

October 5, 2018

To: All Faculty, Department Chairs, and Business Officers (via SBFACU-L, SBCHR-L, and SBADM-L)

From: Cindy Doherty, Director
Academic Personnel

Re: Academic Personnel Policy Issuances: Lecturer SOE policy

ACADEMIC PERSONNEL POLICY (APM) ISSUANCES

The Office of the President has issued revisions to the APM policies covering employees in the Lecturer with Security of Employment series. The following sections of the APM have been revised:

- APM Section 285, Lecturer with Security of Employment Series
- APM Section 210-3, Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series
- APM Section 133, Limitation on Total Period of Service with Certain Academic Titles
- APM Section 740, Leaves of Absence/Sabbatical Leaves
- APM Section 135, Security of Employment
- APM Section 235, Acting Appointments

Key changes include:

Revised review criteria. Teaching and teaching related tasks remain the primary responsibility in this series. Secondary required responsibilities include professional and/or scholarly activities, including creative activities, especially as they relate to instruction and pedagogy, and University and public service. New language regarding “teaching excellence” has been added and “creative activities” are now acknowledged as appropriate contributions.

New salary scale. Appointees in the series will be transitioned to a rank/step salary scale equivalent to the Professorial series.

Sabbatical leave: Appointees in the series are now eligible for sabbatical leave. For UCSB this simply means “educational leave” will now be called sabbatical leave.

Prior service in Lecturer titles: Prior service as a represented lecturer will no longer count against the tenure clock for appointees in the series. Current appointees impacted by this change will be individually contacted.

While the policies are effective immediately, campuses have until July 1, 2019, to fully implement the changes. The Academic Personnel office, in consultation with the CAP and Deans, will develop an implementation plan for our campus and Red Binder language reflecting local policies and procedures will be updated within the next few months. We expect to begin sharing the implementation plan with the campus by the end of Fall quarter.

The issuance letter and copies of APM 210 and APM 285 are attached. These documents as well as the additional revised policies are available online at: <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>.

Questions may be directed to Helly Kwee at helly.kwee@ucsb.edu or Lia Cabello at lia.cabello@ucsb.edu.

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OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

October 3, 2018

CHANCELLORS
LABORATORY DIRECTOR MICHAEL WITHERELL
ACADEMIC COUNCIL CHAIR ROBERT MAY
ANR VICE PRESIDENT GLENDA HUMISTON

Re: Issuance of Revised Academic Personnel Manual (APM) Section 285, Lecturer with Security of Employment Series (APM - 285); Section 210, Review and Appraisal Committees (APM - 210); Section 133, Limitation on Total Period of Service with Certain Academic Titles (APM - 133); Section 740, Leaves of Absence/Sabbatical Leaves (APM - 740); Section 135, Security of Employment (APM - 135); and Section 235, Acting Appointments (APM - 235)

Dear Colleagues:

I am formally transmitting revised sections of the Academic Personnel Manual (APM) as follows:

- Section 285, Lecturer with Security of Employment Series (APM - 285);
- Section 210-3, Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series (APM - 210-3);
- Section 133, Limitation on Total Period of Service with Certain Academic Titles (APM - 133);
- Section 740, Leaves of Absence/Sabbatical Leaves (APM - 740);
- Section 135, Security of Employment (APM - 135); and
- Section 235, Acting Appointments (APM - 235).

The revised suite of policies (collectively the “LSOE policies”) may be found online at: <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>.

Each of the policies is issued effective October 1, 2018. Campuses will have until July 1, 2019 to fully implement the revised LSOE policies.

Consultation Process

The revised LSOE policies have undergone extensive development and review by key stakeholders over the last several years. The following is a summary of the comprehensive review process:

- Academic Affairs/Academic Personnel Vice Provosts Subcommittee (2014)
 - This subcommittee was convened and charged with identifying major areas of the LSOE policy requiring revision.
 - In January 2015, the subcommittee submitted a report recommending that the policies be revised to more accurately reflect the requirements for advancement in the title series making hiring, evaluation, and promotion practices more consistent across the University.
- LSOE Senate-Administration Work Group (Fall 2015)
 - This work group reviewed the issues identified by the Academic Affairs/Academic Personnel Vice Provosts Subcommittee and developed recommendations for each of the issues in a February 2016 report.
- Academic Personnel LSOE Work Group (June 2016)
 - This work group was charged with drafting policy revisions reflecting the concepts and principles identified in the earlier reports and submitted its report and proposed draft policy revisions in June 2016.
- Management Consultation (October 2016 - December 2016)
- First Systemwide Review (March 2017 - June 2017)
 - Feedback received during the management consultation was incorporated into the draft policy revisions and circulated for review.
- Second Systemwide Review (December 2017 - March 2018)
 - Feedback received during the first systemwide review was incorporated into the draft policy revisions and circulated for a second review.
- Academic Council Work Group (March 2018 - May 2018)
 - The Academic Senate was consulted throughout the entire review process culminating with an Academic Council Work Group's review of the policies from March 2018 to May 2018.
 - The Academic Council provided its final support for the proposed policy revisions in May 2018.

Key Policy Revisions

Summarized below are the key policy revisions:

General. The Lecturer with Security of Employment series is used for appointees whose primary responsibilities are teaching and teaching-related tasks. Secondary required responsibilities include professional and/or scholarly activities, including creative activities, especially as they relate to instruction and pedagogy, and University and public service.

Series. The series name of "Lecturer with Security of Employment Series" is retained.

Title. The revised title and ranks within the series are Lecturer with Potential for Security of Employment, Lecturer with Security of Employment, and Senior Lecturer with Security of Employment, with the ability to use the acting title prefix, as warranted. The proposed title of “Teaching Professor” was initially recommended; however, full consensus on the title was difficult to achieve. As a compromise, the current titles will be retained with the ability to use a campuswide working title at campus discretion in accordance with APM - 285-8-f:

“When it is desirable and in order to meet campus needs and with the approval of the Chancellor following consultation with the Academic Senate, a working title may be assigned in addition to the payroll title for use campuswide, provided the working title is not the same as an official University payroll title used for a different position.”

Limits on Use of Title. The revised policy clarifies that the Chancellor, in consultation with the Academic Senate, may establish a limit to the number of faculty hired into this series at the campus, school, or departmental level.

Criteria. New language on “teaching excellence” has been added to the review criteria to update the language on teaching expectations and to add specific criteria for review. In addition, revised language on “professional and/or scholarly achievement and activity” offers more specificity in the activities that would fit into this category. “Creative activities” are now acknowledged as appropriate contributions.

Sabbatical. The revisions to APM - 740 offer sabbatical to LSOE faculty so that they may engage in intensive programs of study in order to be more effective teachers and scholars, with the goal of enhancing their teaching and scholarly responsibilities. The UCOP Academic Personnel and Programs Office has developed guidelines to assist campuses in determining the starting sabbatical credit balance that should be assigned to those faculty currently in the LSOE series.

Senate Membership. Regents’ Standing Order 105.1 governing the status of Senate membership for Lecturers with Security of Employment was revised on September 27, 2018, to extend Academic Senate membership to all LSOE appointees regardless of their percentage appointment. Accordingly, revised APM - 285 extends Senate membership to all Lecturers with Potential for Security of Employment, Lecturers with Security of Employment, and Senior Lecturers with Security of Employment.

Implementation

Campuses have until July 1, 2019 to implement the revised policies, including adoption of a new rank and step structure with attendant discipline-based salary scales. UCOP Academic Personnel and Programs has developed a detailed implementation toolkit that has been issued in conjunction with the revised policies. A guiding implementation principle is that all faculty currently in LSOE titles should be subject to all aspects of the

revised policies, with a delayed implementation of the revised review criteria for LSOE faculty appointed prior to October 1, 2018.

LSOE faculty appointed prior to October 1, 2018 will continue to be evaluated under the review criteria set forth in policies in effect on September 30, 2018. By the earlier of a date specified by the campus or June 30, 2023, these individuals are expected to transition to the October 1, 2018 revised criteria. This will provide sufficient time to develop the teaching excellence and professional and/or scholarly achievement and activity, including creative activities, required for advancement under the revised criteria. Individuals who prefer to be evaluated under the revised criteria prior to the date specified by the campus should contact their campus Academic Personnel Office. After the date specified by the campus, which shall not be later than June 30, 2023, individuals who wish to continue to be evaluated under the criteria in effect on September 30, 2018, may seek an exception to policy through their campus Academic Personnel Office.

Compensation and Salary Scales. UCOP Academic Personnel and Programs has developed revised salary scales for the LSOE series based on the same salary scales as the Professor series and operating under several principles: 1) the steps and advancement periods for the LSOE series will be the same as those for the Professor series, including the Business/Engineering/Economics, Law, Veterinary Medicine, and Health Sciences scales; 2) salaries for incumbents in the LSOE series will not be reduced in the transition to the revised scales; and 3) campuses will transfer incumbents to the rank/step system based on years of experience and the appointment criteria set forth in the revised policies with input from the Academic Senate (i.e., the Committee on Academic Personnel or an ad hoc committee for this purpose).

I wish to thank all members of the University community for their efforts to revise these policies. Your contributions are deeply appreciated.

Sincerely,



Michael T. Brown, Ph.D.

Provost and

Executive Vice President for Academic Affairs

Enclosures

cc: President Napolitano
Executive Vice Chancellors/Provosts
Executive Vice President, Chief Operating Officer, and Chief of Staff Nava
Senior Vice President and Chief Compliance Officer Bustamante
Vice Provost Carlson
Vice President Duckett
Vice President Ellis

October 3, 2018

Page 5

Vice Provosts/Vice Chancellors of Academic Affairs/Personnel

Academic Personnel Directors

Deputy General Counsel Woodall

Executive Director Baxter

Executive Director Chester

Executive Director Peterson

Chief of Staff and Director Henderson

Chief of Staff Levintov

Director Grant

Director Lee

Manager Donnelly

Manager Smith

HR Manager Crosson

Policy Analyst Wilson

285-0 **Policy¹**

- a. Lecturer titles that have or lead to security of employment are faculty positions designed to meet the long-term instructional needs of the University that cannot be best fulfilled by an appointee in the professorial series. (See [APM - 220](#).)
- b. A budgeted FTE must be allocated for any full-time appointment in this series. Should the Chancellor approve a less than one hundred percent (100%) appointment, a portion of a budgeted FTE equal to the percent time appointment must be allocated. See APM - 285-16 for more information on part-time appointments.

285-4 **Definition**

- a. The Lecturer with Security of Employment (LSOE) series is used for appointees who are members of the faculty of an academic or professional college, school, division, department, or program of the University whose primary responsibility is teaching and teaching-related tasks and secondary responsibility is professional and/or scholarly achievement and activity, including creative activity, especially as they relate to instruction and pedagogy. The faculty in this series also have responsibility for University and public service.
- b. An appointee in this series will regularly carry a heavier load of teaching than appointees in the professorial series.

285-8 **Types of Appointments**

- a. Titles in the Lecturer with Security of Employment series are:
 - (1) Lecturer with Potential for Security of Employment. This title is used for those that have not yet been conferred security of employment.
 - (2) Lecturer with Security of Employment.

¹ Until the earlier of a date specified by the campus or June 30, 2023, faculty appointed in the Lecturer with Security of Employment series prior to October 1, 2018, will continue to be evaluated under the criteria in effect as of September 30, 2018, and set forth in Appendix A to this policy. All other provisions of this policy apply effective October 1, 2018.

- (3) Senior Lecturer with Security of Employment.
- b. An *appointment* (as distinguished from a promotion or reappointment) occurs when a person is employed in one of the three ranks above, if the individual's immediately previous status was:
 - (1) not in the employ of the University;
 - (2) in the employ of the University but not with a title in this series; or
 - (3) in the employ of the University in the same title but at a different campus.
- c. A *promotion* is advancement from one rank to a higher rank within the LSOE series.
- d. A *merit increase* is advancement in salary rate and/or step without change of rank. (See [APM - 610](#), Salary Increases.)
- e. A *reappointment* is the renewal of a Lecturer with Potential for Security of Employment appointment immediately following the end date of a previous appointment (i.e., without a break in service). A reappointment may or may not be accompanied by a merit increase.
- f. Acting titles may be used. (See [APM - 235](#).)
- g. When it is desirable in order to meet campus needs and with the approval of the Chancellor following consultation with the Academic Senate, a working title may be assigned in addition to the payroll title for use campuswide, provided the working title is not the same as an official University payroll title used for a different position.

285-9 **Criteria**

- a. A candidate for appointment, reappointment, merit increase, or promotion in this series shall be evaluated by the following three criteria with teaching excellence being more highly weighted than the other two:
 - (1) Teaching excellence: The demonstration and maintenance of teaching excellence is the primary criterion for the series.
 - (2) Professional and/or scholarly achievement and activity, including creative activity.

(3) University and public service.

These criteria are further explained in [APM - 210-3](#), *Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment (LSOE) Series*.

b. Change of series

In cases when there has been a review of an Assistant Professor and the Chancellor has decided not to continue the individual's appointment in the professorial series, the individual may not subsequently be appointed on any campus to the LSOE series (or certain other titles) for a period of five (5) years. (See [APM - 133-0-a\(3\)](#).)

Upon the recommendation of the department, and consistent with campus academic review processes, the Chancellor may appoint an Associate Professor or Professor to the Lecturer with Security of Employment or Senior Lecturer with Security of Employment title. This change of series requires the written consent of the faculty member.

An appointee in the Lecturer with Security of Employment series may have a change of series into the professorial series consistent with campus academic review processes and only upon satisfying recruitment compliance.

285-16 **Restrictions**

The following restrictions apply to the use of titles in this series:

- a. In order to maintain the University's mission for an appropriate balance between education, research, and service, the Chancellor, in consultation with the Academic Senate, may establish a cap on the number of appointments in this series. If so desired, a cap may be set for each school or department.
- b. Normally, an appointment to this series is for one hundred percent (100%) time to the University.
- c. Security of employment may be granted only for an appointment at more than 50 percent (50%) time unless the Chancellor, whose authority may not be redelegated, approves the appointment by special exception.
- d. An initial appointment at less than one hundred percent (100%) but more than fifty percent (50%) or more time with a title in this series, or a subsequent temporary or permanent reduction in the percent time of the appointment, may be authorized under exceptional circumstances, provided the Chancellor

specifically approves the arrangement as being in the best interests of the University based on the particular situation.

A memorandum of understanding between the Chancellor and the part-time appointee shall be signed by both parties, to clarify the following:

- (1) There are no implied rights to current or future full-time security of employment and the only security of employment granted with this appointment is at the agreed upon percentage; and
 - (2) Workload expectations are based on the specified percentage of time of the appointment.
- e. Appointment and advancement of a part-time appointee shall depend on the quality of performance in teaching excellence, professional and/or scholarly achievement, including achievement and activity in creative work, and service with teaching being more highly weighted than the other two. Expectations for the quantity of performance shall be based on the percentage of time of the appointment, but expectations of the quality are the same as one hundred percent (100%) time. In all cases, when an appointee is considering a part-time appointment, or a temporary or permanent reduction in the percentage of time of an appointment, the terms of the appointment and the performance expectations shall be discussed by the dean, department chair, and the appointee at the outset and documented in a memorandum of understanding for advancement.
- f. When there has been a review of a Lecturer with Potential for Security of Employment, Assistant Professor in the Professorial series, Assistant Professor in Residence, or Assistant Professor of Clinical (e.g., *Medicine*) and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not be appointed on any campus to certain faculty titles for a period of five (5) years as set forth in APM - 133, Appendix A and also APM - 133-0-a(3) and b(3).

285-17 **Terms of Service**

- a. Lecturer with Potential for Security of Employment

- (1) Term of Appointment

Each appointment and reappointment is limited to a maximum term of two (2) years with a specific end date. The total University service with this title in combination with certain other titles may not exceed eight (8) years, in accordance with APM - 133-0-b.

(2) Appointment for Less Than Two (2) Years

The appointment or reappointment of a Lecturer with Potential for Security of Employment may be for a period of less than two (2) years only under the following circumstances:

- (a) An appointment or reappointment with an effective date other than July 1st shall end typically on the second June 30th following the appointment or reappointment.
- (b) A promotion or merit increase may become effective on July 1st before the end of a two (2)-year term, but such advancement shall mark the beginning of a new term of appointment.
- (c) Consistent with the eight-year limit, a terminal appointment for a Lecturer with Potential for Security of Employment may be for a period of less than two (2) years provided adequate notice has been given, as stipulated in APM - 285-17-a(4).

(3) Advancement

An appointee holding the title Lecturer with Potential for Security of Employment is eligible for reappointment, merit increase, and promotion based on careful review of the appointee's progress and achievement in meeting the criteria of the series.

(4) Notice for Non-Renewal of Appointment

When an appointment as a Lecturer with Potential for Security of Employment is not to be renewed, written notice shall be given by the Chancellor prior to the expiration date in accordance with the schedule below.

- (a) With less than one (1) year of service as a Lecturer with Potential for Security of Employment by the end of the current period of appointment: at least a four (4)-month notice.
- (b) With at least one (1) complete year of service and not more than two (2) years of service as a Lecturer with Potential for Security of Employment by the end of the current period of appointment: at least a six (6)-month notice.

- (c) With more than two (2) years of service as a Lecturer with Potential for Security of Employment by the end of the current period of appointment: at least a twelve (12)-month notice.
- (5) Termination Before the End of the Appointment Period
- (a) Lecturer with Potential for Security of Employment

Termination of the appointment of a Lecturer with Potential for Security of Employment before the expiration of the appointment shall be only for good cause, after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate in accordance with Regents' Bylaw 40 and Senate Bylaws 336 or 337.

- (b) Lecturer with Security of Employment and Senior Lecturer with Security of Employment

All appointments and promotions to the ranks of Lecturer with Security of Employment and Senior Lecturer with Security of Employment shall continue until terminated by resignation, retirement, or dismissal. An appointment with security of employment shall not be terminated except for good cause after the opportunity for a hearing before the properly constituted advisory committee of the Academic Senate, in accordance with Regents' Bylaw 40 and Senate Bylaws 336 or 337.

285-18 **Salary**

The Office of the President publishes a salary scale for this series. The Lecturer with Security of Employment series will include three ranks and the same steps as the professorial series.

The Chancellor, after appropriate review, has authority to approve salaries up to and including the Indexed Compensation Level (ICL) threshold.

The Provost and Executive Vice President for Academic Affairs has authority to approve salaries exceeding the ICL threshold. (See [APM - 220-85-d.](#))

285-19 **Normative Periods of Service**

The normative periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit or more gradual advancement when warranted and if unrelated to a Lecturer with Potential for Security of Employment's eight-year limitation. Personnel reviews that are deferred due to extending the security of employment clock (stopping the clock) for reasons as defined in [APM - 133-17-g, -h, and -i](#) or a family accommodation as defined in [APM - 760](#) should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of the extension, counts in the evaluation of the candidate's review file. The file shall be evaluated without prejudice, without regard to the length of service at the Lecturer with Potential for Security of Employment rank, and so stated in the department chair's letter.

- (1) For a Lecturer with Potential for Security of Employment, the total period of University service in the title Lecturer with Potential for Security of Employment or in this and certain other titles (see [APM - 133-0](#)) shall not exceed eight (8) years, except as provided in [APM - 133-12](#). The normative period of service at a given step in this rank is two (2) years.
- (2) For a Lecturer with Security of Employment, the normative period of service in this rank is six (6) years. The normative period of service at step is two (2) years in each of the first three (3) steps. Service at Steps IV and V is three (3) years in each step.
- (3) For a Senior Lecturer with Security of Employment, the normative period of service is three (3) years at step in each of the first four (4) steps. Service at Step V and above may be of indefinite duration. Advancement to Step VI usually will not occur after less than three (3) years of service at Step V. This involves an overall career review and will be granted on evidence of sustained and continuing excellence in each of the following three (3) categories, with teaching excellence receiving primary weighting above the others: (1) extraordinary effectiveness and excellence in teaching and teaching-related tasks; (2) professional and/or scholarly achievement and activity; and (3) University and public service. Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX, will usually not occur before three (3) years at step, and will only be granted on evidence of continuing achievement at the level required for advancement to Step VI.

Advancement to an Above-Scale rank involves an overall career review and is reserved only for the most highly accomplished faculty (1) whose work of sustained and continuing excellence has attained national or international recognition and broad acclaim reflective of its significant impact on education within the discipline; (2) whose contributions to University teaching and education outcomes are excellent; and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur after less than four (4) years at Step IX. Moreover, mere length of service and continued good performance at Step IX are not justification for further merit advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A merit advancement for a candidate already serving at above-scale must be justified by continuing evidence of accomplishment commensurate with this level. Continued good service is not an adequate justification. Intervals between such merit advances may be indefinite, and only in the most superior cases where there is strong and compelling evidence will advances at intervals shorter than four (4) years be approved.

285-20 Conditions of Employment

- a. Lecturers with Potential for Security of Employment, Lecturers with Security of Employment, and Senior Lecturers with Security of Employment are members of the Academic Senate, per Regents' Standing Order 105.1(a).
- b. An appointee to this series may be assigned to teach courses at any level.
- c. An appointee with a title in this series is eligible to apply for sabbatical leave. (See [APM - 740](#).)

285-24 Authority

Authority to approve appointments, reappointments, merit increases, and promotions to titles in this series are as follows:

- a. Lecturer with Potential for Security of Employment
The Chancellor, after appropriate review. (See [APM - 220-82](#).)
- b. Lecturer with Security of Employment
The Chancellor, after appropriate review. (See [APM - 220-85](#).)

- c. Senior Lecturer with Security of Employment

The Chancellor, after appropriate review. (See [APM - 220-85](#).)

285-80 Review Procedures

The Chancellor, in consultation with the Committee on Academic Personnel, may develop local review procedures for the Lecturer with Security of Employment series. Campus procedures for review and advancement shall be modeled on the general pattern of the review process for members of the professorial series. (See [APM - 220-80](#) and [APM - 210-3](#).)

285-95 Letters of Invitation and Notification

See [APM - 220-95](#) for model language. The term “security of employment” shall be substituted for the term “tenure.”

Revision History

October 1, 2018:

- Substantive revisions, including the following key revisions:
 - New and revised evaluation criteria;
 - Ability to use a working title;
 - Eligibility for sabbatical;
 - Establishment of a rank and step system; and
 - Senate membership at all percentages of appointments.

For details on prior revisions, please visit the Academic Personnel and Programs website:

<https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>.

Until June 30, 2023, review criteria in this appendix shall apply to individuals appointed in the Lecturer with Security of Employment Series prior to October 1, 2018.

APPOINTMENT AND PROMOTION
Lecturer with Security of Employment Series

APM - 285
Appendix A

285-10 Criteria

- a. A candidate for appointment, merit increase, or promotion in this series shall be judged by achievements in the following areas: teaching, professional achievement and activity, and University and public service.

Criteria for examining achievement in these areas are set forth in [APM - 210-3](#), *Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment (SOE) Series*.

- b. The title Senior Lecturer with Potential for Security of Employment (PSOE) or Senior Lecturer with Security of Employment (SOE) may be assigned to an appointee who provides services of exceptional value to the University and whose excellent teaching and professional accomplishments have made him or her a recognized leader in his or her professional field and/or in education.
- c. Appointment and advancement of a part-time appointee with a title in this series shall depend on the quality of performance at a level of distinction comparable to that demanded of a full-time appointee; however, when circumstances warrant, a lesser rate of professional achievement and activity will be acceptable. Teaching assignments and departmental, committee, and other service should be in proportion to the percentage of time of the position, but the same quality of performance is expected as for a full-time appointee.
- d. Transfer of appointees in the regular professorial series to the Lecturer SOE series.
 - (1) In cases when there has been a review of an Assistant Professor and the Chancellor has decided not to continue the individual's appointment in the professorial series, the individual may not subsequently be appointed on any campus to the Lecturer SOE series (or certain other titles) for a period of five years. (See [APM - 133-0-a\(3\)](#).)

Until June 30, 2023, review criteria in this appendix shall apply to individuals appointed in the Lecturer with Security of Employment Series prior to October 1, 2018.

APPOINTMENT AND PROMOTION
Lecturer with Security of Employment Series

APM - 285
Appendix A

- (2) Upon the recommendation of the department and following regular academic review, the Chancellor may transfer an Associate Professor or Professor to the Lecturer SOE or Senior Lecturer SOE title. This transfer requires the written consent of the faculty member.
- e. When there has been a review of a Lecturer PSOE or Senior Lecturer PSOE and the Chancellor has decided not to continue the individual's appointment in that series, the individual may not subsequently be appointed on any campus to certain faculty titles for a period of five years. For a list of these faculty titles, see [APM - 133](#), Appendix A. (See also [APM - 133-0-b\(3\)](#).)

Criteria for LSOE appointments prior to 10/1/2018

Index

210-0 Policy

**210-1 Instructions to Review Committees That Advise on Actions Concerning
Appointees in the Professor and Corresponding Series**

- a. Purpose and Responsibility of the Review Committees
- b. Maintenance of the Committee's Effectiveness
- c. Procedure
- d. Criteria for Appointment, Promotion, and Appraisal
- e. The Report

Appendix A, Statement on Professional Ethics, 1966 AAUP

**210-2 Instructions to Review Committees That Advise on Actions Concerning the
Professor of Clinical (e.g., *Medicine*) Series**

**210-3 Instructions to Review Committees That Advise on Actions Concerning the
Lecturer with Security of Employment Series**

**210-4 Instructions to Review Committees That Advise on the Appointment, Merit
Increase, Promotion, Career Status Actions for Members of Librarian Series**

- a. Definition of Review Committee
- b. Purpose and Responsibility of Review Committee
- c. Maintenance of the Committee's Effectiveness
- d. Procedure
- e. Criteria

Index

**210-5 Instructions to Review Committees That Advise on Actions Concerning
Appointees in the Supervisor of Physical Education Series**

- a. Purpose and Responsibility of the Review Committee
- b. Maintenance of the Committee's Effectiveness
- c. Procedure
- d. Criteria for Appointment and Promotion
- e. The Report

**210-6 Instructions to Review Committees That Advise on Actions Concerning the
Health Sciences Clinical Professor Series**

210-24 Authority

Appendix B Criteria Applying to Lecturers With Security of Employment Appointed Prior to
October 1, 2018

210-0 Policy

In their deliberations and preparations of reports and recommendations, academic review and appraisal committees shall be guided by the policies and procedures set forth in the respective *Instructions* that appear below.

210-1 Instructions to Review Committees That Advise on Actions Concerning Appointees in the Professor and Corresponding Series

The following instructions apply to review committees for actions concerning appointees in the Professor series and the Professor in Residence series; and, with appropriate modifications, for appointees in the Adjunct Professor series.

a. Purpose and Responsibility of the Review Committees

The quality of the faculty of the University of California is maintained primarily through objective and thorough appraisal, by competent faculty members, of each candidate for appointment or promotion. Responsibility for this appraisal falls largely upon the review committees nominated by the Committee on Academic Personnel or equivalent Committee and appointed by the Chancellor or a designated representative. It is the duty of these committees to ascertain the present fitness of each candidate and the likelihood of the candidate's pursuing a productive career. In judging the fitness of the candidate, it is appropriate to consider professional integrity as evidenced by performance of duties. (A useful guide for such consideration is furnished by the *Statement on Professional Ethics* issued by the American Association of University Professors. A copy of this *Statement* is appended to these instructions of 210-1 for purposes of reference.) Implied in the committee's responsibility for building and maintaining a faculty of the highest excellence is also a responsibility to the candidate for just recognition and encouragement of achievement.

b. Maintenance of the Committee's Effectiveness

- (1) *The membership, deliberations, and recommendations of the review committee are strictly confidential.* The chair of each such committee should remind members of the committee of the confidential nature of the assignment. This should be kept in mind in arranging for all written or oral communications; and when recommendations with supporting documents have been forwarded, all copies or preliminary drafts should be destroyed. Under the provisions of Section 160 of the Academic Personnel Manual, the candidate is entitled to receive upon request from

the Chancellor a redacted copy of all confidential academic review records in the review file (without disclosure of the identities of members of the *ad hoc* review committee).

- (2) The whole system of academic review by committees depends for its effectiveness upon each committee's prompt attention to its assignment and its conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.
- (3) The chair of the review committee has the responsibility of making sure that each member of the committee has read and understands these instructions.

c. Procedure

- (1) **General** — Recommendations concerning appointment, promotion, and appraisal normally originate with the department chair. The letter of recommendation should provide a comprehensive assessment of the candidate's qualifications together with detailed evidence to support this evaluation. The letter should also present a report of the department chair's consultation with the members of the department, including any dissenting opinions. The letter should not identify individuals who have provided confidential letters of evaluation except by code. In addition to the letter of recommendation, the department chair is expected to assemble and submit to the Chancellor an up-to-date biography and bibliography, together with copies of research publications or other scholarly or creative work.
- (2) **Appointments** — The department chair should include in the documentation opinions from colleagues in other institutions where the nominee has served and from other qualified persons having firsthand knowledge of the nominee's attainments. Extramural opinions are imperative in cases of proposed appointments to tenure status of persons from outside the University.
- (3) **Promotions** — Promotions are based on merit; they are not automatic. Achievement, as it is demonstrated, should be rewarded by promotion. Promotions to tenure positions should be based on consideration of comparable work in the candidate's own field or in closely related fields. The department and the review committee should consider how the candidate stands in relation to other people in the field outside the University who might be considered alternative candidates for the position. The department chair shall supplement the opinions of

colleagues within the department by letters from distinguished extramural informants. The identity of such letter writers should not be provided in the departmental letter except by code.

- (4) **Assessment of Evidence** — The review committee shall assess the adequacy of evidence submitted. If in the committee's judgment the evidence is insufficient to enable it to reach a clear recommendation, the committee chair, through the Chancellor, shall request amplification. In every case all obtainable evidence should be carefully considered.

If in assessing all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-1-d below, the committee should recommend accordingly. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement. If there is evidence of sufficient achievement in a time frame that is extended due to stopping the clock for reasons as defined in APM - 133-17-g-i or a family accommodation as defined in APM - 760, the evidence should be treated procedurally in the same manner as evidence in personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of extension, counts in the evaluation of the candidate's review file. The file shall be evaluated without prejudice as if the work were done in the normative period of service and so stated in the department chair's letter.

d. Criteria for Appointment, Promotion, and Appraisal

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in: (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive. As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. *Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.* Insistence upon this standard for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and

transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career. The candidate may submit for the review file a presentation of his or her activity in all four areas.

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

The criteria set forth below are intended to serve as guides for minimum standards in judging the candidate, not to set boundaries to exclude other elements of performance that may be considered.

- (1) **Teaching** - Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will a tenure commitment be made unless there is clear documentation of ability and diligence in the teaching role. In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups. The committee should pay due attention to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of

evidence on which its appraisal of teaching competence has been based. In those exceptional cases when no such evidence is available, the candidate's potentialities as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that a redacted copy of its report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany each review file. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates who have achieved notable professional success since leaving the University; (d) number and caliber of students guided in research by the candidate and of those attracted to the campus by the candidate's repute as a teacher; and (e) development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction.

All cases for advancement and promotion normally will include: (a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review; (c) their level; (d) their enrollments; (e) the percentage of students represented by student course evaluations for each course; (f) brief explanations for abnormal course loads; (g) identification of any new courses taught or of old courses when there was substantial reorganization of approach or content; (h) notice of any awards or formal mentions for distinguished teaching; (i) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (j) evaluation by other faculty members of teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

- (2) **Research and Creative Work** — Evidence of a productive and creative mind should be sought in the candidate's published research or recognized artistic production in original architectural or engineering designs, or the like.

Publications in research and other creative accomplishment should be evaluated, not merely enumerated. There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance. Work in progress should be assessed whenever possible. When published work in joint authorship (or other product of joint effort) is presented as evidence, it is the responsibility of the department chair to establish as clearly as possible the role of the candidate in the joint effort. It should be recognized that special cases of collaboration occur in the performing arts and that the contribution of a particular collaborator may not be readily discernible by those viewing the finished work. When the candidate is such a collaborator, it is the responsibility of the department chair to make a separate evaluation of the candidate's contribution and to provide outside opinions based on observation of the work while in progress. Account should be taken of the type and quality of creative activity normally expected in the candidate's field. Appraisals of publications or other works in the scholarly and critical literature provide important testimony. Due consideration should be given to variations among fields and specialties and to new genres and fields of inquiry.

Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama, and dance, distinguished performance, including conducting and directing, is evidence of a candidate's creativity.

- (3) **Professional Competence and Activity** — In certain positions in the professional schools and colleges, such as architecture, business

administration, dentistry, engineering, law, medicine, etc., a demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the candidate's field. It is responsibility of the department chair to provide evidence that the position in question is of the type described above and that the candidate is qualified to fill it.

- (4) **University and Public Service** — The faculty plays an important role in the administration of the University and in the formulation of its policies. Recognition should therefore be given to scholars who prove themselves to be able administrators and who participate effectively and imaginatively in faculty government and the formulation of departmental, college, and University policies. Services by members of the faculty to the community, State, and nation, both in their special capacities as scholars and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality, should likewise be recognized as evidence for promotion. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence, as should contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of the faculty.

e. The Report

- (1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel or its equivalent and for action by the Chancellor and by the President. Consequently, the report should include an appraisal of all significant evidence, favorable and unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of

the qualifications specified above. It should be adequately documented by reference to the supporting material. It should document the vote of the review committee but not identify the voters. It should not provide the identity of individuals who have provided confidential evaluations except by code.

- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

Appended for reference is the statement on professional ethics referred to in APM - 210-1-a of these instructions.

*American Association of University Professors
Policy Documents & Reports
Pages 75-76, 1990*

Statement on Professional Ethics
(Endorsed by the Seventy-Third Annual Meeting, June 1987)

The Statement

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles of intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

- III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

- IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
- V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

210-2 Instructions to Review Committees That Advise on Actions Concerning the Professor of Clinical (*e.g., Medicine*) Series

- a. The policies and procedures set forth in APM - 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 275 for policies on the Professor of Clinical (*e.g., Medicine*) series.
- b. The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in:
(1) teaching, (2) professional competence and activity, (3) creative work, and (4) University and public service.

The department chair is responsible for documenting the faculty member's division of effort among the four areas of activity. The chair should also indicate the appropriateness of this division to the position that the individual fills in the department, school, or clinical teaching faculty.

Appointees in the Professor of Clinical (*e.g., Medicine*) series are to be evaluated in relation to the nature and time commitments of their University assignments.

The criteria set forth below are intended to serve as guides for the review committee in judging the candidate, not to set boundaries to the elements of performance that may be considered.

Clinical teaching, professional activity, and creative work may differ from standard professorial activities in the University, but can be judged on the basis of professional competence, intellectual contribution, and originality.

- (1) **Teaching** — Excellent teaching is an essential criterion for appointment or advancement. Clinical teaching is intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by pressure on the teacher to cope with unpredictably varied problems, by patient-centered immediacy of the subject matter, and by the necessity of preparing the student to take action as a result of the interchange.

Nevertheless, the criteria suggested in the instructions for the regular Professor series (see APM - 210-1) are applicable: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; the extent and skill of the

candidate's participation in the general guidance and advising of students.

In addition, the clinical teacher should be successful in applying knowledge of basic health science and clinical procedures to the diagnosis, treatment, and care of a patient in a manner that will not only assure the best educational opportunity for the student, but also provide high quality care for the patient.

For appointment to a title in this series, the appointee should have a record of active participation and excellence in teaching, whether for health professional students, graduate students, residents, postdoctoral fellows, or continuing education students.

For promotion to or appointment at the Professor rank, the appointee should be recognized as an outstanding clinical teacher. Most candidates will have designed educational programs at a local level, and some will have designed such programs at a national level.

- (2) **Professional Competence and Activity** — There must be appropriate recognition and evaluation of professional activity. Exemplary professional practice, organization of training programs for health professionals, and supervision of health care facilities and operations comprise a substantial proportion of the academic effort of many health sciences faculty. In decisions on academic advancement, these are essential contributions to the mission of the University and deserve critical consideration and weighting comparable to those of teaching and creative activity.

(a) Standards for Appointment or Promotion

For entry level positions, the individual should have three (3) or more years of training and/or experience post M.D., Ph.D. or equivalent terminal professional degree. In addition, an appointee should show evidence of a high level of competence in a clinical specialty.

For promotion to or appointment at the Associate Professor rank, an appointee should be recognized at least in the local metropolitan health care community as an authority within a clinical specialty. A physician normally will have a regional reputation as a referral physician; another health professional normally will have a regional reputation as evidenced in such work as that of a consultant.

For promotion to or appointment at the Professor rank, the appointee will have a national reputation for superior accomplishments within

a clinical specialty and may have a leadership role in a department or hospital. Appointees may receive patients on referral from considerable distances, serve as consultants on a nationwide basis, serve on specialty boards, or be members or officers of clinical and/or professional societies.

(b) Evaluation of Clinical Achievement

Evaluation of clinical achievement is both difficult and sensitive. In many cases, evidence will be testimonial in nature and, therefore, its validity should be subject to critical scrutiny. The specificity and analytic nature of such evidence should be examined; the expertise and sincerity of the informant should be weighed.

Overly enthusiastic endorsements and cliché-ridden praise should be disregarded.

Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. Letters from outside authorities, when based on adequate knowledge of the individual and written to conform to the requirements cited above, are valuable contributions. Evaluation or review by peers within the institution is necessary. The chair should also seek evaluations from advanced clinical students and former students in academic positions or clinical practice.

If adequate information is not included in the materials sent forward by the chair, it is the review committee's responsibility to request such information through the Chancellor.

- (3) **Creative work** — Many faculty in the health sciences devote a great proportion of their time to the inseparable activities of teaching and clinical service and, therefore, have less time for formal creative work than most other scholars in the University. Some clinical faculty devote this limited time to academic research activities; others utilize their clinical experience as the basis of their creative work.

An appointee is expected to participate in investigation in basic, applied, or clinical sciences. In order to be appointed or promoted to the Associate or full Professor rank, an appointee shall have made a significant contribution to knowledge and/or practice in the field. The appointee's creative work shall have been disseminated, for example, in a body of publications, in teaching materials used in other institutions, or in improvements or innovations in professional practice that have been adopted elsewhere.

Evidence of achievement in this area may include clinical case reports. Clinical observations are an important contribution to the advancement of knowledge in the health sciences and should be judged by their accuracy, scholarship, and utility. Improvements in the practice of health care result from the development and evaluation of techniques and procedures by clinical investigators. In addition, creative achievement may be demonstrated by the development of innovative programs in health care itself or in transmitting knowledge associated with new fields or other professions.

Textbooks and similar publications, or contributions by candidates to the professional literature and the advancement of professional practice or of professional education, should be judged as creative work when they represent new ideas or incorporate scholarly research. The development of new or better ways of teaching the basic knowledge and skills required by students in the health sciences may be considered evidence of creative work.

The quantitative productivity level achieved by a faculty member should be assessed realistically, with knowledge of the time and institutional resources allotted to the individual for creative work.

- (4) **University and Public Service** — The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. The department chair should provide both a list of service activities and an analysis of the quality of this service.

210-3 Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series¹

- a. The Bylaws of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and advancements.
- b. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e, shall govern the committee in the confidential conduct of its review

¹ Until the earlier of a date specified by the campus or June 30, 2023, faculty appointed in the Lecturer with Security of Employment series prior to October 1, 2018, will continue to be evaluated under the criteria in effect as of September 30, 2018, and set forth in Appendix B to this policy. All other provisions of this policy apply effective October 1, 2018.

and in the preparation of its report. The committee should refer to APM - 285 for policies on the Lecturer with Security of Employment series.

- c. A review committee shall evaluate the candidate with respect to the proposed rank and duties considering the record of the candidate's performance in:
(1) Teaching excellence, (2) Professional and/or scholarly achievement and activity, including creative activity, and (3) University and public service.

Superior intellectual attainment, as evidenced particularly in excellent teaching and secondarily in professional and/or scholarly achievement and activity, is an indispensable qualification for appointment or promotion to security of employment. This standard for appointees in the Lecturer with Security of Employment series is necessary for maintaining the quality of the University as an institution dedicated to education. A review committee must further evaluate whether the candidate has a record of excellence in teaching while engaging in a program of professional and/or scholarly or creative activity that is appropriate for this series.

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. For faculty in this title series, these contributions to diversity and equal opportunity are most likely to be focused on teaching and learning and can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or teaching that is particularly sensitive to diverse populations. Mentoring and advising of students and faculty members particularly from underrepresented and underserved populations should be given due recognition in the teaching or service categories of the academic personnel process.

- d. The candidates are expected to submit for the review file a presentation of their activity in all three areas of teaching excellence, professional and/or scholarly achievement and activity, and University and public service. Evidence may be relevant to evaluation of achievement in more than one category and a review committee will assign the evidence to the appropriate category. Campus guidelines may include separate requirements, expectations, or guidelines for various schools or departments. The criteria set forth below are intended to serve as guides for minimum standards by which to evaluate the candidate, not to set boundaries to exclude other elements of performance that may be considered.

(1) Teaching Excellence

Clearly demonstrated evidence of excellent teaching is an essential

criterion for appointment, advancement, or promotion. Faculty in the Lecturer with Security of Employment series are expected to maintain a continuous and current command of their disciplinary subjects. They should, among other things, demonstrate the ability to foster an inclusive, stimulating, and effective learning environment.

When evaluating the effectiveness of a candidate's teaching, a committee should consider the following objectives for individuals in this series: display evidence of continuous growth and mastery of the subject field; emphasize the connections between the subject and other fields of study; foster an environment that supports student curiosity, independent evaluation of evidence, and capacity to reason; provide guidance, mentoring, and advising to students; create an academic environment that facilitates active participation and learning by all students with a focus on developing effective strategies to advance learning by students in various underrepresented groups; contribute to the development and adoption of effective evidence-based pedagogical strategies including instructional units, materials, and resources; incorporate and promote significant curricular revisions informed by current pedagogical knowledge, and apply and advocate for effective teaching techniques.

A committee should attend to the variety of demands placed on the Lecturer with Security of Employment Series by the types of teaching called for in various disciplines and at various levels, and should evaluate the total performance of the candidate with proper reference to assigned teaching responsibilities. A committee should clearly indicate the sources of evidence on which its appraisal of teaching excellence has been based. In preparing its recommendation, a review committee should keep in mind that the report is an important record of the candidate's teaching and serves as the basis for additional recommendations and the final decision.

It is the responsibility of the department chair to submit meaningful evaluation, accompanied by supporting evidence, of the candidate's teaching effectiveness.

The following is a broadly defined, non-exclusive list of evidence that may be presented concerning teaching excellence:

- (a) Peer review assessments from other faculty members based on knowledge in the candidate's field; class visitations; attendance at the candidate's lectures before professional societies or in public; and the performance of students who have studied with the candidate;
- (b) Evaluations or comments solicited from students in courses taught since the candidate's last review;

- (c) A term-by-term enumeration of the number and types of courses and tutorials taught since the candidate's last review:
 - (i) the level of courses and tutorials taught;
 - (ii) the enrollments of courses and tutorials taught;
 - (iii) the percentage of student course evaluations in relation to the total number of students in each course;
 - (iv) brief explanation for abnormal course loads;
- (d) Identification of any new courses taught or of previously taught courses for which the candidate has substantially reorganized the approach and/or content;
- (e) Documentation of new substantive developments in the field or of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction;
- (f) Documentation of success as a positive role model or effective mentor for students at all levels; including those serving as teaching assistants;
- (g) Results from studies conducted to measure changes in student understanding of subject material from the beginning to the end of the course;
- (h) Written testimony from former students on the impact and
- (i) effectiveness of the candidate's teaching and mentorship;
- (j) Awards or other acknowledgments of excellent teaching;
- (k) A self-evaluation of the candidate's teaching.

Initial appointment to the Lecturer with Potential for Security of Employment title requires clear evidence of the potential for teaching excellence.

Appointment or promotion to the Lecturer with Security of Employment title requires clear documentation of consistent and sustained excellence in effective teaching. Under no circumstances will security of employment be conferred unless there is clear documentation of consistent and sustained excellence in teaching.

Appointment or promotion to the Senior Lecturer with Security of Employment title requires evidence of consistent and sustained excellence in effective teaching and demonstrated distinction in the special competencies appropriate to teaching the particular subject.

(2) **Professional and/or Scholarly Achievement and Activity**

Clearly demonstrated evidence of professional and/or scholarly achievement and activity, including creative activity, is one of the criteria for appointment or advancement. Professional and/or scholarly activities may be related to the underlying discipline itself or to the pedagogy. Such activities should provide evidence of achievement, leadership, and/or influence on the campus or beyond. Certain administrative work (e.g., of learning centers and teaching programs) and community outreach work are also relevant, as would be presentations of seminars or lectures at other institutions or professional societies, or participation in scholarly activities (e.g., summer seminars) designed to enhance scholarly expertise in relevant fields. Other records of participation in intensive programs of study - in order to be a more effective teacher and scholar, with the goal of enhancing one's teaching and scholarly responsibilities - are also relevant evidence of professional and/or scholarly activity.

Creative activities count as relevant professional and/or scholarly activities in appropriate disciplines. In certain fields, such as art, architecture, dance, music, literature, and drama, an accomplished creation should receive consideration as an example of professional and/or scholarly achievement and activity. In evaluating creative activities, an attempt should be made to define the candidate's merit in light of such criteria as originality, scope, richness, and depth of creative expression.

The following are broadly defined, non-exclusive examples of evidence that may be presented:

- (a) Documentation of the development of or contributions to:
 - (i) Original materials designed to improve learning outcomes;
 - (ii) Evidence-based design and evaluation of educational curricula or pedagogy;
 - (iii) Administration and evaluation of a teaching program or a learning center;
 - (iv) Systematic quality improvement programs and evaluation of their implementation;

- (v) Discipline-specific information systems;
- (vi) Development and evaluation of community outreach or community-oriented programs.
- (b) First, senior, or collaborative authorship of scholarly or professional publication;
- (c) Accomplished performance, including conducting and directing;
- (d) Accomplished artistic or literary creation, including exhibits;
- (e) Accepted invitations to present seminars or lectures at other institutions or before professional societies.

Initial appointment to the Lecturer with Potential for Security of Employment title requires evidence or promise of productive and creative contributions to professional and/or scholarly activity that would support excellent teaching.

Appointment or promotion to the Lecturer with Security of Employment title requires evidence of sustained professional and/or scholarly achievement and activity and a profile of excellent teaching.

Appointment or promotion to the Senior Lecturer with Security of Employment title requires evidence of consistent and sustained professional and/or scholarly achievement and activity and a profile of excellent teaching that have made the candidate a leader in the professional field and/or in education.

(3) University and Public Service

A review committee should evaluate the quantity and quality of service to the department, the campus, the University, and the public (whether to the local community, state, or nation). Service that is directly related to the candidate's professional expertise and achievement is of special relevance but so too is service in areas beyond those special capacities when the work done is of sufficiently high quality. Examples of service include: service related to the improvement of elementary and secondary education; service on thesis and dissertation committees or on student-faculty committees and service to student organizations; participation in Academic Senate and campus committees and initiatives; and contributions furthering diversity and equal opportunity within the University through participation in recruitment, retention, and mentoring of scholars and students.

Initial appointment to the Lecturer with Potential for Security of Employment title requires evidence of the likelihood of participation in department activities and the potential for service to the campus.

Appointment or promotion to the Lecturer with Security of Employment title requires evidence of activity on committees within the professional field, department, school, campus, or University; or service to the public in areas directly related to the candidate's professional expertise and achievement.

Appointment or promotion to the Senior Lecturer with Security of Employment title requires active participation on committees within the professional field, department, school, campus, or University; or of service to the public or profession in areas directly related to the candidate's professional expertise and achievement.

210-4 Instructions to Review Committees That Advise on the Appointment, Merit Increase, Promotion, Career Status Actions for Members of Librarian Series

- a. The committees here referred to, either standing or *ad hoc* or both, are designated as review committees in what follows. Authorization for their appointment is described in APM - 360-6-b and -c.
- b. The quality of the librarian series at the University of California is maintained primarily through objective and thorough review by peers and administrators of each candidate for appointment, merit increase, promotion, and career status action. Responsibility for this review falls, in part, upon the review committee(s). For purposes of appointments, it is the duty of these committees to assess the present qualifications of the candidates and their potential as productive members of the library staffs. For purposes of merit increases, promotions, and career status actions, it is the duty of these committees to assess an individual's performance during a given review period to determine if a merit, promotion, or career status action should be recommended. Review committees should refer to APM - 360 for information concerning appointment, merit increase, promotion, and career status actions.

In conducting its review and arriving at its judgment concerning a candidate, each review committee shall be guided by the criteria as mentioned in APM - 360-10 and described in APM - 210-4-e.

c. Maintenance of the Committees' Effectiveness

- (1) The deliberations and recommendations of the review committees are to be strictly confidential. The membership and report of each *ad hoc* review committee are confidential. The chair of each committee shall remind

members of the confidential nature of the assignment. This requirement must be kept in mind when arrangements are made through the Chancellor for written or oral communications. When recommendations with supporting documents have been forwarded to the Chancellor, all copies or preliminary drafts shall be destroyed. Under the provisions of APM - 360-80-1, the candidate is entitled to receive from the Chancellor a redacted copy of the confidential documents in the academic review record (without disclosure of the identities of members of the *ad hoc* review committee and without separate identification of the evaluation and recommendation made by the *ad hoc* review committee).

- (2) The entire system of review by such committees depends for its effectiveness upon each committee's prompt attention to its assignment and its conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.
- (3) The chair of the review committee has the responsibility for making sure that each member of the committee has read and understands these instructions.

d. Procedures

- (1) **General** - Recommendations for appointments, merit increases, promotions, and career status actions typically originate with the department or unit head, herein called the review initiator, (see APM - 360-80-e). The letter of recommendation shall provide a comprehensive assessment of the candidate's qualifications, together with detailed evidence to support the evaluation. The letter should also present a report of consultation with appropriate members of the professional library staff and others in a position to evaluate performance and should include any dissenting opinions.

In the case of an appointment, opinions from colleagues in other institutions where the candidate has served and from other qualified persons having firsthand knowledge of the candidate's attainments are to be included, if feasible.

In the review of a proposed merit increase, promotion, or career status action (the general procedure for all shall typically be the same, subject to any special campus procedures), extramural evidence, when it can be obtained, is highly desirable although not required.

- (2) **Assessment of Evidence** - The review committee shall assess the adequacy of the evidence submitted. If, in the committee's judgment, the evidence is incomplete or inadequate to enable it to reach a clear recommendation, the committee shall solicit additional information through

the Chancellor and request amplification or new material. In every case, all obtainable evidence shall be carefully considered.

If, according to such evidence, the candidate fails to meet the criteria set forth in APM - 210-4-e, the committee should recommend against the proposed action.

If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse or propose a recommendation for higher rank or higher salary point within rank which would constitute an accelerated advancement of an appointee.

e. Criteria

- (1) **Appointments** - A candidate for appointment to this series shall have a professional background of competence, knowledge, and experience to assure suitability for appointment to this series. Such background will typically include a professional degree from a library school with a program accredited by the American Library Association. However, a person with other appropriate degree(s) or equivalent experience in one or more fields relevant to library services may also be appointed to this series.

Selection of an individual to be appointed to the rank of Assistant Librarian is based upon the requirements of the position with due attention to the candidate's demonstrated competence, knowledge and experience. A person appointed as Assistant Librarian without previous professional library experience should typically be appointed at the first salary point. A person who has had previous experience relevant to the position may be appointed to one of the higher salary points in this rank, depending on the candidate's aptitude, the extent of prior experience, and/or the requirements of the position.

A candidate with extensive previous relevant experience and superior qualifications may be appointed to one of the two higher ranks in the series. The criteria for the appointment to either of these levels will be the same as those for promotion as outlined below.

- (2) **Merit Increases and Promotions** - At the time of original appointment to a title in this series, each appointee shall be informed that continuation, advancement, or promotion is justified only by demonstrated superior professional skills and achievement. In addition, promotion shall be justified by growing competence and contribution to the candidate's position, and/or the assumption of increased responsibility. This is assessed through objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for advancement there is no obligation on the

part of the University to continue or advance the appointee. Promotion may also be tied to position change. The assumption of administrative responsibilities is not a necessary condition for promotion.

- (3) In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of the criteria listed below. A candidate for merit increase or promotion in this series shall be evaluated on the basis of professional competence and quality of service rendered within the library and, to the extent that they are relevant, one or more of the following: professional activity outside the library; University and public service; and research and other creative activity.

- (a) **Professional Competence and Quality of Service Within the Library** - Although contribution in each of the following areas will vary considerably from person to person, depending on each person's primary functions as a librarian, performance and potential shall be reviewed and evaluated in any or all of the five major areas of librarianship: obtaining, organizing, and providing access to information; curating and preserving collections of scholarly, scientific, cultural, or institutional significance; engaging with users to provide them with guidance and instruction on the discovery, evaluation, and use of information resources; carrying out research and creative activity in support of the foregoing and for the continual improvement of the profession; and library administration and management. Additionally, librarians should be judged on consistency of performance, grasp of library methods, command of their subjects, continued growth in their fields, judgment, leadership, originality, ability to work effectively with others, and ability to relate their functions to the more general goals of the library and the University.

Evidence of professional competence and effective service may include, but is not limited to, the opinions of professional colleagues, particularly those who work closely or continuously with the appointee; the opinions of faculty members, students, or other members of the University community as to the quality of a collection developed, for example, or the technical or public service provided by the candidate; the opinions of librarians outside the University who function in the same specialty as the candidate; the effectiveness of the techniques applied or procedures developed by the candidate; and relevant additional educational achievement, including programs of advanced study or courses taken toward improvement of language or subject knowledge.

- (b) **Professional Activity Outside the Library** - A candidate's professional commitment and contribution to the library profession

should be evaluated by taking account of such activities as the following: membership and activity in professional and scholarly organizations; participation in library and other professional meetings and conferences; consulting or similar service; outstanding achievement or promise as evidenced by awards, fellowships, grants; teaching and lecturing; and editorial activity.

- (c) **University and Public Service** - Evaluation of a candidate's University and public service should take into account University-oriented activities, including, but not limited to the following: serving as a member or chair of administrative committees appointed by the Chancellor, University Librarian, or other University administrative officers; serving as a member or chair of other University committees, including those of student organizations and of the departments and schools other than the library, such as serving on undergraduate or graduate portfolio committees. Public service includes professional librarian services to the community, state, and nation.
- (d) **Research and Other Creative Activity** - Research by practicing librarians has a growing importance as library, bibliographic, and information management activities become more demanding and complex. It is therefore appropriate to take research into account in measuring a librarian's professional development. The evaluation of such research or other creative activity should be qualitative and not merely quantitative and should be made in comparison with the activity and quality appropriate to the candidate's areas of expertise. Note should be taken of continued and effective endeavor. This may include authoring, editing, reviewing or compiling books, articles, reports, handbooks, manuals, and/or similar products that are submitted or published during the period under review.

f. The Report

- (1) The report of the review committee(s) forms the basis for further administrative review and action by the Chancellor. Consequently, the report should include an assessment of all significant evidence, favorable and unfavorable. It should be specific and analytical, should include the review committee's evaluation of the candidate with respect to the qualifications specified, and should be adequately documented by reference to the supporting material.
- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to a unanimous decision, the division of the committee and the reasons therefore should be communicated either in the body of the report

or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

210-5 Instructions to Review Committees That Advise on Actions Concerning Appointees in the Supervisor of Physical Education Series

The following instructions apply to review committees for actions concerning appointees in the Supervisor of Physical Education series (see APM - 300).

The Supervisor of Physical Education series has been designated for those members of a Department of Physical Education or Physical Activities who teach, promote and/or supervise physical activities, intercollegiate athletics, or intramural sports programs; teach courses and establish curricula in physical education; coordinate or administer campus intercollegiate athletics or recreation programs.

The titles Assistant Supervisor, Associate Supervisor, and Supervisor of Physical Education have been granted limited equivalency with the corresponding titles in the Professor series. The equivalency extends to leave of absence privileges (including sabbatical leave) and tenure at the two higher ranks. The supervisor series is not used for those members of a Department of Physical Education or Physical Activities of whom research is required and thus properly belong in the Professor series.

a. Purpose and Responsibility of the Review Committees

While the review criteria differ in the supervisor series from the requirements of the Professor series, the quality of the faculty in both series is maintained through objective and thorough appraisal of each candidate for appointment and promotion. Significant responsibility for this appraisal falls to the review committees nominated by the Committee on Academic Personnel (or other appropriate committee) and appointed by the Chancellor. It is the duty of the review committee to ascertain the present fitness of each candidate and the likelihood of a continuing productive career. Implicit in the committee's responsibility for maintenance of a quality faculty is just recognition and encouragement of achievement on the part of the candidate.

b. Maintenance of the Committee's Effectiveness

The chair of the review committee has the responsibility of assuring that these instructions have been read and understood by the members, that *strict confidentiality* is maintained by the committee, and that committee actions are carried out with as much dispatch as is consistent with thoughtful consideration. These requirements are presented in greater detail in Section 210-1-b.

c. Procedure

- (1) **General** — Recommendations for appointment and promotion normally originate with the department chair who should include in the letter of recommendation a comprehensive assessment of the candidate's qualifications and detailed related evidence, and a report of the appropriate consultation with departmental colleagues, recording the vote and the nature of any dissenting opinions. In addition, the department chair is expected to assemble and submit with the recommendation teaching evaluations, updated biographical information, evidence of the candidate's effectiveness, leadership, and professional growth in all assigned areas of responsibility, and any other items pertinent to the review.
- (2) **Appointments** — The documentation provided with the department chair's recommendation should include opinions from colleagues in other institutions where the candidate has served, and from other qualified persons having direct knowledge of the candidate's attainments. Extramural opinions are imperative in the case of proposed tenured appointments.
- (3) **Promotions** — Promotions are based on merit, and should be recommended only when achievement and the promise of future contributions warrant such action. Both the department and the review committee should consider the candidate's teaching, leadership, professional development and standing in relation to others who might be considered alternative candidates for the position. The department chair should supplement the opinions of departmental colleagues with letters from qualified extramural informants.
- (4) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted and if deemed inadequate to reach a clear recommendation, the committee chair shall request, through the Chancellor, additional evidence or amplification. All obtainable evidence shall be carefully considered.

If, according to all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-5-d below, the committee should recommend against appointment or promotion. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement.

d. Criteria for Appointment and Promotion

The review committee shall judge the candidate for the proposed rank and duties, considering the record of performance in: (a) teaching, (b) professional achievement and leadership in one or more of the following: physical activities, campus intramural or recreation programs, extramural sports, or intercollegiate sports programs; and (c) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing heavier commitments and responsibilities in one area against lighter responsibilities in another. Although published research is *not* required of those in the supervisor of physical education series, such research or other creative activity should be given appropriate recognition as adding to the knowledge in the field. However, neither the flexibility noted above nor the absence of a research requirement should entail a relaxation of the University's high standards for appointment and promotion. *Superior attainment and the promise of future growth, as evidenced in teaching, program leadership, professional development, and University and public service, are indispensable qualifications for appointment and promotions to tenure positions.*

The criteria outlined below are intended to guide reviewing agencies in judging the candidate, not to set boundaries to the elements of performance that may be considered.

- (1) **Teaching** — Effective teaching is an essential criterion to appointment or advancement. Under no circumstances will a tenure commitment be made unless there is a clear evidence of ability and diligence in the teaching role. In assessing performance in this area, the committee should consider the candidate's command of the subject; continued growth; mastering of new topics to improve effective service to the University; ability to organize and present course materials; grasp of general objectives; ability to awaken in students an awareness of the importance of subject matter to the growth of the individual; extent and quality of participation; achievements of students in their field.

It is the responsibility of the department chair to provide meaningful statements, accompanied by evidence, including student evaluations, regarding the candidate's effectiveness in teaching.

If the information provided is deemed inadequate, it is the responsibility of the chair of the committee to request additional material, through the Chancellor.

- (2) **Professional Achievement and Activity** — Although published research is not required of those in the supervisor series, any pertinent activity or

creative work in this area shall be given due consideration as evidence of professional achievement or leadership.

In reviewing the candidate's suitability for appointment or promotion, the committee should evaluate the evidence for professional achievement as shown by educational attainment, record of accomplishment, and promise of future growth. No recommendation for tenure should be made unless this evidence clearly demonstrates that the candidate has superior leadership qualities in one or more of the areas of supervising, coaching, or administering programs in physical education, physical activities, recreation or sports. For appointment or promotion to the rank of Supervisor, significant and extramurally recognized distinction is required. It is the responsibility of the department chair to provide evidence that bears on the questions of leadership and of professional achievement and activity. This may include evidence related to educational accomplishment; the institution of effective and innovative programs; competitive sports records; activity in professional organizations; supervision of personnel; administration of activities, sports, or recreation programs; and other appropriate information.

- (3) **University and Public Service** — The committee should evaluate both the amount and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. The department chair should provide both a listing of service aspects and an analysis of the quality of this service.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of faculty members.

e. The Report

- (1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel (or equivalent) and for action by the Chancellor and by the President. Consequently, it should include an appraisal of all significant evidence, favorable or unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of the qualifications specified above. It should be adequately documented by reference to the supporting material.
- (2) The review committee has the responsibility of making an unequivocal recommendation. No member should subscribe to the report if it does not represent that member's judgment. If the committee cannot come to

a unanimous decision, the division of the committee and the reason therefore should be communicated either in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

210-6 Instructions to Review Committees That Advise on Actions Concerning the Health Sciences Clinical Professor Series

- a. The policies and procedures set forth in APM - 210-1(a), (b), (c), and (e) shall govern the committee in the confidential conduct of its review and in the preparation of its report. The instructions below apply to review committees for actions concerning appointees in the Health Sciences Clinical Professor series. The committee should refer to APM - 278 for policy on the Health Sciences Clinical Professor series.
- b. The review committee shall evaluate the candidate with respect to proposed rank and duties, considering the record of the candidate's performance in: (1) teaching (2) professional competence and activity (3) scholarly or creative activity, and (4) University and public service. Activities in items (3) and (4) are derived from their primary responsibilities in clinical teaching and professional service activities (see APM - 278-4 and -10) and thus shall be appropriately weighted and broadly defined to take into account the primary emphasis on clinical teaching and patient care services. Candidates for promotion should demonstrate substantial growth and accomplishment in their area of expertise.

The Dean or Department Chair is responsible for documenting the faculty member's division of time and effort among the four areas of activity; this written recommendation letter shall be placed in the dossier and shall be shared with the faculty member. The Chair will indicate the appropriateness of this division to the position that the individual fills in the department, school, or clinical teaching faculty.

Appointees in the Health Sciences Clinical Professor series shall be evaluated in relation to the nature and time commitments of their University assignments. Faculty with part-time appointments are expected to show the same quality of performance as full-time appointees, but the amount of activity may be less.

Clinical teaching, professional activity, and scholarly or creative activity may differ from standard professorial activities in the University, and may therefore be evaluated on the basis of professional competence, intellectual contribution, and originality.

- c. Letters of evaluation from internal reviewers are required for health care professionals in the Health Sciences Clinical Professor series being considered for appointment or promotion to the Associate Professor or Professor ranks, as well as for advancement to Step VI or to Above Scale status. Although letters of evaluation from external reviewers may not be required for faculty in the Health Sciences Clinical Professor series who are being considered for appointment or promotion to the Associate Professor or Professor ranks, they may be useful to document other health care professionals' recognition of the candidate's achievement in professional competence and activity. Letters of evaluation are required from external reviewers and from advanced clinical students and former students now in academic positions or clinical practice for appointment or advancement to Step VI and to Above Scale status for all faculty in the Health Sciences Clinical Professor series. If adequate information is not included in the materials sent forward by the Department Chair, it is the review committee's responsibility to request such information through the Chancellor.

If, in assessing all evidence obtained, the candidate fails to meet the criteria set forth below, the committee should recommend accordingly. If, on the other hand there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement.

The criteria set forth below are intended to serve as guidelines for the review committee in judging the candidate, not as boundaries for the elements of performance that may be considered. See section 210-6-d below for more details on reviews for advancement to Health Sciences Clinical Professor Step VI and for Above Scale status.

(1) **Teaching**

Teaching is a required duty of Health Sciences Clinical Professor series faculty. Before making an initial appointment to this series, the review committee should evaluate the candidate's potential to be an effective teacher and mentor. Evidence of excellence in clinical or clinically-relevant teaching is essential for advancement in this series. Teaching must include registered University of California students and/or University interns, residents, fellows, and postdoctoral scholars. Typically, teaching in the clinical setting comprises intensive tutorial instruction, carried on amid the demands of patient care and usually characterized by multiple demands on the teacher to cope with unpredictably varied problems, patient needs, and the necessity of preparing the students to exercise judgment and/or take action. Nevertheless, the criteria suggested for evaluating teaching in the Professor series are applicable to Health Sciences Clinical Professor series faculty:

In evaluating the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it effectively; capacity to awaken in students an awareness of the potential relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students and trainees in various underrepresented groups. (For the full statement on criteria for evaluating teaching in the Professor series, see APM - 210-1-d(1).)

In addition, the clinical teacher should be successful in applying knowledge of basic health science and clinical procedures to the diagnosis, treatment, and care of a patient that will assure the best educational opportunity for the student, and will also provide the highest quality care for the patient. Dossiers for advancement and promotion normally will include evaluations and comments solicited from students and trainees.

For initial appointment to the Health Sciences Assistant Clinical Professor title, the candidate may have a record of active teaching of health sciences professional students, graduate students, residents, postdoctoral scholars, fellows, and/or continuing education students. Appointments may also be made based on the promise of teaching excellence when appropriate.

For appointment or promotion to the Health Sciences Associate Clinical Professor title, demonstrated excellence in teaching and mentoring is essential. Evidence typically includes teaching evaluations or the receipt of teaching awards. Other evidence may include invitations to present Grand Rounds, seminars, lectures, or courses at the University of California or at other institutions, by participation in residency review committees, programs sponsored by professional organizations, recertification courses or workshops, peer evaluation, or by documentation of activity as a role model or mentor.

For appointment or promotion to the Health Sciences Clinical Professor title, the appointee should be recognized by sustained or continued excellence as a clinical teacher and/or mentor. Evidence typically includes teaching evaluations or the receipt of teaching awards. Other evidence may include invitations to present Grand Rounds, seminars, lectures, or courses at the University of California or at other institutions, by participation in

residency review committees, programs sponsored by professional programs, recertification courses or workshops, peer evaluation, or documentation of activity as a role model or mentor.

(2) **Professional Competence and Activity**

The evaluation of professional competence and activity generally focuses on clinical expertise or achievement and the quality of patient care. A demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be reviewed for evidence of achievement, leadership, and/or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems. The review committee should judge the significance and quantity of clinical achievement and contribution to the profession. In many cases, evidence of clinical achievement will be testimonial in nature. An individual's role in the organization or direction of training programs for health professionals and the supervision of health care facilities and operations may provide evidence of exemplary professional activity; in decisions bearing on academic advancement, these activities should be recognized as important contributions to the mission of the University.

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate, as well as the likelihood that the candidate will be a competent teacher, develop an excellent professional practice, and have the potential to make contributions to the clinical activities of the academic department and to the mission of the University.

In addition to proven excellence in teaching and/or mentoring, creative contributions, and meritorious service, a candidate for appointment or promotion to the rank of Health Sciences Associate Clinical Professor or Health Sciences Clinical Professor in this series should show evidence of distinguished clinical and professional expertise. Such evidence may include, but is not limited to, evaluations that demonstrate: provision of high-quality patient care; a high level of competence in a clinical specialty; expanded breadth of clinical responsibilities; significant participation in the activities of clinical and/or professional groups; reputation as an outstanding referral health care provider; effective development, expansion, or administration of a clinical service; or, recognition or certification by a professional group.

(3) **Scholarly or Creative Activity**

The review committee should evaluate scholarly or creative activity from the perspective that these activities are generally derived from clinical teaching and professional service activities. Evidence of scholarly or creative activity should be evaluated in the context of the candidate's academic responsibilities and the time available for creative activity. Candidates in this series may be involved in clinical research programs; many may demonstrate a creative or scholarly agenda in other ways that are related to the specific discipline and clinical duties. Campus guidelines may include separate requirements or expectations for various schools or departments.

In order to be appointed or promoted to the Associate Professor or Professor rank in this series, the individual's record is expected to demonstrate contributions to scholarly, creative, or administrative activities. Evidence may include, but is not limited to, the following examples of such activity: participation in platform or poster presentations at local, regional, or national meetings; development of or contributions to educational curricula; development of or contributions to administration of a teaching program; participation in the advancement of professional education; participation in research, not necessarily as primary or independent investigator; first, senior, or collaborative authorship of peer-reviewed research papers; publication of case reports or clinical reviews; development of or contributions to administration (supervision) of a clinical service or health care facility; development of or contributions to clinical guidelines or pathways; development of or contributions to quality improvement programs; development of or contributions to medical or other disciplinary information systems; participation in the advancement of university professional practice programs; development of or contributions to community-oriented programs; or development of or contributions to community outreach or informational programs.

(4) **University and Public Service**

The review committee should evaluate both the amount and the quality of service by the candidate to the department, the school, the campus, the University, and the public, with particular attention paid to service that is directly related to the candidate's professional expertise and achievement. There may be overlap between guidelines for service and other criteria for evaluation (professional activity and scholarly or creative activity). However, the review committee should assess the evidence from the perspective of the candidate's unique contributions to the discipline and assign the evidence to the appropriate category. Campus guidelines may include separate requirements or expectations for various schools or departments.

Evidence of achievement in this area is demonstrated by participation in University, campus, school, department, and hospital or clinic committees; election to office or other service to professional, scholarly, scientific, educational, and governmental agencies and organizations, and service to the community and general public which relates to the candidate's professional expertise in health, education, scholarly or creative activity, and practice.

For initial appointment to the Health Sciences Assistant Clinical Professor rank, the candidate should be evaluated for the likelihood of participation in department activities and the potential for service to the University.

For appointment or promotion to the Health Sciences Associate Clinical Professor rank, University and public service may be demonstrated by active participation on committees or task forces within the program, department, school, campus, or University; or by service to local, regional, state, national, or international organizations through education, consultation, or other roles.

For appointment or promotion to the Health Sciences Clinical Professor rank, service may be demonstrated by awards from the University, or local, regional, national, or international organizations; or appointment to administrative positions within the University such as program director, residency director, or chair of a committee. Service as officer or committee chair in professional and scientific organizations or on editorial boards of professional or scientific organizations is also considered.

d. Advancement to Health Sciences Clinical Professor, Step VI and Above Scale Status

(1) Advancement to Step VI

The normal period of service is three (3) years in each of the first four (4) steps. Service at Step V may be of indefinite duration. Advancement to Step VI usually will not occur before at least three (3) years of service at Step V; it involves an overall career review and may be granted on evidence of sustained and continuing excellence in the following categories: (1) teaching, (2) professional competence and activity, (3) scholarly or creative achievement, and (4) service. Above and beyond that, great distinction in academic health sciences, recognized at least regionally, will be required in teaching and professional competence and activity. Service at Step V or higher may be of indefinite duration. Advancement from Step VI to Step VII, from Step VII to Step VIII, and from Step VIII to Step IX usually will not occur before at least three (3) years of service at the lower step, and will only be granted on evidence of continuing achievement at the level for advancement to Step VI.

(2) **Advancement to Above Scale Status**

Advancement to Above Scale status involves an overall career review and is reserved only for the most highly distinguished faculty: (1) whose work of sustained and continuing excellence has attained at least national recognition and broad acclaim reflective of its significant impact; (2) whose University teaching performance is excellent; and (3) whose service is highly meritorious. Except in rare and compelling cases, advancement will not occur after less than four (4) years at Step IX. Moreover, mere length of service and continued good performance at Step IX is not justification for further salary advancement. There must be demonstration of additional merit and distinction beyond the performance on which advancement to Step IX was based. A merit increase in salary for a faculty member already serving at Above Scale must be justified by continuing evidence of accomplishment consistent with this level. Intervals between such merit increases may be indefinite, and only in the most superior cases where there is strong and compelling evidence will increases at intervals shorter than four (4) years be approved.

210-24 Authority

The responsibility to nominate and the authority to appoint review committees shall be in accordance with the stipulations set forth in the Academic Personnel Manual Sections concerning the respective title series.

Revision History

October 1, 2018:

- Substantive revisions to APM - 210-3 to support revisions made to APM - 285.
- Minor technical revisions to grammar.

For details on prior revisions, please visit the Academic Personnel and Programs website: <https://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policy-issuances-and-guidelines/index.html>.

Until June 30, 2023, review criteria in this appendix shall apply to individuals appointed in the Lecturer with Security of Employment Series prior to October 1, 2018.

APPOINTMENT AND PROMOTION
Review and Appraisal Committee

APM - 210
Appendix B

210-3 Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment Series

- a. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e, shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 285 both for policies and procedures on appointments in the Lecturer with Security of Employment series.
- b. The review committee shall judge the candidate with respect to the proposed rank and duties considering the record of the candidate's performance in (1) teaching, (2) professional achievement and activity, and (3) University and public service.
- c. The criteria set forth below are intended to serve as guides for minimum standards by which to judge the candidate, not to set boundaries to exclude other elements of performance that may be considered, as agreed upon by the candidate and the department.

(1) Teaching

Clearly demonstrated evidence of excellent teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will security of employment be conferred unless there is clear documentation of outstanding teaching.

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; ability to arouse curiosity in students and to encourage high standards; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; and effectiveness in creating an academic environment that is open and encouraging to all students. The committee should pay due attention to the variety of demands placed on Lecturers by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching competence has been based. In those exceptional cases of an

Until June 30, 2023, review criteria in this appendix shall apply to individuals appointed in the Lecturer with Security of Employment Series prior to October 1, 2018.

APPOINTMENT AND PROMOTION
Review and Appraisal Committee

APM - 210
Appendix B

initial appointment where no such evidence is available, the candidate's potential as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that the report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates; and (d) development of new and effective techniques of instruction.

All cases for advancement and promotion normally will include:

(a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review which includes (i) the level of courses and tutorials taught, (ii) the enrollments of courses and tutorials taught, and (iii) for each course, the percentage of student course evaluations in relation to the total number of students in the course; (c) brief explanations for abnormal course loads; (d) identification of any new courses taught or of old courses which the candidate has substantially reorganized in approach or content; (e) notice of any awards or other acknowledgments of distinguished teaching; (f) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (g) commentary by other faculty on teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

(2) Professional Achievement and Activity

A demonstrated distinction in the special competencies appropriate to teaching the particular subject is one of the criteria for appointment or promotion. The candidate's professional activities should be scrutinized

Until June 30, 2023, review criteria in this appendix shall apply to individuals appointed in the Lecturer with Security of Employment Series prior to October 1, 2018.

APPOINTMENT AND PROMOTION
Review and Appraisal Committee

APM - 210
Appendix B

for evidence of achievement and leadership. Intellectual leadership must be documented by materials demonstrating that the candidate has, through publication (either in traditional forms or in electronic format), creative accomplishments, or other professional activity, made outstanding and recognized contributions to the development of his or her special field and/or of pedagogy.

(3) University and Public Service

The review committee should evaluate both the quantity and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement. Evidence of suitability for promotion may be demonstrated in services to the community, state, and nation, both in the candidate's special capacities as a teacher and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence. The department chair should provide both a list of service activities and an analysis of the quality of this service.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions.