

**Council on Academic Personnel
Annual Report
AY 2020-2021**

To the Irvine Divisional Assembly:

The UC Irvine Council on Academic Personnel (CAP) is pleased to provide the following summary of its activities for 2020-2021. CAP's service year extends from September 1, 2020 through August 31, 2021.

I. Membership

The continuing faculty members serving this year on CAP were Professors Alexander Ihler (Information & Computer Sciences), Young Kwon (At-large, Pharmaceutical Sciences), Catherine Loudon (Biological Sciences), Gudrun Magnusdottir (Physical Sciences), Lisa Naugle (Arts), Connie Pechmann (Business), Bert Semler (Medicine, Basic), and Lee Swindlehurst (Engineering). New members were Professors Victoria Basolo (Social Ecology), Victor Fleischer (Law), Michelle Garfinkel (Social Sciences), Victoria Johnson (Humanities), and Sabee Molloi (Medicine, Clinical). Professor Swindlehurst served as CAP Chair and Professor Naugle served as Vice Chair and representative to the University-wide Committee on Academic Personnel (UCAP). Lynn Harris and Casey Lough were the CAP analysts, and Office Manager Rachel Mangold provided CAP staff support.

Due to the campus's continued closure in response to COVID-19, CAP completed its work without delay through virtual meetings and online materials.

II. General Procedures

CAP's responsibilities. The Bylaws of the Irvine Division describe CAP's membership and responsibilities. The Academic Personnel Manual (APM) is a foundational resource for all faculty members and heads of academic units. CAP members frequently consult the APM, as well as the UCI campus Academic Personnel Procedures (APP) to review expectations for each series.

CAP is responsible for providing a campus-wide perspective on proposals for appointments, promotions, and merit increases originating from academic units. CAP reviews the files of academic personnel for Senate series titles and forwards its recommendations to the Chancellor and Provost. CAP procedures and review criteria are typically communicated through information sessions held in conjunction with the Office of Academic Personnel. CAP also provides input and feedback on the Office of Academic Personnel's Procedures and Faculty Guidance pages (<https://ap.uci.edu/policies-procedures/app/>; <https://ap.uci.edu/faculty/guidance>) and provides annual updates to its own Frequently Asked Questions document:<https://docs.google.com/document/d/1XCZNTNDiyZF3KNamkxKQkqeSP1hUU6gdX2WkehK3Dr4/edit?usp=sharing>.

CAP plays a crucial role in implementing the University of California's shared governance principle. It both evaluates and applies standards of academic excellence to faculty performance. CAP makes recommendations as a panel after careful deliberation. All final decisions on personnel actions are made by the Chancellor or, when delegated, by the Provost, the Vice Provost for Academic Personnel, or an academic Dean.

CAP's review protocol. CAP had 35 scheduled meetings in 2020-2021 (from September 24, 2020 to July 29, 2021), with meetings every other week in fall quarter and weekly meetings thereafter. Confidentiality, fairness, and consistency are central tenets of CAP deliberations, and all members aim to rigorously uphold these principles. At its initial meeting in the fall, CAP established a quorum of a minimum of eight members for all cases. Each member present, including the Chair, votes on all cases; recusals are requested if there is evidence or the appearance of a conflict of interest on a given case according to CAP's standards for recusal, <https://senate.uci.edu/files/CAP-Recusal-Policy-2020-2021.pdf>.

The full Council reviews all major actions (non-delegated appointments, promotions to Associate and Full Professor, advancements to Professor Step VI and Above Scale) and all Mid-Career Appraisals and Accelerations. Primary and secondary readers are assigned in-depth reviews of each file, and all Council members are expected to read every case for full Council review. At the meeting, discussion is led by these readers, followed by the Chair, who is an assigned reader on all cases. Open discussion continues until members are satisfied that all relevant aspects of the case have been analyzed and all perspectives heard. A vote is then taken on the proposed action, with the majority reported as the decision of the Council. Tie votes are recorded as not supporting the proposed action. After the meeting, a draft report for each case that was reviewed is prepared, which is then revised by the Chair and then CAP members. In the report, the vote is conveyed, and when relevant, both the majority and minority opinions are presented. The CAP Chair is responsible for the final version of the report transmitted to the Office of Academic Personnel.

“Consentable/Subcommittee” cases are read by two members and the Chair. Eligible cases are normal merit increases, first No Change, Fifth Year reviews, and Appointments, where all levels of review prior to CAP are in agreement. If the subcommittee agrees with the proposed action, the case is put on the consent agenda for approval. The subcommittee also reviews Tentative Decisions to evaluate the presence of new or significant information for all but tenure cases. If one or more subcommittee members judge that a case requires more in-depth consideration, the case is reassigned for full Council discussion at the next meeting. Titles of Distinction are also reviewed by subcommittee and put on the consent agenda.

CAP forwards its recommendations in its report to the Office of Academic Personnel. If CAP's decision is in agreement with all lower levels of review and the Chancellor and/or Provost determine that no further discussion is needed, the Office of Academic Personnel transmits the final decision to the academic unit. The Provost and/or Vice Provost for Academic Personnel generally meet with CAP prior to the final decision if they are considering overruling CAP's recommendation, or where they want further clarification of CAP's reasoning.

In all promotion and advancement cases for which a negative decision is recommended, CAP and the Vice Provost for Academic Personnel allow the department to submit additional information that may have been left off the AP-10 or was pending. CAP reviews the additional information received for these cases and, when deemed substantively meaningful, a second vote is taken. The additional information infrequently changes CAP's recommendation. For other cases on which CAP disagrees with the action, a tentative decision is not automatic. Instead, CAP more often requests additional information if they judge the file incomplete or sees a need for clarification before voting on a case.

Ad hoc committees are convened when at least one level of review recommends against tenure or if CAP judges that additional expertise would be necessary for a thorough assessment of a file under review. Reports of outside *ad hoc* committees are considered by CAP before a final vote and recommendation. In 2020-2021, zero outside *ad hoc* committees were convened.

While service on CAP is time-consuming and sometimes stressful, members consistently find it to be some of the most significant and rewarding campus service in which they have participated. During the busy season of January through July, members typically spend multiple days each week reviewing files, participating in the CAP meetings, and writing reports. As all files and their review content are now fully distributed online, CAP members are no longer limited by reviewing files exclusively in the CAP conference room.

III. CAP's Specific Activities

Communication with the faculty. Communication with faculty, academic units and Deans about the academic review process is an important part of CAP's responsibilities. The Vice Provost for Academic Personnel and the CAP Chair held two workshops to advise the campus on new personnel policies for deans, department chairs and personnel administrators. These included the standard "Fall Kick-Off" in September and, in response to campus requests to receive information earlier, a "Summer Updates" session in July. CAP also held a workshop on AP practices and procedures for untenured faculty in May. The CAP chair, together with the CAP representative from each school, also met individually with two campus deans to discuss the review process for their schools.

Caseload and outcome of personnel actions (Tables 1-4). CAP reviewed 380 cases in 2020-21, compared to 436 in 2019-20, 380 in 2018-19, 443 in 2017-18, and 486 in 2016-17. Table 1 provides data on decisions by the type of action; Table 2 gives aggregate decisions by schools; Table 3 compares CAP's decisions this year with those of the past five years; and Table 4 gives aggregate decisions by departments.

Across schools, the overall rates of exact agreement between CAP and the original academic unit recommendations (see Table 2) was 78% for all cases that came to CAP in 2020-21. This includes thirteen cases leftover from 2019-2020. When modifications to files, such as recommendations to modify-up or modify-down are included in the "agree" category, the rate of

agreement is 92% for all cases reviewed in 2020-21. Most of CAP's differing recommendations from proposals involved accelerations or step placement rather than disagreements with the entire action. CAP only fully disagreed with 8% of proposals (Table 2), which mostly pertained to promotions or merit increases.

As of August 11, 2021, CAP had two cases pending additional information and 29 files still under review by the Administration. In total, 3% of the Chancellor's or Provost's final decisions differed from CAP's recommendations. In those cases, the Provost and/or Vice Provost for Academic Personnel consulted with CAP prior to making a final decision.

Mid-Career Appraisals (MCAs) of Assistant Professors, usually undertaken in their 4th year, provide candid guidance to the candidate by identifying tenure progress to date as "Positive," "Provisionally Positive," "Guarded," or "Negative." Of the MCAs reviewed in 2020-21, the academic unit's recommendations were frequently positive or provisionally positive, whereas CAP's recommendations were more frequently Provisionally Positive. Neither the departments nor CAP judged any MCA to be negative.

Acceleration proposal rates varied widely across schools, with a high of 75% of files proposed as accelerations (Sue & Bill Gross School of Nursing) and a low of 0% (Paul Merage School of Business and School of Law). About 26% of faculty personnel reviews involved acceleration requests. Last year's data strongly suggest that acceleration proposals for 3 or more years are much less likely to be approved than 1 and 2 year accelerations. A new set of standards for Above Scale merits has been implemented, effective for the 2020- 2021 school year. See them here: [APP 3-40, Appendix I, Note 4](#).

Reserve CAP. To avoid potential conflicts of interest, a "Reserve CAP," consisting largely of former CAP members, evaluates dossiers of current and some recent CAP members. The Senate requested that academic personnel cases of currently serving Senate Chair and Chair-Elect be seen at the Reserve CAP, rather than at regular CAP. CAP agreed that is an appropriate request. The RCAP reviewed five cases this year.

Guiding Principles and Best Practices. CAP spent time in multiple fall meetings discussing disciplinary and university-wide standards and its guiding principles for review and evaluation separate from specific cases as a way to promote consistency among members and across years.

Diversity, Equity, and Inclusion (DEI). DEI accomplishments are regularly considered in the review process and can positively influence CAP's assessments of proposed actions. CAP members discussed new equity and inclusion training being offered at the campus level and recommended by the Senate, and how CAP members might best participate considering member's time constraints. CAP also received a one-hour training session on diversity, inclusive excellence and implicit bias from Vice Chancellor Douglas Haynes, and plans to continue such training sessions in subsequent years.

CAP discussed a New York Times article outlining the difficulties female faculty, in particular, were facing due the pandemic and how impacts may project well into the future at UCI. CAP discussed that they need to work with Academic Personnel and other units to recommend new policies that include flexibility in how faculty are evaluated while maintaining high standards.

Reviews of Chairs, Deans, and proposals for new Departments and Schools. CAP provided input to the 5-year reviews of six department chairs. CAP also discussed the practical value of these reviews.

IV. Academic Senate Major Discussion Items

CAP discussed and returned comments to the Senate regarding the following:

Implementation of Student Course Feedback Form.

CAP provided a statement of support for the new student course feedback form, and the Senate forwarded the statement to all Department Chairs and Associate Deans for Undergraduate Education across campus.

Review of Professors of Teaching.

An APG was formed this year to discuss the review of Professors of Teaching on campus, and in particular the requirement that faculty in this series make substantial contributions to research/scholarly activity in order to receive merits, promotions and advancements. CAP was consulted on several occasions by the APG to provide input on how files from Professors of Teaching are reviewed with respect to research/scholarly activity.

School of Nursing Voting Rights.

The CAP chair provided input on the inclusion of voting tallies by non-Senate members in personnel files. Such information is regularly included, for example, in files from the School of Medicine. It was stressed that if such votes are included, the votes of Senate and non-Senate faculty should be reported separately.

Academic Time for ClinX Faculty

Based on feedback from ClinX faculty in the School of Medicine, CAP, VPAP and the Senate leadership met with the school's Dean and Vice-Dean for Academic Affairs to discuss the need for Academic Time for ClinX faculty. The concern was raised that certain departments were not giving ClinX faculty sufficient time to support their research activities and service obligations. A formal memo was drafted by the CAP chair and Senate leadership to encourage the school to communicate to its departments the need for academic time for clinical faculty. The school indicated that the problem was limited to only a couple of departments, and that meetings with these departments would be held to mitigate the issue.

Changes to Bylaw 48 on CAP Membership

CAP recommended a change to Bylaw 48 in an effort to increase the representation from the growing College of Health Sciences (CoHS). In particular, CAP recommended that its membership should include two representatives instead of just one from the following group of small schools: Nursing, Pharmaceutical Sciences, Public Health, and Education. This change would guarantee that there would always be at least one representative from the currently small CoHS schools, since two representatives from the same school would not be permitted. The change was approved by the Senate, and a new election was held this summer to add the additional CoHS member.

Academic Freedom Statement

CAP provided extensive feedback on an Academic Freedom Statement that was proposed by the Senate leadership. Concerns raised by CAP and other Senate committees led to a tabling of such a statement for this year, but the issue will be revisited in the future.

Pre-Proposal for Establishing a School of Population and Public Health

CAP provided feedback on the pre-proposal for formally establishing the new school of Population and Public Health. CAP and other Senate committees noted a number of deficiencies in the pre-proposal, and made recommendations for several improvements prior to the formal proposal submission.

Office of Academic Personnel Major Discussion Items

CAP continues to value the opportunity to work closely with the Provost and Vice Provost for Academic Personnel on topics relevant to the academic personnel process. CAP and AP developed and implemented new policies and procedures to promote equity in the file review process, including in relation to the unexpected campus closure due to COVID-19.

Statement on COVID-19 in Solicitations for External Reviewers

CAP provided input on suggested language regarding the impact of COVID-19 for department chairs to include in requests sent to external reviewers of promotions and advancements.

Statement on Documenting the Impact of COVID-19 in Personnel Files

CAP and VPAP created a document outlining specific things that faculty can include in their files to describe the impact of COVID-19 on their academic performance, emphasizing that it is not necessary to share personal details. Only information about how the pandemic has impacted performance rather than why it impacted performance is relevant for CAP's deliberations. The document was emailed to all faculty.

Update to Declaration of Potential Conflicts of Interest Form

After receiving several such forms from campus units, CAP recommended changes to the form in order to better elicit the information needed to determine the extent of the potential conflict.

Input on Addition of Faculty Reflection Element to Online Student Evaluations

CAP provided input to the VPAP and the Dean of Undergraduate Education on a proposal that would provide faculty with the option of providing an online reflection of their teaching performance each quarter in response to student evaluations, and that could serve to augment or be used in lieu of a Reflective Teaching Statement.

Guidance for Professors of Teaching

CAP provided input on some additional guidelines for faculty in the Professor of Teaching series who are preparing personnel files. The additional guidelines were meant to clarify the difference between research/scholarly activity and contributions to professional service. The guidelines were added to the VPAP's online faculty guidance.

Statement on Impact of COVID-19 on Review of Promotion Files

After the Summer Updates session in July, CAP and VPAP developed and disseminated a statement that clarified CAP's approach to evaluating files for promotion to tenure, promotion to Professor, and advancements for Step VI and Above Scale in light of the impact of COVID-19.

V. University Committee on Academic Personnel (UCAP)

Vice Chair Lisa Naugle supported the Chair in normal CAP activities and also represented the Irvine campus at the Systemwide University Committee on Academic Personnel (UCAP). UCAP had four meetings during the 2020-21 academic year by videoconference. As outlined in [Senate Bylaw 135](#), UCAP considers general policy on academic personnel, including salary scales, appointments and promotions, and all related matters. The principal issues that UCAP considered this year included the following and were brought to UCI CAP as informational items:

UCAP collaborated with the Co-ordinating Committee on Graduate Affairs (CCGA) on how best to increase the prominence of mentoring in APM 210 and worked on a comprehensive sets of revisions to multiple sections of APM 210. The revisions included a new focus on mentoring of faculty as well as students, distinguishing between the mentoring that falls under "Teaching" and "Mentoring" that falls under University and Public Service and providing a more substantial description of what should be considered mentoring in the file review process. In July, UCAP approved the proposed revisions and transmitted them to the Academic Council. Council endorsed the proposal, which was then submitted to Academic Personnel with a request for a systemwide review in Fall 2021.

COVID-19 IMPACTS

In January and March, UCAP discussed providing guidance to divisional CAPs about reviewing files that include the period of the COVID-19 pandemic because of how it is likely to impact research, teaching and service.

UCAP's guidelines highlight issues campuses should consider during file review, and were a follow-up to Council's January 2021 [Recommendations for Mitigating COVID-19 Impacts on Campuses](#). [The guidelines](#) were endorsed by Council in March and transmitted to divisional Senate chairs.

OPEN ACCESS PUBLICATIONS AND CAP EVALUATIONS

UCAP considered how to encourage junior faculty to publish in open access venues. The committee consulted with the California Digital Library and in the next academic year, UCAP will look at how to help CAPs assess the quality of open access publications.

RECOGNITION FOR INTERNATIONAL ACTIVITIES

UCAP considered how to recognize international activities in personnel reviews. The APM currently has language about international activities in the review criteria for promotion to full professor and for above scale, but the Committee on International Education suggested that international activities be a factor at earlier steps of the review process as well. UCAP concluded that the existing framework for file evaluation includes mechanisms to reward achievements in the international realm, and that these activities should not be a separate category of their own. A memo to UCIE recommended that faculty should delineate any challenges particular to their discipline or due to the pandemic that may have affected their international work or should be factored into how their work is assessed by CAPs, and that files should include evaluations and other concrete objective measures of international teaching.

VI. Conclusion

This year's CAP members once again expressed the view that service on CAP was one of their most rewarding service experiences in academia. Despite the long hours and gravity of the task, the shared mission shaped the membership into a dedicated, tight-knit group. The Chair thanks all of the members for their hard work, mutual support, and ability to disagree without being disagreeable.

Respectfully submitted,

Lee Swindlehurst, School of Engineering, Chair
Lisa Naugle, School of the Arts, Vice Chair
Victoria Basolo, School of Social Ecology
Victor Fleischer, School of Law
Michelle Garfinkel, School of Social Sciences
Alexander Ihler, School of Information & Computer Sciences
Victoria Johnson, School of Humanities
Young Jik Kwon, College of Health Sciences, At-Large
Catherine Loudon, School of Biological Sciences
Gudrun Magnusdottir, School of Physical Sciences
Sabee Molloy, School of Medicine (Clinical Science)
Connie Pechmann, School of Business
Bert Semler, School of Medicine (Basic Science)

APPENDICES

Tables 1A - 1D: CAP Recommendations by Action Type

Table 2: CAP Recommendations by School

Table 3: CAP Agreement with Departmental Recommendations, 2016-2021

Table 4: CAP Recommendations by Department

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Tables 1A-1D: CAP Recommendations by Action Type

	CAP Recommendation					Total
	Agree	Disagree	Modify - Up	Modify - Down	Pending	
Total Personnel Cases	296	29	9	44	2	380

Table 1A. Appointments	Agree	Disagree	Modify - Up	Modify - Down	Pending	Total
Assistant Professor	4	0	0	0	0	4
Associate Professor	7	0	0	1	0	8
Professor	21	0	0	4	0	25
Appointment of Honorary Title	5	0	0	0	0	5
Total	37	0	0	5	0	42
% CAP Agreed with Proposal						88%
% CAP Agreed or Modified Up Proposal						88%

Table 1B. Promotions	Agree	Disagree	Modify - Up	Modify - Down	Pending	Total	Accelerated	% Accelerated
Associate Professor (Promotion to Tenure)	31	0	1	5	0	37	19	51%
Professor (includes Prof Clin X and In Res)	35	4	1	5	1	46	19	41%
Advancement to Professor, Step 6	21	8	2	4	0	35	7	20%
Advancement to Above Scale	11	4	0	0	0	15	1	7%
Asst. Prof/Assoc. Prof/Professor of Teaching	4	3	1	1	0	9	4	44%
Total	102	19	5	15	1	142	50	35%
% CAP Agreed with Proposal						72%		
% CAP Agreed or Modified Up Proposal						85%		

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Table 1C. Merit Increases	Agree	Disagree	Modify - Up	Modify - Down	Pending	Total	Accelerated	% Accelerated
Assistant Professor (includes Merits with MCA, Clin X & In Res) (includes 1 Acting Professor-Law School) (19 MCA= Agree)	19	0	0	4	0	23	9	39%
Associate Professor (inc. Clin X & In Res)	23	1	0	3	0	27	7	26%
Professor (inc. Prof. of Law, Clin X & In Res)	66	5	0	8	0	79	34	43%
Professor Above Scale	11	2	1	0	0	14	2	14%
Professor Above Scale Plus	6	0	0	7	0	13		0%
Asst. Prof/Assoc. Prof/Prof. of Teaching (10 MCA=Agree)	13	0	1	2	0	16	4	25%
Total	138	8	2	24	0	172	56	33%
% CAP Agreed with Proposal						80%		
% CAP Agreed or Modified Up Proposal						81%		

Table 1D. Other Actions	Agree	Disagree	Modify - Up	Modify - Down	Pending	Total	Accelerated	% Accelerated
5th Yr Review	3	0	0	0	0	3	0	0%
5th Yr Review - Satisfactory	6	1	0	0	0	7	0	0%
Career Equity Review	1	1	0	0	0	2	0	0%
Change of Series, Promotion	0	0	0	0	1	1	0	0%
Dean's Delegated Merit	1	0	0	0	0	1	0	0%
No Change	5	0	0	0	0	5	0	0%
Reappointment (inc. Clin X & Law) (3 MCA=Agree)	6	0	2	0	0	8	0	0%
Total	22	2	2	0	1	27	0	0%
% CAP Agreed with Proposal						81%		
% CAP Agreed or Modified Up Proposal						89%		

Table 2: CAP Recommendations by School

School	Proposed Cases	CAP Agree	CAP Disagree	CAP Modify-Up	CAP Modify-Down	CAP Pending	% CAP Agreed, Mod-Up, or Mod-Down with School*	% CAP Agreed with School*	Final Decision Agree	Final Decision Disagree	Final Decision Modify-Up	Final Decision Modify-Down	Final Decision Pending	% Final Decision Agreed, Mod-Up, or Mod-Down with School*	% Final Decision Agreed with School*
Claire Trevor Sch of the Arts	23	16	3	0	4	0	87%	70%	12	2	1	2	6	88%	71%
Normal proposal	15	12	3	0	0	0	80%	80%	9	2	0	0	4	82%	82%
Accelerated proposal	8	4	0	0	4	0	100%	50%	3	0	1	2	2	100%	50%
Donald Bren School of ICS	20	11	5	1	3	0	75%	55%	11	1	1	5	2	94%	61%
Normal proposal	13	9	3	0	1	0	77%	69%	9	0	0	3	1	100%	75%
Accelerated proposal	7	2	2	1	2	0	71%	29%	2	1	1	2	1	83%	33%
Henry Samueli School of Engineering	30	24	2	0	4	0	93%	80%	24	0	0	3	3	100%	89%
Normal proposal	22	18	2	0	2	0	91%	82%	18	0	0	2	2	100%	90%
Accelerated proposal	8	6	0	0	2	0	100%	75%	6	0	0	1	1	100%	86%
Paul Merage School of Business	12	11	1	0	0	0	92%	92%	10	1	0	0	1	91%	91%
Normal proposal	12	11	1	0	0	0	92%	92%	10	1	0	0	1	91%	91%
Program in Public Health	6	4	1	0	1	0	83%	67%	4	1	0	1	0	83%	67%
Normal proposal	4	2	1	0	1	0	75%	50%	2	1	0	1	0	75%	50%
Accelerated proposal	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%
School of Biological Sciences	29	25	0	1	3	0	100%	86%	26	0	1	2	0	100%	90%
Normal proposal	17	15	0	1	1	0	100%	88%	15	0	1	1	0	100%	88%
Accelerated proposal	12	10	0	0	2	0	100%	83%	11	0	0	1	0	100%	92%
School of Education	12	8	0	1	2	1	100%	73%	6	0	1	2	3	100%	67%
Normal proposal	6	4	0	1	0	1	100%	80%	2	0	1	0	3	100%	67%
Accelerated proposal	6	4	0	0	2	0	100%	67%	4	0	0	2		100%	67%
School of Humanities	37	26	2	0	9	0	95%	70%	26	1	0	8	2	97%	74%
Normal proposal	28	23	2	0	3	0	93%	82%	23	1	0	2	2	96%	88%
Accelerated proposal	9	3	0	0	6	0	100%	33%	3	0	0	6	0	100%	33%
School of Law	11	8	3	0	0	0	73%	73%	11	0	0	0	0	100%	100%
Normal proposal	11	8	3	0	0	0	73%	73%	11	0	0	0	0	100%	100%
School of Medicine	88	76	5	3	4	0	94%	86%	72	3	3	5	5	96%	87%
Normal proposal	75	66	3	3	3	0	96%	88%	63	2	3	4	3	97%	88%
Accelerated proposal	13	10	2	0	1	0	85%	77%	9	1	0	1	2	91%	82%
School of Pharmacy and Pharmaceutical Sciences	4	4	0	0	0	0	100%	100%	4	0	0	0	0	100%	100%
Normal proposal	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%
Accelerated proposal	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%
School of Physical Sciences	44	34	2	1	7	0	95%	77%	34	2	1	5	2	95%	81%
Normal proposal	28	26	0	1	1	0	100%	93%	25	0	1	0	2	100%	96%
Accelerated proposal	16	8	2	0	6	0	88%	50%	9	2	0	5	0	88%	56%
School of Social Ecology	21	16	2	1	2	0	90%	76%	16	2	0	2	1	90%	80%
Normal proposal	17	14	2	1	0	0	88%	82%	14	2	0	0	1	88%	88%
Accelerated proposal	4	2	0	0	2	0	100%	50%	2	0	0	2	0	100%	50%
School of Social Sciences	39	29	3	1	5	1	92%	76%	27	2	1	5	4	94%	77%
Normal proposal	28	22	1	1	3	1	96%	81%	22	0	1	3	2	100%	85%
Accelerated proposal	11	7	2	0	2	0	82%	64%	5	2	0	2	2	78%	56%
Sue & Bill Gross School of Nursing	4	4	0	0	0	0	100%	100%	4	0	0	0	0	100%	100%
Normal proposal	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%
Accelerated proposal	3	3	0	0	0	0	100%	100%	3	0	0	0	0	100%	100%
Total Proposals	380	296	29	9	44	2	92%	78%	287	15	9	40	29	96%	82%
Total Normal Proposals	279	233	21	8	15	2	92%	84%	226	9	7	16	21	97%	88%
Total Accelerated Proposals	101	63	8	1	29	0	92%	62%	61	6	2	24	8	94%	66%

*Denominator does not include Pending cases

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Table 3: CAP Cases and Agreement with Departmental Recommendations from 2016-2021

CAP	2016-17	2017-18	2018-19	2019-20	2020-21	5-yr mean	Difference
Total cases	486	443	380	436	380	425	-45

CAP Agree	2016-17	2017-18	2018-19	2019-20	2020-21	5-yr mean	Difference
Appointments	94%	87%	82%	71%	88%	84%	4%
Promotions	74%	72%	70%	55%	72%	69%	3%
Merits	81%	85%	79%	69%	80%	79%	1%
Other Actions	87%	87%	83%	70%	81%	82%	-1%

CAP Agree or Modify - Up/Down	2016-17	2017-18	2018-19	2019-20	2020-21	5-yr mean	Difference
Appointments	99%	95%	93%	86%	100%	95%	5%
Promotions	92%	83%	88%	79%	86%	86%	0%
Merits	93%	93%	91%	82%	95%	91%	4%
Other Actions	94%	87%	89%	76%	89%	87%	2%

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Table 4: Recommendations by Department

Departments	Proposed Actions	CAP Agree	CAP Disagree	CAP Modify Up	CAP Modify Down	CAP Pending	% CAP Agreed, Mod-Up, or Mod-Down with School*	% CAP Agreed with School*	Final Decision Agree	Final Decision Disagree	Final Decision Modify-Up	Final Decision Modify-Down	Final Decision Pending	% Final Decision Agreed, Mod-Up, or Mod-Down with School*	% Final Decision Agreed with School*	Accelerated	% Accelerated	% Accelerated CAP Agreed with School	% Accelerated Final Decision Agreed with School
African American Studies	1	0	0	0	1	0	100%	0%	0	0	0	1	0	100%	0%	1	100%	0%	0%
Anatomy & Neurobiology	4	3	0	0	1	0	100%	75%	3	0	0	1	0	100%	75%	1	25%	100%	100%
Anesthesiology	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Anthropology	6	3	0	1	2	0	100%	50%	3	0	1	1	1	100%	60%	2	33%	100%	100%
Art	7	5	1	0	1	0	86%	71%	4	1	1	0	1	83%	67%	2	29%	50%	50%
Art History	5	2	2	0	1	0	60%	40%	2	1	0	1	1	75%	50%	1	20%	0%	0%
Asian American Studies	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Biological Chemistry	3	2	1	0	0	0	67%	67%	1	1	0	0	1	50%	50%	1	33%	100%	0%
Biomedical Engineering	7	6	1	0	0	0	86%	86%	6	0	0	1	0	100%	86%	1	14%	100%	100%
Chemical & Biomolecular Engineering	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	1	100%	100%	100%
Chemical Engineering & Materials Science	1	0	0	0	1	0	100%	0%	0	0	0	1	0	100%	0%	0	0%	N/A	N/A
Chemistry	13	9	2	0	2	0	85%	69%	10	2	0	1	0	85%	77%	7	54%	43%	57%
Chicano Latino Studies	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Civil and Environmental Engineering	5	4	1	0	0	0	80%	80%	4	0	0	0	1	100%	100%	0	0%	N/A	N/A
Classics	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Cognitive Sciences	7	4	1	0	1	1	83%	67%	4	0	0	2	1	100%	67%	1	14%	0%	0%
Comparative Literature	3	2	0	0	1	0	100%	67%	2	0	0	0	1	100%	100%	0	0%	N/A	N/A
Computer Science	11	5	4	1	1	0	64%	45%	5	1	1	3	1	90%	50%	3	27%	33%	33%
Core Social Ecology	1	0	1	0	0	0	0%	0%	0	1	0	0	0	0%	0%	0	0%	N/A	N/A
Criminology Law & Society	4	4	0	0	0	0	100%	100%	4	0	0	0	0	100%	100%	0	0%	N/A	N/A
Dance	6	5	0	0	1	0	100%	83%	2	0	0	1	3	100%	67%	2	33%	50%	0%
Developmental & Cell Biology	5	5	0	0	0	0	100%	100%	5	0	0	0	0	100%	100%	1	20%	100%	100%
Drama	7	4	1	0	2	0	86%	57%	4	0	0	1	2	100%	80%	4	57%	50%	50%
Earth System Science	4	3	0	0	1	0	100%	75%	3	0	0	0	1	100%	100%	1	25%	100%	100%
East Asian Studies	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Ecology & Evolutionary Biology	7	5	0	0	2	0	100%	71%	6	0	0	1	0	100%	86%	4	57%	50%	75%
Economics	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Education	12	8	0	1	2	1	100%	73%	6	0	1	2	3	100%	67%	6	50%	67%	67%
Electrical Engineering and Computer Science	5	5	0	0	0	0	100%	100%	5	0	0	0	0	100%	100%	1	20%	100%	100%
Emergency Medicine	6	4	0	2	0	0	100%	67%	3	0	2	0	1	100%	60%	2	33%	100%	100%
English	8	7	0	0	1	0	100%	88%	7	0	0	1	0	100%	88%	0	0%	N/A	N/A
Environmental & Occupational Health	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Epidemiology	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
European Languages & Studies	3	2	0	0	1	0	100%	67%	2	0	0	1	0	100%	67%	1	33%	0%	0%
Film & Media Studies	4	3	0	0	1	0	100%	75%	3	0	0	1	0	100%	75%	2	50%	50%	50%
Global & International Studies	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Health, Society & Behavior	1	0	0	0	1	0	100%	0%	0	0	0	1	0	100%	0%	0	0%	N/A	N/A
History	6	3	0	0	3	0	100%	50%	3	0	0	3	0	100%	50%	3	50%	33%	33%
Informatics	8	5	1	0	2	0	88%	63%	5	0	0	2	1	100%	71%	4	50%	25%	25%
Language Science	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Logic & Philosophy of Science	4	4	0	0	0	0	100%	100%	3	0	0	0	1	100%	100%	2	50%	100%	50%
Material Science & Engineering	10	7	0	0	3	0	100%	70%	7	0	0	1	2	100%	88%	5	50%	60%	60%
Mathematics	12	9	0	0	3	0	100%	75%	9	0	0	3	0	100%	75%	5	42%	40%	40%
Mechanical & Aerospace Engineering	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Medicine	9	8	0	0	1	0	100%	89%	8	0	0	1	0	100%	89%	1	11%	100%	100%
Microbiology & Molecular Genetics	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Molecular Biology & Biochemistry	7	7	0	0	0	0	100%	100%	7	0	0	0	0	100%	100%	4	57%	100%	100%
Music	3	2	1	0	0	0	67%	67%	2	1	0	0	0	67%	67%	0	0%	N/A	N/A
Neurobiology & Behavior	10	8	0	1	1	0	100%	80%	8	0	1	1	0	100%	80%	3	30%	100%	100%

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Neurological Surgery	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Neurology	7	7	0	0	0	0	100%	100%	7	0	0	0	0	100%	100%	2	29%	100%	100%
Nursing	4	4	0	0	0	0	100%	100%	4	0	0	0	0	100%	100%	3	75%	100%	100%
Obstetrics & Gynecology	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Occupational & Environmental Health	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	1	50%	100%	100%
Ophthalmology	5	4	1	0	0	0	80%	80%	4	0	0	1	0	100%	80%	0	0%	N/A	N/A
Orthopedic Surgery	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	1	100%	100%	100%
Otolaryngology	4	4	0	0	0	0	100%	100%	4	0	0	0	0	100%	100%	0	0%	N/A	N/A
Pathology	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Pathology & Laboratory Medicine	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Paul Merage School of Business	12	11	1	0	0	0	92%	92%	10	1	0	0	1	91%	91%	0	0%	N/A	N/A
Pediatrics	11	9	1	1	0	0	91%	82%	9	1	1	0	0	91%	82%	0	0%	N/A	N/A
Pharmaceutical Science	4	4	0	0	0	0	100%	100%	4	0	0	0	0	100%	100%	2	50%	100%	100%
Philosophy	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	1	50%	100%	100%
Physical Medicine & Rehabilitation	2	1	0	0	1	0	100%	50%	1	0	0	1	0	100%	50%	1	50%	0%	0%
Physics & Astronomy	15	13	0	1	1	0	100%	87%	12	0	1	1	1	100%	86%	3	20%	67%	67%
Physiology & Biophysics	5	4	1	0	0	0	80%	80%	4	1	0	0	0	80%	80%	1	20%	0%	0%
Plastic Surgery	1	0	1	0	0	0	0%	0%	0	0	0	0	1	#DIV/0!	#DIV/0!	1	100%	0%	0%
Political Science	8	7	1	0	0	0	88%	88%	7	1	0	0	0	88%	88%	1	13%	0%	0%
Program in Public Health	4	3	1	0	0	0	75%	75%	3	1	0	0	0	75%	75%	2	50%	100%	100%
Psychiatry & Human Behavior	3	3	0	0	0	0	100%	100%	3	0	0	0	0	100%	100%	1	33%	100%	100%
Psychological Science	11	7	1	1	2	0	91%	64%	7	1	0	2	1	90%	70%	4	36%	50%	50%
Radiation Oncology	2	2	0	0	0	0	100%	100%	2	0	0	0	0	100%	100%	0	0%	N/A	N/A
Radiological Sciences	5	5	0	0	0	0	100%	100%	4	0	0	0	1	100%	100%	0	0%	N/A	N/A
School of Law	11	8	3	0	0	0	73%	73%	11	0	0	0	0	100%	100%	0	0%	N/A	N/A
Sociology	8	5	1	0	2	0	88%	63%	4	1	0	2	1	86%	57%	5	63%	60%	40%
Spanish & Portuguese	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Statistics	1	1	0	0	0	0	100%	100%	1	0	0	0	0	100%	100%	0	0%	N/A	N/A
Surgery	4	3	0	0	1	0	100%	75%	2	0	0	1	1	100%	67%	0	0%	N/A	N/A
Urban Planning & Public Policy	5	5	0	0	0	0	100%	100%	5	0	0	0	0	100%	100%	0	0%	N/A	N/A
Urology	3	3	0	0	0	0	100%	100%	3	0	0	0	0	100%	100%	0	0%	N/A	N/A
Total	380	296	29	9	44	2	92%	78%	287	15	9	40	29	96%	82%	101	27%	62%	60%

*Denominator does not include Pending cases