To the Faculty Legislature, Santa Barbara Division:

The Committee on Academic Personnel (CAP) met a total of 56 times, 2 hours per session, during the 2018-19 term. All meetings were held in executive session. In addition, CAP leadership met weekly with the Associate Vice Chancellor for Academic Personnel throughout the 2018-19 personnel cycle.

Executive Summary

The Committee on Academic Personnel serves as a reviewing agency for all “expanded review” academic personnel actions and as an auditing agency for all additional academic personnel actions; equitably evaluates and reports recommendations for such actions in accordance with campus and systemwide guidelines; and provides advice on UC and campus issues pertaining to academic personnel.

The 2018-19 academic year included the following:

- Reviewed 331 academic personnel cases (including 24 post audits of Dean’s Authority cases), resulting in 383 personnel actions in 2018-19
- Reviewed the biannual proposed revisions to the Red Binder
- Reviewed proposed changes to departmental bylaws with respect to departmental voting procedures
- Provided advice to the Senate Chair, the Executive Vice Chancellor (EVC), the Associate Vice Chancellor for Academic Personnel (AVC), and the University Committee on Academic Personnel (UCAP) on a number of UC policy issues.
- Met and consulted with the deans, the AVC, and the EVC on the academic personnel review process at both the beginning and end of the 2018-19 cycle
- Participated in orientations for department chairs and personnel analysts regarding the academic personnel review process
I. Academic Personnel Actions

CAP devoted most of its work to reviewing appointments, expanded review merit advancements, and promotions. A total of 383 personnel actions were reviewed; a summary of the workload appears in Tables I and II attached to this report. CAP members recused themselves from cases from their own departments and in cases of conflict of interest, or the potential for perceived conflict of interest, with the candidate. The deans continued the established practice of review of normative merit advancements (Dean’s Authority) and appointments at the rank of Assistant Professor Steps II and III at starting salaries within a defined range, whenever the recommendations of deans and departments agreed. In those cases in which salary recommendations between the respective dean and CAP differed by $4,000 or more, Associate Vice Chancellor Butler issued a Tentative Decision to one or both parties for comment. CAP conducted post audits of all Dean’s Authority merit cases and case deferrals of professors at the Assistant Professor or Lecturer with Potential Security of Employment ranks, subsequent to the actions of the deans. A Post Audit Report was submitted at the end of the cycle to the AVC of Academic Personnel.

CAP’s review of individual merit and promotion cases, in accordance with Red Binder policy and APM 210-1-d, focused for the Professor series on the 4 areas of (a) research and creative activities, (b) teaching and mentoring, (c) professional activities, and (d) service, and for the Lecturer SOE series on the 3 review areas of (a) teaching, (b) scholarly and professional activity, and (c) service. In its review, CAP took into account contributions to diversity and equal opportunity, following guidelines in APM 210-1-d and Red Binder I-75-VIII. CAP encourages candidates to submit (when appropriate) optional self-assessments concerning teaching, research, and contributions to diversity, respectively. These optional documents often provide valuable information that assists reviewing agencies in making more informed evaluations of personnel cases.

II. Review Committees

CAP continued to act as its own ad hoc review committee for promotion to tenure cases in which both the dean and the department recommended tenure. In addition, CAP continued the practice of waiving ad hoc review committees for other promotion and career reviews unless deemed necessary for fair and equitable judgment. (No such cases arose in 2018-19.) CAP convened a “Shadow CAP,” appointed by AVC Butler, to evaluate Expanded Review merit cases of current CAP members.

III. Academic Personnel Policy Issues

A number of policy issues were notable in the course of the 2018-19 academic year, some of longstanding concern. These included:

Solicitation of Extramural Letters for Appointments, Promotions, and Barrier Steps
In a number of cases, CAP found the set of extramural letters submitted with the dossier to depart unduly from Red Binder guidelines. CAP (like other reviewing agencies) may request that additional letters be obtained in such cases, which can significantly delay case consideration. Departments are reminded to follow carefully Red Binder guidelines in soliciting extramural letters, or to provide a compelling explanation when those guidelines cannot be followed.
Service
As one of the areas of review, CAP treats service (of scope appropriate to rank) as an integral component in making its recommendations. CAP thus expects faculty and departments to give this area appropriate attention. In addition to service on Academic Senate committees, the Office of Academic Personnel has compiled a list of other possible campus service opportunities to assist faculty in this area: https://ap.ucsb.edu/resources.for.academic.employees/service.opportunities.pdf

Providing Context
CAP at times finds it challenging to evaluate the diverse range of campus service, especially in connection with UCSB’s many research centers and ORUs. In addition, CAP sometimes has difficulty assessing achievements such as prizes or awards. CAP depends upon departments and deans to provide context for understanding the nature and scope of a candidate’s service or the importance of an award.

Collaborative Research
CAP occasionally finds it difficult to evaluate a candidate’s contribution to collaborative research, especially when there are large numbers of co-authors on publications. CAP depends upon departments to provide sufficient background to allow reviewing agencies to evaluate the nature and scope of a candidate’s contributions.

Criteria for the Evaluation of Teaching and Accounting for Teaching Load
CAP notes with concern that a number of departments did not fully adhere to Red Binder requirements for the evaluation and documentation of teaching. For evaluating the teaching record, Red Binder I-34-VI states: “At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory.” Moreover, numerous departments failed to provide an accurate account of candidates’ teaching loads over the review period. Red Binder I-27 requires that “The bio-bib should also contain a statement of normal teaching workload for the department overall (e.g., 2-2-1) and a brief explanation of any deviations from this workload (e.g., sabbatical, administrative assignment).” Regarding evidence of teaching to be submitted with a case, Red Binder states in section I-75-V: “Reviewing agencies will return cases to the departments if they do not conform to these guidelines.” CAP hopes that policy on criteria for the evaluation of teaching and accounting for the teaching load will be closely followed to avoid delays in processing personnel cases.

Salary Recommendations for New Appointments
CAP has a standard practice of making salary recommendations for new appointments, but there has occasionally been significant divergence between CAP’s recommendations and those of departments and deans. CAP notes that Red Binder I-8-II requires departmental recommendations for off-scale appointments to include “documentation of the market conditions that justify” the proposed salary. Salary recommendations for new appointments have been further complicated by the passage in 2017 of California State Legislation AB 168, which prohibits employers from inquiring about or relying upon salary history as a factor in determining pay.

IV. Campus Issues

Revisions to Departmental Bylaws
CAP received proposals from 2 departments to revise their bylaws in ways that would affect departmental voting procedures in personnel matters. As required by Senate Bylaw 55 (Divisional Bylaw 205), CAP reviewed these proposals and provided these departments with responses.

CAP FAQ Regarding the Academic Personnel Review Process
CAP created a document that answers frequently asked questions about the academic review process at UCSB and the role of the faculty senate Committee on Academic Personnel (CAP). The information is available via the Academic Senate website and the Academic Personnel website.

**Lecturer SOE Series Transition to New Salary Scale**
Due to revisions to the Academic Personnel Manual (APM) in October 2018, all appointees on the Lecturer SOE track needed to be assigned to a corresponding step on the new Lecturer SOE salary scales. CAP served as one of the reviewing agencies for placements on the new salary scale and provided recommendations to AVC Butler.

**Revisions to the Red Binder**
The Office of Academic Personnel disseminates to all Senate Faculty and appropriate administrators and committees any proposed revisions to the Red Binder, typically biannually in the fall and spring. CAP reviewed the proposed revisions circulated for comment in February 2019, which included significant changes concerning the Lecturer SOE series implementing system-wide revisions to APM 210-3.

**Updating Evaluation Guidelines for Creative/Performing Art Disciplines**
CAP invited HFA Dean Majewski to work with the relevant departments to update guidelines that have helped reviewing agencies understand and evaluate creative/performance work in a manner consistent with other scholarly work.

V. **Systemwide Issues**

**Recommendations for the Use of Contributions to Diversity, Equity, and Inclusion (DEI) Statements for Academic Reviews at the University of California**
At the request of divisional Chair Bohn, CAP reviewed recommendations from the University Committee for Affirmative Action, Diversity and Equity (UCAADE) for the use of Statements on Diversity, Equity, and Inclusion in UC academic reviews. After reviewing the recommendations, CAP conveyed its opposition to the recommendation that DEI statements be required at UCSB in the personnel review process.

**Recommendations for the Use of DEI Statements for Academic Appointments at the University of California**
At the request of EVC Marshall, CAP reviewed recommendations for the use of Statements on Diversity, Equity, and Inclusion for UC academic appointments, recommendations that were unanimously endorsed by the Academic Council. Of all the UC campuses, UCSB and UC Berkeley are the only campuses that do not currently require these statements in recruitments. After reviewing the recommendations, CAP conveyed its support of the recommendation that DEI statements be required at UCSB in the faculty recruitment process. For the record, CAP also noted that this support does not alter CAP’s opposition to requiring DEI statements at other stages in the review process.

**Informational Materials**
CAP reviewed informational documents about ongoing systemwide discussions, as well as pertinent academic personnel approaches at other UC campuses. Informational materials included the following:

- Proposed revision of Presidential Policy on Sexual Violence and Sexual Harrassment
- Systemwide review of proposed changes to Senate Bylaw 336
- Systemwide review of proposed new APM, Section 011, Academic Freedom, Protection of Professional Standards, and Responsibilities of Non-Faculty Academic Appointees (AMP - 011)
- Policy regarding the death of a faculty member with a pending promotion
• Academic Council concerns regarding the use of Research Information Management Systems (RIMS)
• Recommendations for Equity Advisor Programs at UC
• Academic Council statement regarding racialization of espionage concerns
• Issuance of technical revisions to APM section 715, Leaves of Absence/Family and Medical Leave
• Issuance of technical revisions to APM section 120, Emerita/Emeritus titles.
• 2019-2020 Academic Salary Scales Issuance

VI. Carry-over Issues for 2018-19

• Campuswide audit of all departments’ and colleges’ voting bylaws
• Updating of Arts/Performance-based disciplines’ guidelines for evaluating research/creative activities
• Continued discussion among reviewing agencies of areas of concern from Section III: extramural letters, service expectations, documentation of teaching performance

VII. Acknowledgments and Appreciation

UCSB’s process for reviewing faculty merit cases is complex and time-consuming, as it is designed to satisfy both UC’s tradition of shared governance and a strong desire on all sides to treat faculty across campus in an equitable and transparent fashion. The practice of having one faculty committee that looks at all campus cases grows from and upholds UCSB’s unique culture of interdisciplinary collaboration and cooperation. The entire complex process works only because of the committed efforts of many different individuals and groups, too numerous to name here.

CAP deeply appreciates the enormous amount of labor that departmental chairs, personnel committees, and analysts expend each Fall in preparing cases for review. CAP also thanks the home departments of this year’s committee for allowing our members to rearrange their own departmental workloads in order to accommodate the rigorous demands of CAP service.

CAP thanks the Academic Senate staff, headed by Debra Blake, and its information technology staff, headed by Andy Satomi, for unfailing support, assistance, and advice in all matters.

2018-19 Committee Members:

Ann J. Adams, History of Art and Architecture
Kevin B. Anderson, Sociology
Stanley M. Awramik, Earth Science
Michael T. Bowers, Chemistry and Biochemistry
Ruth Finkelstein, Molecular, Cellular and Developmental Biology
Sabine Fruhstuck, East Asian Languages and Cultural Studies
Bishnupriya Ghosh, English; Global Studies
B.S. Manjunath, Electrical and Computer Engineering
Dar Roberts, Geography
Sven Spieker, Germanic and Slavic Studies
Barbara Tomlinson, Feminist Studies
Francis Zok, Materials
Jon R. Snyder, French and Italian (UCAP Representative, Ex Officio)
Dana E. Mastro, Communication (Vice Chair)
Francis M. Dunn, Classics (Chair)
### Table I - Summary of All Personnel Actions Reviewed by CAP 2018-19

<table>
<thead>
<tr>
<th>Action Description</th>
<th>Count</th>
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<tbody>
<tr>
<td>Appointments requiring CAP review (includes endowed chair and visiting professor appts)</td>
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<tr>
<td>Promotions (to Lecturer SOE, Associate Professor, Professor)</td>
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</tr>
<tr>
<td>Merits requiring CAP review (Prof Above, Prof VI, Accel Merits, Lecturers PSOE, SOE, Sr SOE)</td>
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<tr>
<td>Retentions</td>
<td>10</td>
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<tr>
<td>Formal Appraisals</td>
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<tr>
<td>Career Equity Reviews</td>
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<tr>
<td>Mandatory Reviews/No Change (included in Merits total)</td>
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<td>Reconsiderations</td>
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<td>Series Transfers</td>
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<tr>
<td>Terminal Appointment</td>
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<td>Search Waivers</td>
<td>9</td>
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<tr>
<td>Post Audits</td>
<td>24</td>
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<tr>
<td>Tentatives</td>
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<td><strong>TOTAL PERSONNEL ACTIONS</strong></td>
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### Table II - Faculty Participation on Ad Hoc Review Committees 2018-19

CAP continued to act as its own ad hoc review committee in promotion to tenure cases in which both deans and departments recommended tenure. In addition, CAP continued the practice of waiving ad hoc review committees for other promotion and career reviews unless deemed necessary for fair and equitable judgment (no such cases in 2018-19).

<table>
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<th>Action Description</th>
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<td>Other Actions requiring Ad Hoc Review</td>
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<td><strong>Total number of Ad Hoc Review Committees</strong></td>
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**Total number of cases submitted to CAP covering 383 personnel actions:** 331
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<tr>
<th>Year</th>
<th>Appointments requiring CAP review (includes endowed chair appts)</th>
<th>Promotions (to Lecturer SOE, Associate Professor, Professor)</th>
<th>Merits requiring CAP review</th>
<th>Retentions</th>
<th>Career Equity Reviews</th>
<th>Reconsiderations</th>
<th>Series Transfers</th>
<th>Search Waivers (prev. EOR’s)</th>
<th>Post Audits of Dean's Authority (prev. Routine) Cases</th>
<th>Tentatives</th>
<th>PERSONNEL ACTIONS REVIEWED BY CAP</th>
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Faculty Participation on Ad Hoc Review Committees

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Average number of cases per year based on 19-year data: 387