

Appointment and Promotion: APM - 210: Review and Appraisal Committees

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

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

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

210-24 Authority

Appendix A, Statement on Professional Ethics, 1966 AAUP

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 the instructions to this policy 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 through 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 competence and 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 the candidate's 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 diversity, equity, inclusion, and belonging 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, equity, inclusion, and belonging 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. This includes both formal coursework teaching and mentoring of students and University-affiliated trainees, including postdoctoral scholars and residents, at all levels. Mentoring is a component of teaching, but it does not replace the provision of formal instruction. Mentoring may focus directly on scholarly activity or on efforts to create conditions that promote scholarly activities. Rather than being a separate criterion or a requirement for advancement, mentoring focused on scholarly activity can be reported under Teaching, while mentoring activity focused on non-scholarly support (e.g., life skills, referrals to behavioral and/or health resources, social-emotional development) as well as mentoring of faculty and others can be reported separately under Service and will be provided due recognition. Under no circumstances will a tenure commitment be made unless there is clear documentation of ability and diligence in the teaching role.

(a) **Teaching Effectiveness**

Teaching effectiveness should be evaluated in multiple dimensions, and possible areas for committee consideration include (but are not limited to): the candidate's command of the subject; continuous growth in the subject field; ability to organize material logically and to present it in a manner that effectively promotes student learning; capacity to relate the subject matter in one field to other fields of knowledge and to engage students and help them see the relevance of the material within and beyond the field; fostering of student independence and capability to think critically and to effectively engage in collaborative learning; ability to awaken curiosity in students, to encourage high standards, and to inspire advanced students to research and creative work; achievements in creating an academic environment that is open and encouraging to all students, including development of effective strategies for the educational advancement of students in various underrepresented groups; use of evidence-based teaching practices for course design and delivery; engagement in professional development for teaching, or involvement in specific departmental or campuswide educational equity or student success initiatives.

(b) **Mentoring Effectiveness**

In judging the effectiveness of a candidate's mentoring, the committee should consider such points as the following: extent and skill of the candidate's participation in the general guidance, mentoring, and advising of undergraduate students, graduate/professional students, postdoctoral

researchers, and other academic researchers and research staff; ability to awaken curiosity, encourage high standards, and inspire advanced mentees to creative work and research; achievements in creating an academic environment that is open and encouraging to all mentees, including development of effective strategies for the educational advancement of mentees in various underrepresented groups.

Campuses are responsible for developing local guidelines for evaluating mentoring. The committee should also note that mentoring should be evaluated based on the standards of the discipline. Mentoring can include activities that promote student growth in the mentor's selected area of scholarly interest (e.g., supervising theses, capstones, and other projects). The committee should pay due attention to the variety of demands placed on instructors by the types of teaching and mentoring called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching and mentoring responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching and mentoring competence has been based. In those exceptional cases when no such evidence is available, the candidate's potentialities as a teacher or mentor may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that, per [APM - 160](#), a copy of its report may be an important means of informing the candidate of the evaluation of the candidate's teaching and mentoring and of the basis for that evaluation.

(c) Evidence of Teaching Effectiveness

It is the responsibility of the department chair to submit meaningful statements, accompanied by supporting evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one type of evidence shall accompany each review file. Excellence in mentoring does not compensate for poor performance in teaching. Candidates and department chairs have the prerogative to choose from among the following significant types of evidence of teaching and mentoring effectiveness, not all of which must be presented: (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) feedback from current and former students and mentees; (c) number of students and mentees guided in research and teaching by the candidate and the achievement of learning outcomes by those students and mentees; (d) development and description of associated course materials involving new and effective techniques of instruction adopted

by the candidate, 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 (but not be limited to):

(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) number of mentees, type of mentoring, and outcomes of mentees; (i) notice of any awards or formal mentions for distinguished teaching and/or mentoring; and (j) evaluation by other faculty members of teaching and mentoring effectiveness.

When an adequate number of teaching examples are not provided, the department chair will include an explanation regarding why more examples are not included 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 and mentees in underrepresented groups in the candidate's field. It is the 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, equity, inclusion, and belonging within the University through participation in such activities as recruitment, retention, and mentoring of scholars, students, and faculty.

While mentoring alone generally does not satisfy the requirement for University and public service, certain mentoring activities could be documented as service. This includes mentoring of individuals who are not UC-affiliated trainees, including faculty, international scholars, staff, and community members. In service of the University's goals to advance and communicate knowledge through interaction with the public, faculty have an obligation to provide, within limits, University-related public service by using their expertise to contribute to the community or the public. Mentoring activity of UC-affiliated trainees that is non-scholarly in nature but contributes to their well-being can be considered as service activity (e.g., helping trainees with general life issues, responding to requests for help and other issues outside of the faculty member's scholarly area, providing referrals to behavioral and /or health resources). This can be quantified as time spent, the candidate's skill in helping mentees, students, and other trainees, furthering the trainee's progress and career development, and influencing opportunities in a mentee, student, or trainee's life and career.

Mentoring other faculty contributes to their success and supports the excellence of the University. Mentors provide valuable guidance in multiple areas of career development, institutional knowledge, work-life balance, and sponsorship of professional opportunities for new faculty, peer faculty, or established faculty who are changing career focus. In assessing the extent, quality, and effectiveness of a candidate's mentoring of other faculty, the committee may consider contributions such as sustained, active commitment to the success of faculty colleagues; effective strategies to provide constructive guidance, practical feedback, and coaching; significant impact on mentees' professional growth (e.g., publications, grants, teaching evaluations, awards); responses to career challenges particularly associated with women and underrepresented minority faculty; and retention at the University.

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.

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. Mentoring is a component of teaching, but it does not replace the provision of intensive tutorial instruction. Mentoring may focus directly on scholarly activity or on efforts to create conditions that promote scholarly activities. Rather than being a separate criterion or a requirement for advancement, mentoring focused on activities related to the provision of clinical care can be reported under Teaching, while mentoring activity focused on non-academic support (e.g., life skills, referral to behavioral and/or health resources, social-emotional development) as well as mentoring of faculty and others can be reported separately under Service and will be provided due recognition.

(a) Teaching Effectiveness

Nevertheless, the criteria suggested in the instructions for the regular Professor series (see APM - 210-1) are applicable:

Teaching effectiveness should be evaluated in multiple dimensions, and possible areas for committee consideration include (but are not limited to): the candidate's strong foundation in and awareness of ongoing developments in the subject field; ability to organize material logically and to present it in a manner that effectively promotes student learning; capacity to situate the subject matter being taught in relation to other fields of knowledge and to engage students and help them see the relevance of the material within and beyond the field; fostering of student independence and capability to think critically and to effectively engage in collaborative learning; ability to awaken curiosity in students, to encourage high standards, and to inspire advanced students to research and creative work; achievements in creating an academic environment that is open and encouraging to all students, including development of effective strategies for the educational advancement of students in various underrepresented groups; familiarity with and adoption of evidence-based teaching practices, including those associated with course design and delivery; engagement in professional development for teaching, or involvement in specific departmental or campuswide educational equity or student success initiatives.

(b) Mentoring Effectiveness

Campuses are responsible for developing local guidelines for evaluating mentoring. In judging the effectiveness of a candidate's mentoring, the committee should consider such points as the following: extent and skill of the

candidate's participation in the general guidance, mentoring, and advising of undergraduate students, graduate/professional students, postdoctoral researchers, and other academic researchers and research staff; ability to awaken curiosity, encourage high standards, and inspire advanced mentees to creative work; achievements in creating an academic environment that is open and encouraging to all mentees, including development of effective strategies for the educational advancement of mentees in various underrepresented groups.

(c) Clinical Teaching Effectiveness

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 or mentoring of University-affiliated trainees, 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 and mentor. 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, mentoring, 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 that 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. Contributions furthering diversity, equity, inclusion, and belonging within the University through participation in such activities as recruitment, retention, and mentoring of scholars, students, and faculty should be recognized as evidence of service.

While mentoring alone generally does not satisfy the requirement for University and public service, certain mentoring activities could be documented as service. This includes mentoring of individuals who are not UC-affiliated trainees, including faculty, international scholars, staff, and community members. Mentoring activity of UC-affiliated trainees that is non-scholarly in nature but contributes to their well-being can be considered as service activity (e.g., helping trainees with general life issues, responding to requests for help and other issues outside of the faculty member's scholarly area, providing referrals to behavioral and/or health resources). This can be quantified as time spent, the candidate's skill in helping mentees, students, and other trainees, furthering the trainee's progress

and career development, and influencing opportunities in a mentee, student, or trainee's life and career.

Mentoring other faculty contributes to their success and supports the excellence of the University. Mentors provide valuable guidance in multiple areas of career development, institutional knowledge, work-life balance, and sponsorship of professional opportunities for new faculty, peer faculty, or established faculty who are changing career focus. In assessing the extent, quality, and effectiveness of a candidate's mentoring of other faculty, the committee may consider contributions such as sustained, active commitment to the success of faculty colleagues; effective strategies to provide constructive guidance, practical feedback, and coaching; significant impact on mentees' professional growth (e.g., publications, grants, teaching evaluations, awards); responses to career challenges particularly associated with women and underrepresented minority faculty; and retention at the University.

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

- 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 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 diversity, equity, inclusion, and belonging 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, equity, inclusion, and belonging 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, inspiring, and effective learning environment. Mentoring is a component of teaching, but it does not replace the provision of formal instruction. Mentoring may focus directly on scholarly activity or on efforts to create conditions that promote scholarly activities. Rather than being a separate criterion or a requirement for advancement, mentoring focused on the disciplinary subjects can be reported under Teaching, while mentoring activity focused on non-scholarly support (e.g., life skills, referrals to behavioral and/or health resources, social-emotional development) can be reported separately under Service and will be provided due recognition.

(a) Teaching Effectiveness

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; 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.

(b) Mentoring Effectiveness

In judging the effectiveness of a candidate's mentoring, the committee should consider such points as the following: extent and skill of the candidate's participation in the general guidance, mentoring, and advising of undergraduate students, graduate/professional students, postdoctoral researchers, and other academic researchers and research staff; ability to awaken curiosity, encourage high standards, and inspire students to creative work; achievements in creating an academic environment that is open and encouraging to all mentees, including development of effective strategies for the educational advancement of mentees in underrepresented groups.

Campuses are responsible for developing local guidelines for evaluating mentoring. The committee should also note that mentoring should be evaluated based on the standards of the discipline. Mentoring can include activities that promote student growth in the mentor's selected area of scholarly interest.

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.

(c) Evidence of Teaching Effectiveness

It is the responsibility of the department chair to submit meaningful evaluation, accompanied by supporting evidence, of the candidate's teaching effectiveness. More than one type of supporting evidence shall accompany each review file, and mentoring alone is insufficient to satisfy the teaching requirement.

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

- (i) 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 or been mentored by the candidate.

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

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 in 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 publications;
- (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, equity, inclusion, and belonging within the University through participation in such activities as recruitment, retention, and mentoring of scholars, students, and faculty. 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.

While mentoring alone generally does not satisfy the requirement for University and public service, certain mentoring activities could be documented as service if

included in an academic review file. This includes mentoring of individuals who are not UC-affiliated trainees, including faculty, international scholars, staff, and community members. Mentoring activity of UC-affiliated trainees that is non-scholarly in nature but contributes to their well-being can be considered as service activity (e.g., helping trainees with general life issues, responding to requests for help and other issues outside of the faculty member's scholarly area, providing referrals to behavioral and/or health resources). If a candidate elects to include such activities, this can be quantified as time spent, the candidate's skill in helping mentees, students, and trainees, furthering the trainee's progress and career development, and influencing opportunities in a mentee, student, or trainee's life and career.

Mentoring other faculty contributes to their success and supports the excellence of the University. Mentors provide valuable guidance in multiple areas of career development, institutional knowledge, work-life balance, and sponsorship of professional opportunities for new faculty, peer faculty, or established faculty. In assessing the extent, quality, and effectiveness of a candidate's mentoring of other faculty, the committee may consider contributions such as sustained, active commitment to the success of faculty colleagues; effective strategies to provide constructive guidance, practical feedback, and coaching; significant impact on mentees' professional growth (e.g., teaching evaluations, awards); responses to career challenges particularly associated with women and underrepresented minority faculty; and retention at the University.

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 Committee's 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 that 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) The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of librarian achievement that promote diversity, equity, inclusion, and belonging should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other librarian achievements. These contributions to diversity, equity, inclusion, and belonging can take a variety of forms such as: efforts to advance equitable access to information; library services that address the needs of California's diverse population; the development of inclusive library collections that support the diverse needs for teaching, research, and patient care; or the fostering of welcoming and inclusive library spaces, services, programs, and operations. Rather than being a separate criterion or a requirement for advancement, contributions to diversity, equity, inclusion, and belonging should be given due recognition and can be evaluated and credited in all of the librarian criteria listed below.

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.

210-6 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 or mentees 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. Mentoring is a component of teaching, but it does not replace the provision of intensive tutorial instruction. Mentoring may focus directly on scholarly activity or on efforts to create conditions that promote scholarly activities. Rather than being a separate criterion or a requirement for advancement, mentoring focused on clinical care provision activity can be reported under Teaching, while mentoring activity focused on non-academic support (e.g., life skills, referrals to behavioral and/or health resources, social-emotional development) as well as mentoring of faculty and others can be reported separately under Service and will be provided due recognition.

Nevertheless, the criteria suggested for evaluating teaching in the Professor series (see APM - 210-1) are applicable to Health Sciences Clinical Professor series faculty:

(a) Teaching Effectiveness

In evaluating the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's strong foundation in and awareness of ongoing developments in the subject field; ability to organize material logically and to present it in a manner that effectively promotes student learning; capacity to situate the subject matter being taught in relation to other fields of knowledge and to engage students and help them see the relevance of the material within and beyond the field; fostering of student independence and capability to think critically and to effectively engage in collaborative learning; ability to awaken curiosity in students, to encourage high standards, and to inspire advanced students to scholarly or creative activity; achievements in creating an academic environment that is open and encouraging to all students, including development of effective strategies for the educational advancement of students and trainees in various underrepresented groups; familiarity with and adoption of evidence-based teaching practices, including those associated with course design and delivery; engagement in professional development for teaching, or involvement in specific departmental or campuswide educational equity or student success initiatives.

(For the full statement on criteria for evaluating teaching in the Professor series, see APM - 210-1-d(1).)

(b) Mentoring Effectiveness

In judging the effectiveness of a candidate's mentoring, the committee should consider such points as the following:

- (i) the extent and skill of the candidate's participation in the general guidance, mentoring, and advising of undergraduate students, graduate/professional students, postdoctoral researchers, and other academic researchers and research staff;
- (ii) ability to awaken curiosity, encourage high standards, and inspire advanced mentees to scholarly or creative activity; and
- (iii) achievements in creating an academic environment that is open and encouraging to all mentees, including development of effective strategies for the educational advancement of mentees in various underrepresented groups.

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, trainees, and mentees.

For initial appointment to the Health Sciences Assistant Clinical Professor title, the candidate may have a record of active teaching and mentoring of health sciences professional students, graduate students, residents, postdoctoral scholars, fellows, and/or continuing education students, and University-affiliated trainees. 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 or mentoring 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 organizations, 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 and mentor, 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, mentoring, 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 that relates to the candidate's professional expertise in health, education, scholarly or creative activity, and practice. Contributions furthering diversity, equity, inclusion, and belonging within the University through participation in such activities as recruitment, retention, and mentoring of scholars, students, and faculty should be recognized as evidence of service.

While mentoring alone generally does not satisfy the requirement for University and public service, certain mentoring activities could be documented as service. This includes mentoring of individuals who are not UC-affiliated trainees, including faculty, international scholars, staff, and community members. Mentoring activity of UC-affiliated trainees that is non-scholarly in nature but contributes to their well-being can be considered as service activity (e.g., helping trainees with general life issues, responding to requests for help and other issues outside of the faculty member's scholarly area, providing referrals to behavioral and/or health resources). This can be quantified as time spent, the candidate's skill in helping mentees, students, and other trainees, furthering the trainee's progress and career development, and influencing opportunities in a mentee, student, or trainee's life and career.

Mentoring other faculty contributes to their success and supports the excellence of the University. Mentors provide valuable guidance in multiple areas of career development, institutional knowledge, work-life balance, and sponsorship of professional opportunities for new faculty, peer faculty, or established faculty who are changing career focus. In assessing the extent, quality, and effectiveness of a candidate's mentoring of other faculty, the committee may consider contributions such as sustained, active commitment to the success of faculty colleagues; effective strategies to provide constructive guidance, practical feedback, and coaching; significant impact on mentee's professional growth (e.g., publications, grants, teaching evaluations, awards); responses to career challenges particularly associated with women and underrepresented minority faculty; and retention at the University.

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) University and public service. Above and beyond that, great distinction in academic health sciences, recognized at least regionally, will be required in teaching and in 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

March 25, 2024:

- Addition of language concerning the consideration of mentoring to criteria for appointment, promotion, and appraisal.
- Replacement of language regarding diversity and equal opportunity with language regarding diversity, equity, inclusion, and belonging.
- Revisions to recognize contributions to diversity, equity, inclusion, and belonging in review for Librarian Series.
- Revisions to the text on evaluation and evidence of teaching and mentoring effectiveness.
- Section 210-5, Instructions to Review Committees That Advise on Actions Concerning Appointees in the Supervisor of Physical Education Series, removed as this title series has been discontinued and no appointees remain in the title.
- Minor addition of numbering for clarity and technical revisions for grammatical consistency.
- Moved Appendix A to the end of the policy.
- Removed Appendix B, Instructions to Review Committees Which Advise on Actions Concerning the Lecturer with Security of Employment Series which expired June 30, 2023, for those hired prior to October 1, 2018.

April 2022:

- Technical revisions to update references to Regental governing documents.

September 23, 2020:

- Technical revision to remove gendered language and correct minor grammatical errors.

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](#).

*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.