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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* which appear below.

210-1 Instructions to Review Committees Which 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 the 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 shall 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 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. The file shall be evaluated without prejudice as if the work were done in the normal 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 standards 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. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. 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 or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

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 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 Which 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 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 cliche-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 which 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 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

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

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.

210-4 **Instructions to Review Committees Which 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 or designee for written or oral communications. When recommendations with supporting documents have been forwarded to the Chancellor or designee, all copies or preliminary drafts shall be destroyed. Under the provisions of APM - 360-80-l, the candidate is entitled to receive from the Chancellor or designee 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 normally 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, including an up-to-date biography and bibliography. 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 normally 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 or designee 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 step within rank which would constitute an accelerated advancement of an appointee.

e. **Criteria**

(1) **Appointments** — A candidate for appointment to this series shall normally be required to have 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 normally be appointed at Step I. A person who has had previous experience relevant to the position may be appointed to one of the higher salary levels 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 who is being considered for a highly demanding and responsible position should 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 or advancement is justified only by demonstrated skills and achievement which will be determined after objective and thorough review. If, on the basis of a review, the individual does not meet the criteria for continuation or advancement, there is no obligation on the part of the University to continue or to promote. On the other hand, accelerated promotion is possible if achievement has been exceptional. An appointee will be eligible for promotion only if there are demonstrated superior professional skills and achievement. For some, promotion may involve a position change; for others, promotion may not necessarily involve position change but will depend upon increased responsibility as well as

growing competence and contribution in the same position. The assumption of administrative responsibilities is not a necessary condition for promotion.

A candidate for merit increase or promotion in this series shall be judged on the basis of professional competence and quality of service rendered within the library and, to the extent they are relevant, one or more of the following: professional activity outside the library; University and public service; and research and other creative activity. (See APM - 360-10.)

(3) The criteria as set forth in detail below are intended to serve as general guidelines and do not preclude consideration of other unique service to the University. In considering individual candidates, reasonable flexibility is to be exercised in weighing the comparative relevance of these criteria.

(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: selection and development of resources; bibliographic control of collections and their organization for use; reference and advisory service; development and application of specialized information systems; 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 effective service may include 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** — Recognition should be given to those who participate effectively and imaginatively in library-wide and University service (including serving on campus or University-wide administrative or academic committees), and in 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 it 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 specialty. Note should be taken of continued and effective endeavor. Reports, handbooks, manuals, and similar documents may be considered under this heading only if they present new ideas or incorporate research; otherwise, they should be regarded solely as evidence of professional service.

f. **The Report**

(1) The report of the review committee(s) forms the basis for further administrative review and action by the Chancellor or designee. 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 Which 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.

(4) 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 Which 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 policies 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) professional competence and activity, (2) teaching, (3) University and public service, and (4) research and creative work. Activities in items (3) and (4) are desirable and encouraged to the extent required by campus guidelines. See APM - 278-10-c and -d.

For appointments, the chair shall provide a description of the proposed allocation of the candidate's time in the areas of activity. For advancement, the chair shall document the faculty member's allocation of effort among the areas of activity. The chair should also indicate the appropriateness of this allocation to the position that the individual holds 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 the allocation of time 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.

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.

(1) **Professional Competence and Activity**

The evaluation of professional competence and activity generally focuses on 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, or demonstrated progress in the development or utilization of new approaches and techniques for the solution of professional problems.

a. Professional Practice

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate and the likelihood that the candidate will be a competent teacher and develop an excellent professional practice.

In addition to proven competence in teaching, 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 excellence in professional practice. 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;
- effective development, expansion, or administration of a clinical service; or
- recognition or certification by a professional group.

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.

(b) Professional Activity

An individual's role in the organization 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.

(2) **Teaching**

Teaching is a required duty of clinical faculty. Before making an initial appointment to this series, the review committee should evaluate the candidate's potential to be an effective teacher. Evidence of excellence in clinical teaching is essential for advancement in this series. Teaching may involve registered University of California students, housestaff, fellows, and postdoctoral scholars. Normally 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 regular Professor series are applicable:

> 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; . . . 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. (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 not only assure the best educational opportunity for the student, but will also provide the highest quality care for the patient.

Dossiers for advancement and promotion normally will include evaluations and comments solicited from students.

(3) **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 to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for various schools or departments.

(4) **Research and Creative Work**

The review committee should evaluate research and creative work, to the extent required by campus guidelines. Campus guidelines may include separate requirements or expectations for different schools or departments.

Comparison of the individual with peers at the University of California and elsewhere should form part of the evidence provided. As a general rule, for appointment and promotion at the level of Health Sciences Associate Clinical Professor, faculty may demonstrate local or regional recognition for their clinical and teaching activities. For advancement to the Health Sciences Clinical Professor rank, faculty may demonstrate a regional or national reputation and should demonstrate highly distinguished clinical expertise, highly meritorious service, and excellence in teaching.

Extramural referee letters may be requested for new appointments and promotions if required by campus procedures. For reviews at Health Sciences Clinical Professor, Step VI, and for above-scale salaries, the chair should request letters from authorities and should also seek evaluations from advanced clinical students and former students now 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.

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 Manual Sections concerning the respective title series.