Grand Total = 484

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<td>356</td>
<td>76</td>
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*positive; ^Guarded; -Negative; @modified actions are those CAP recommendations that differed from what was proposed, i.e., instead of a promotion a merit increase was recommended or instead of a normal merit, retroactive, or a Step Plus merit or promotion might have been recommended (i.e., extra half step, or 1.0 step instead of 1.5 step or 2.0 step)
APPENDIX B: SUMMARY OF ACCELERATED ACTIONS IN TIME

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<th>Acceleration Proposed</th>
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APPENDIX C: SUMMARY OF REDELEGATED MERIT ACTIONS (reviewed by FPC)

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<th>College/Division/ School</th>
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<th>Dean's Decision Yes</th>
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*The School of Medicine data is incomplete. 2015-16 actions are still being reviewed by CAP and the FPCs.
## APPENDIX D: SUMMARY OF NON-REDELGATED STEP PLUS ACTIONS (PROMOTIONS)

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<th>College/Division/School</th>
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## APPENDIX E: SUMMARY OF NON-REDELEGATED STEP PLUS ACTIONS
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**TOTAL**

- 37 cases
- 24 cases: CAP agreed with
- 45 cases: CAP agreed with
- 74 cases: CAP agreed with
- 53 cases: CAP agreed with
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