UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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Susan Cochran
Telephone: (510) 987-0887
Email: susan.cochran@ucop.edu

Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

August 2, 2023

DOUGLAS HAYNES, VICE PROVOST
ACADEMIC PERSONNEL & PROGRAMS

Re: Systemwide Review of Proposed Revisions to APM 210 (Mentoring)

Dear Vice Provost Haynes:

As requested, I distributed for systemwide Senate review the proposed revisions to Academic Personnel Manual (APM) section 210, which add language concerning the consideration of mentoring in the criteria for appointment, promotion, and appraisal for several academic series. All ten Academic Senate divisions and four systemwide committees (UCAADE, UCAP, UCFW, and UCRJ) submitted comments. These were discussed at the Academic Council's July 26 meeting and are attached for your reference.

In August 2021, the Academic Council asked the office of Academic Personnel and Programs (APP) to consider new language proposed by UCAP and CCGA for APM 210[1] to bring attention to faculty mentoring activities. The revised proposal, which underwent systemwide review in spring 2023, outlines various mentoring functions and offers guidance on how to provide evidence of mentoring effectiveness. The revision also introduces new language pertaining to the evaluation and evidence of teaching effectiveness, as well as to contributions to diversity, equity, and inclusion (DEI) for policy-covered librarians. The revision calls for mentoring to be reported under service if it is a component of teaching or scholarly activities.

Senate reviewers expressed overall support for the goal of incorporating mentoring into the teaching and service categories in APM 210. They believe that explicit recognition of mentorship within the APM is essential to recognizing mentoring as a vital aspect of faculty labor that contributes significantly to the UC academic mission and DEI goals. Doing so will bring much-needed attention to faculty mentoring activities and their role in educational delivery, and it will encourage campuses, schools/colleges, and departments to offer more professional development resources to support faculty in their mentoring roles.

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[1] https://senate.universityofcalifornia.edu/_files/reports/mg-sc-revisions-to-apm-210-mentoring.pdf

However, the Senate cannot fully endorse the proposal as written, citing concerns that the changes do not adequately reflect faculty's actual duties and may lead to unintended consequences by being overly prescriptive about how mentoring and teaching should be performed and evaluated. Reviewers identified several potential challenges in assessing faculty based solely on their mentoring activities. These should be addressed before adopting the revisions as policy.

Unintended Interpretation of Language: One concern is that certain phrases in the policy may unintentionally imply that mentorship is a separate professional requirement for faculty advancement, rather than an opportunity embedded within teaching-related activities. The changes also suggest that faculty could advance without any formal teaching responsibilities and fulfill the minimum expectations for the teaching and mentorship category without engaging in classroom teaching. The policy should clarify that mentoring is not an additional requirement for review on par with teaching, research, and service, nor should it replace classroom teaching.

Definitions of Teaching/Mentoring Effectiveness: Another and significant concern is that the expanded list of detailed criteria in APM 210-D-1-a for judging teaching and mentoring effectiveness is excessively prescriptive. While the descriptions of mentoring activities add value and clarify which sorts of activities fall under teaching and which under service, the lengthy account of teaching effectiveness is more likely to cause confusion than to bring clarity. For example, it is not apparent how evidence will be presented and evaluated for phrases such as "effectively promotes student learning in the course." The policy should condense and reconfigure the five pages of criteria into general guidelines. Overly detailed points should be removed. Of particular note are those addressing success in engaging with course designers and administrative initiatives. The policy should also clarify that none of the items are mandatory.

Assessing Faculty Mentoring: Reviewers also noted challenges in accurately assessing faculty mentoring or its quality, as much about mentoring work often remains invisible and informal. The policy should consider a more flexible approach to the evaluation of mentoring by de-emphasizing the division between scholarly and non-scholarly mentoring and allowing faculty to characterize their own mentoring approach. Emphasizing that "time spent" is just one measure of mentoring work would be beneficial. The policy should encourage faculty to describe specific activities they initiated that promoted the success of their mentees and the impact of those activities. In addition, clear expectations for mentoring should be provided by campus departments, considering that standards may vary widely per discipline. Moreover, removing mentoring from the APM 210 section on scholarly activity might diminish its evaluative impact, as many faculty mentor students in scholarly research activities, including collaborative research and writing.

DEI in Reviews and Appraisals: The proposed revisions were also criticized for not adequately connecting DEI efforts with research and teaching in reviews and appraisals. Given that mentoring tends to fall heavily on some faculty, placing DEI contributions solely under the service category without specific details about how to evaluate these contributions is a concern.

Feedback from Students and Mentees: Concerns were raised about using feedback from current and former students and mentees for demonstrating teaching excellence in merit and promotion reviews, as such feedback may be biased. The revised language should provide guidance to candidates and reviewers on the role of written teaching evaluations in the review process and how they are weighed against other review metrics.

Responsibility for Teaching Outcomes: The revised policy suggests that faculty will be held accountable for teaching outcomes, which could be challenging to control and document. Reviewers are also concerned about language calling for an analysis of student performance in consultation with campus teaching and learning centers, as courses can differ significantly across a particular campus and numerous student success factors are beyond the instructor's control. Another concern is the addition of standardized and externally imposed "evidence-based teaching practices" and "engagement in professional development" as assessment criteria, because individual faculty members should have the freedom to develop and implement their own pedagogy.

Workload: Reviewers pointed out that the revisions may increase the time required to assemble materials for a merit review or promotion, potentially exacerbating workload inequities. The policy should not impose a "one-size-fits-all" template for evaluating mentoring due to the diverse mentoring practices and experiences among faculty on campuses. It should be clear that the burden of considering mentoring will fall on the review committee, and department chairs and deans may need additional training to credit such activity.

In conclusion, including mentoring in the APM remains an important goal for the Senate, and the proposed revisions represent a step in the right direction. However, further attention and refinement are needed to address the raised concerns and ensure the policy is clear, fair, and without unintended consequences.

It is worth noting that the Senate's original request was for a simpler retitling of the APM section on teaching to include an explicit reference to mentoring. Subsequently, the Senate responded to APP's suggestion to define mentoring in the APM, leading to a more elaborate revision that APP further expanded. Consideration should be given to removing the prescriptive aspects of the guidance in the latest proposed revisions so that the policy remains at a high level to ensure flexibility.

We appreciate the opportunity to comment and would like to collaborate further with your office on this matter. We offer CCGA, UCAP, and UCEP as resources for working through the Senate feedback and discussing next steps. Please do not hesitate to contact me if there are additional questions.

Sincerely,

Susan Cochran, Chair
Academic Council

Cc: Academic Council
        Campus Senate Executive Directors
        Executive Director Lin
Encl.

July 19, 2023

SUSAN COCHRAN
Chair, Academic Council

Subject: Systemwide proposed revisions to APM 210 – Review and Appraisal Committees

Dear Chair Cochran:

The proposed revisions to the *Academic Personnel Manual (APM) 210 – Review and Appraisal Committees* were sent to the Berkeley Division Committees on Budget and Interdepartmental Relations (BIR); Diversity, Equity, and Campus Climate (DECC); Faculty Welfare (FWEL); and members of Berkeley Council of the Berkeley Division (DIVCO). This letter summarizes the main points raised in those comments, and the committee comments themselves are appended for your reference.

Mentoring
In general, DIVCO and the other committees responded positively to the addition of mentoring to the list of criteria for advancement. We appreciate the formal recognition of mentoring as part of merit and promotion cases. However, committee members pointed out several potential challenges in assessing faculty based on their mentoring activities, which should be addressed before adopting these revisions as policy.

1. It is unclear whether the intention is to treat mentoring as an additional requirement for review (on a par with teaching, research, and service) or as a complement to "teaching," an alternative way to satisfy the "teaching" element of APM 210's long-standing tripartite review. DIVCO strongly prefers the second option, both because mentoring opportunities and obligations are distributed so unevenly among faculty and because we do not at this time support any policy changes that would potentially increase faculty workload. It will be important to clarify this matter and to communicate clearly about the status of mentoring, both for faculty preparing their case materials and for campus reviewers.

   The committee on Diversity, Equity, and Campus Climate (DECC) observes that much of the work of mentoring (which falls heavily on women and faculty of color) remains invisible and informal, making it difficult to assign credit accurately. Department chairs and deans may need additional training to credit such mentoring work. At the same time, any formal review of mentoring needs to incorporate the awareness that some faculty who

might be dedicated mentors have limited opportunities for mentoring because of professional dynamics that are beyond their control.

2. The consensus among those who commented on the revisions was that the quality of mentoring is even more difficult to assess accurately than is that of classroom teaching. Section 1(c) ("Evidence of Teaching and Mentoring Effectiveness") lists among possible forms of evidence to be presented "feedback from current and former students and mentees." The committee of Faculty Welfare (FWEL) cautions that such reports should be treated with care, because of the strong potential for bias in such reports.

3. Commenters recognize that faculty devote an increasing amount of time to supporting students in non-academic matters (such as life and career advising) and appreciate the impulse to recognize and reward this aspect of our work. However, DIVCO is concerned that including these activities within the general category of mentoring may communicate that supporting students in these matters is a requirement for every faculty member, which would be yet another extension of job responsibilities. In our view it is inadvisable to introduce language into the APM that could be interpreted as making this a professional responsibility for all faculty.

Definition & Evidence of Teaching Effectiveness
We salute the valiant effort to codify what constitutes effectiveness in teaching and to identify the forms of evidence that might attest to it. The pronounced move away from the activities, expertise, and effort of the instructor towards evidence of student learning in these proposed revisions is both understandable and concerning. The shift from a focus on command of the subject towards effective presentation and creating an open environment are much-needed updates, as is the expansion of the types of evidence and the de-emphasis of student evaluations of teaching.

But the revised language conveys that faculty are responsible for teaching outcomes, which are notoriously difficult to control and especially difficult to document. DIVCO members were especially concerned about the potential for misfires or abuse in the sentence concerning the awarding of tenure: "Under no circumstances will a tenure commitment be made unless there is <u>clear documentation of success</u> in teaching and supporting student learning."

Impact on Faculty Workload
Members of DIVCO are concerned that these revisions will increase the amount of time it takes to assemble the materials for a merit review of promotion. Both the addition of mentoring as a formal review area and the numerous types of evidence of teaching effectiveness faculty are invited to submit represent increases in workload. When faculty spend more time preparing a personnel case, they will be spending less time on something else that might more valuable to the faculty member and to the university.

Equal Opportunity vs. Belonging
The Budget Committee suggested that the phrase, "diversity, equity, and inclusion, and equal opportunity," be revised to the more widely-used "diversity, equity, inclusion, and belonging."

We thank you for the opportunity to offer comments on this proposed policy revision. Please refer to the enclosures for the complete committee commentary.

Sincerely,

Mary Ann Smart
Professor of Music
Chair, Berkeley Division of the Academic Senate

Enclosures

cc: Maximilian Auffhammer, Vice Chair, Berkeley Division of the Academic Senate
    Rachel Morello-Frosch, Chair, Committee on Budget and Interdepartmental Relations
    Thomas Philip, Chair, Committee on Diversity, Equity, and Campus Climate
    Thomas Leonard, Co-Chair, Committee on Faculty Welfare
    Nancy Wallace, Co-Chair, Committee on Faculty Welfare
    Jocelyn Surla Banaria, Executive Director
    Will Lynch, Manager & Senate Analyst, Committee on Budget and Interdepartmental
       Relations
    Linda Corley, Senate Analyst, Committee on Diversity, Equity, and Campus Climate
    Patrick Allen, Senate Analyst, Committee on Faculty Welfare

July 6, 2023

CHAIR MARY ANN SMART
BERKELEY DIVISION OF THE ACADEMIC SENATE

RE: Systemwide Senate Review of Proposed Revisions of APM-210, Review and Appraisal
Committees

We thank you for inviting us to comment on the proposed revisions to APM-210, Review and
Appraisal Committees. We commend these proposed revisions, which include the addition of
"mentoring" to criteria and assessment and the revisions pertaining to the evaluation and
evidence of teaching and mentoring effectiveness, and have no objection to them. We do,
however, have two suggestions:

- We suggest that the new phrase, "diversity, equity, and inclusion, and equal opportunity,"
  be changed to "diversity, equity, inclusion, and belonging."

- We also suggest that "furthering a trainee's progress and career development, and
  influencing opportunities in a mentee, student, or trainee's life and career" be considered
  not as service, but rather, as mentoring.

Thank you again for the chance to review the proposed revisions to the APM.

Rachel Morello-Frosch
Chair

RMF/wl

June 14, 2023

PROFESSOR MARY ANN SMART
Chair, 2022-2023 Berkeley Division of the Academic Senate

Re: DECC's Comments on the Proposed Revisions to APM - 210

The Committee on Diversity, Equity, and Campus Climate (DECC) has reviewed the proposed revisions to APM – 210, Review and Appraisal Committees. DECC appreciated the added emphasis on mentoring in APM 210. However, the policy changes do not seem sufficient to address the inequities in mentoring responsibilities especially for women and faculty of color. In particular, the distinction between "mentoring focused on scholarly activity [that] can be reported under Teaching" and "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 [that] can be reported separately under Service" may be artificial in many cases, particularly when supporting minoritized students.

DECC also expressed concern that mentoring is often invisible labor that goes unrecognized. Students are often mentored informally by faculty other than their advisor (or other designated faculty), resulting in inequitable patterns in who actually mentors students and who receives credit. While the changes in APM-210 are commendable, Department Chairs and Deans need better training to recognize and address these dynamics, especially in merit and promotion.

Sincerely,

Thomas Philip
Chair, Committee on Diversity, Equity, and Campus Climate

TP/lc

June 6, 2023

CHAIR MARY ANN SMART
Academic Senate

Re: Proposed revisions to Academic Personnel Manual (APM) - 210,
Review and Appraisal Committees

Dear Chair Smart,

At its meeting on May 8, 2023, the Committee on Faculty Welfare (FWEL) reviewed the proposed revisions to Academic Personnel Manual - 210, Review and Appraisal Committees.

FWEL has concerns with APM-210-1, Part d. Criteria for Appointment, Promotion, and Appraisal, Section (c), (ii) feedback from current and former students and mentees. The Committee is apprehensive about appraisals from current and former students. The policy should be mindful of bias regarding student reports when considering them in the evaluation process. FWEL recommends that this form of evaluation be optional and not a requirement in the faculty appraisal process.

We appreciate the opportunity to weigh in on these matters.

Sincerely,

Thomas Leonard, Co-Chair
Committee on Faculty Welfare

Nancy Wallace, Co-Chair
Committee on Faculty Welfare

TL/NW/pga

July 19, 2023

Susan Cochran
Chair, Academic Council

RE: Proposed Revisions to APM 210, Review and Appraisal Committees

Dear Susan,

The proposed revisions to APM 210 were forwarded to all standing committees of the Davis Division of the Academic Senate. Ten committees responded: Academic Personnel Oversight (CAP), Faculty Welfare (FWC), and the Faculty Executive Committees of the College of Agricultural and Environmental Sciences (CAES), the College of Biological Sciences (CBS), the College of Engineering (COE), the College of Letters and Science (L&S), the School of Education (SOE), the School of Law (LAW), the School of Medicine (SOM), and the School of Nursing (SON). We also solicited comments from the UC Davis Academic Federation, a campus constituency comprising academic titles affected by these revisions.

Overall, committees support the inclusion of mentoring as a component for assessment. However, they expressed concerns about clarity and unintended consequences of the proposed revisions.

Comments from CAP, FWC, and the Academic Federation are relayed below.

CAP:
- CAP members noted that some faculty have laboratory research programs that support multiple graduate student and postdoctoral supervisees. If approved, these APM revisions may give such faculty an advantage in the personnel process over faculty members whose research does not require or allow for maintaining large laboratory programs. CAP is also concerned that faculty could cite these APM revisions to argue that they have fulfilled the minimum expectations required for the category of "teaching and mentorship" even when they have not engaged in any classroom teaching. CAP notes that this concern is only applicable to Senate faculty (Professors, Professors in Residence, Lecturers with Security of Employment) for whom classroom teaching is an expectation and does not apply to Professors in the Clinical series, who have limited opportunities for classroom teaching and fulfill this requirement through bedside clinical instruction (as described in UC APM 210-2).
- Some of the language used in particular sections of the new draft appears to be ambiguous or vague, and therefore may be difficult to implement in practice. It is not clear to CAP how evidence will be presented and evaluated for phrases such as approaches that "effectively promotes student learning in the course."

FWC:
- Committee members pointed to an inconsistency in the format of the additional/updated Teaching Effectiveness, Mentoring Effectiveness, and Evidence of Teaching and Mentoring Effectiveness sections and the Research and Creative Work, Professional Competence and Activity, University and Public Service, and The Report sections. The committee also felt that 210.d.1.c.iv and 210.d.1.c.xiv were a bit redundant. The committee is unsure of the difference between the two points and feels that it is unnecessary to include both. Overall, the committee feels that additional, careful editing should be done to the APM and proposed changes/additions should be updated to be in compliance with the previous narrative format before finalizing it.

Academic Federation:
- Section 1.a.(vi) states that candidates should show "ability to awaken curiosity in students, to encourage high standards, and to inspire advanced students to research and creative work while delivering formal coursework" (p. 11). Members commented that this language is unclear and does not provide guidance on how this ability should be demonstrated or measured.
- Given that it has been repeatedly demonstrated that course evaluations are highly biased, if those evaluations are being used for demonstrating teaching proficiency merit/promotion purposes, how should the candidate and reviewers account for this? The revised language does not provide any guidance on this issue.
- Section C. "Evidence of Teaching and Mentoring Effectiveness" states that the sources of evidence are broadly defined, and open to the department chair. Among the suggested potential sources of evidence are "(ii) feedback from current and former students and mentees" (p. 13) which is not necessarily the same as course evaluations. However, further down (top of p. 14), the following has been removed from the APM: "(a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review." If this source has been removed from the APM, should there be some stated restriction from using course evaluations?
- The proposed revisions state that "faculty achievement that promote diversity, equity, inclusion, and equal opportunity" (p. 35). Members commented that they are unsure about what metric one would use to demonstrate this achievement and also what is meant by "equal opportunity."

The Davis Division appreciates the opportunity to comment.

Sincerely,

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate
Distinguished Professor of Chemical Engineering
University of California, Davis

Enclosed: Davis Division Committee Responses

c: Monica Lin, Executive Director, Systemwide Academic Senate
         Michael LaBriola, Assistant Director, Systemwide Academic Senate
         Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate

June 23, 2023

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Proposed Revisions to UC APM 210: Review and Appraisal Committees

The Committee on Academic Personnel – Oversight (CAP) has reviewed and discussed the proposed revisions to UC APM 210: Review and Appraisal Committees. The proposed revisions include adding and defining mentoring as a component for assessment in the teaching category and editing the definitions and evidence that can be provided for teaching and mentoring effectiveness. While CAP recognizes that these revisions are intended to "bring much-needed attention to faculty mentoring activities,"[1] we are concerned about the unintended consequences that may be caused by broadening the teaching category to explicitly include mentoring. We offer the following comments for further consideration (all page numbers cited refer to the PDF and not the embedded page numbers):

- CAP members noted that some faculty have laboratory research programs that support multiple graduate student and postdoctoral supervisees. If approved, these APM revisions may give such faculty an advantage in the personnel process over faculty members whose research does not require or allow for maintaining large laboratory programs. CAP is also concerned that faculty could cite these APM revisions to argue that they have fulfilled the minimum expectations required for the category of "teaching and mentorship" even when they have not engaged in any classroom teaching. CAP notes that this concern is only applicable to Senate faculty (Professors, Professors in Residence, Lecturers with Security of Employment) for whom classroom teaching is an expectation and does not apply to Professors in the Clinical series, who have limited opportunities for classroom teaching and fulfill this requirement through bedside clinical instruction (as described in UC APM 210-2).

- Some of the language used in particular sections of the new draft appears to be ambiguous or vague, and therefore may be difficult to implement in practice. It is not clear to CAP how evidence will be presented and evaluated for phrases such as approaches that "effectively promotes student learning in the course."

CAP appreciates the opportunity to comment.

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[1] See "Proposed Revisions to APM 210 to Recognize Mentorship Activities - Memo from Chair Gauvain to Vice Provost Carlson" (August 2021).

June 22, 2023

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Request for Consultation – Proposed Revisions to APM 210, Review and Appraisal
Committees

Dear Ahmet:

The Committee on Faculty Welfare has reviewed the RFC – Proposed Revisions to APM 210, Review and Appraisal Committees and had some feedback that they would like to share. The committee first wants to show their support to the addition of mentoring as an evaluation component. They feel that the descriptions provided with the addition of mentoring activities help emphasize the value of many types of mentoring that faculty do and clarified what types of mentoring would fall under teaching and which would fall under service. However, the committee pointed to an inconsistency in the format of the additional/updated Teaching Effectiveness, Mentoring Effectiveness, and Evidence of Teaching and Mentoring Effectiveness sections and the Research and Creative Work, Professional Competence and Activity, University and Public Service, and The Report sections. The committee also felt that 210.d.1.c.iv and 210.d.1.c.xiv were a bit redundant. The committee is unsure of the difference between the two points and feels that it is unnecessary to include both. Overall, the committee feels that additional, careful editing should be done to the APM and proposed changes/additions should be updated to be in compliance with the previous narrative format before finalizing it.

Sincerely,

Janet Foley
Chair, Committee on Faculty Welfare

c: Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: College of Agricultural and Environmental Sciences Committee Response

June 23, 2023

The FEC of CA&ES has reviewed the Proposed Revision to APM 210, Review and Appraisal Committees and supports the proposed revisions.

July 3, 2023

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Proposed Revisions to APM 210, Review and Appraisal Committees

Dear Ahmet:
The College of Biological Sciences Faculty Executive Committee reviewed the proposed revisions to APM 210. The committee strongly agrees with the explicit inclusion of mentoring as an evaluation criterion and supports the proposed changes.

The College of Biological Sciences faculty appreciate the opportunity to comment.

John Albeck
Associate Professor
Department of Molecular and Cellular Biology
Chair, College of Biological Sciences Faculty Executive Committee
Davis, CA

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: College of Engineering Committee Response

June 23, 2023

The COE FEC has the following two comments:

1) I am also concerned with how mentoring effectiveness can be demonstrated. I am even more concerned with the concept of mentoring as a service, as this is very difficult to monitor and report.

2) Addition of mentoring to the merit review process allows individuals to receive recognition for the work they do in mentoring, but could be challenging/biased to demonstrate mentoring effectiveness. Like letters of rec, one would only request these from people who had good things to say. Is there a plan to do global evals for all grad students for mentoring effectiveness of their PIs? What will the guiding criteria be? What about true mentoring, vs research advising, which is for students not in your lab, like providing advice to undergraduates etc. It seems unpleasant to need to ask people you help to complete reviews or write letters about your mentoring work. Seems to put a price on your mentorship (as if they need to do this to get your help).

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: College of Letters and Science Committee Response

June 23, 2023

The L&S FEC supports this change. The merit and promotion process has always implicitly considered mentoring as well as teaching, but now the importance of mentoring is explicitly stated in the APM. The FEC agrees that mentoring is a key part of a faculty member's responsibility, and should be recognized in the merit and promotion process.

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: School of Education Committee Response

June 23, 2023

The School of Education FEC supports increasing the focus on mentoring in APM 210. We appreciate the careful review by CAP and Faculty Welfare committee with respect to clarifying language to support implementation and support the changes they recommend.

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: School of Law Committee Response

June 23, 2023

The FEC has no objections to this proposal.

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: School of Medicine Committee Response

June 23, 2023

Appreciate the inclusion of mentoring into the policy as an area of teaching

Proposed Revisions to APM 210, Review and Appraisal Committees

FEC: School of Nursing Committee Response

June 23, 2023

The FEC approves the proposed changes on APM 210.

June 23, 2023

Ahmet Palazoglu
Chair, Davis Division of the Academic Senate

RE: Proposed Revisions to UC APM 210: Review and Appraisal Committees

The Academic Federation Executive Council (AFEC) have reviewed the proposed revisions to the UC APM 210: Review and Appraisal Committees and offer the following comments for the Academic Senate's consideration (page numbers refer to PDF and not to embedded page numbers):

- Section 1.a.(vi) states that candidates should show "ability to awaken curiosity in students, to encourage high standards, and to inspire advanced students to research and creative work while delivering formal coursework" (p. 11) Members commented that this language is unclear and does not provide guidance on how this ability should be demonstrated or measured.

- Given that it's been repeatedly demonstrated that course evaluations are highly biased, if those evaluations are being used for demonstrating teaching proficiency merit/promotion purposes, how should the candidate and reviewers account for this? The revised language does not provide any guidance on this issue.

- Section C. "Evidence of Teaching and Mentoring Effectiveness" states that the sources of evidence are broadly defined, and open to the department chair. Among the suggested potential sources of evidence are "(ii) feedback from current and former students and mentees" (p. 13) which is not necessarily the same as course evaluations. However, further down (top of p. 14), the following has been removed from the PPM: "(a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review." If this source has been removed from the APM, should there be some stated restriction from using course evaluations?

- The proposed revisions state that "faculty achievement that promote diversity, equity, inclusion, and equal opportunity" (p. 35) Members commented that they are unsure about what metric one would use to demonstrate this achievement and also what is meant by "equal opportunity."

The AFEC appreciates the opportunity to comment.

Sincerely,

Martin Smith   Erin DiCaprio
Chair, Academic Federation   Vice Chair, Academic Federation

University of California, Irvine

Academic Senate
307 Aldrich Hall
Irvine, CA 92697-1325
(949) 824-7685
www.senate.uci.edu

June 23, 2023

Susan Cochran, Chair
Academic Council

Re: Proposed Revisions to APM-210, Review and Appraisal Committees

Dear Chair Cochran,

The Irvine Division discussed the proposed revisions to APM-210, Review and Appraisal Committees at its Cabinet meeting on June 20, 2023. The Council on Academic Personnel (CAP) and Council on Faculty Welfare, Diversity, and Academic Freedom (CFW) also reviewed the proposed revisions. Their feedback is attached for your review.

Cabinet members noted that the following policy statement, which is awkwardly worded, may wrongly signal that extensive examples of evidence of teaching and mentoring effectiveness listed on page six of the redline version are in fact required components, rather than possible examples:

When an adequate number of teaching examples are not provided, the department chair will include an explanation for any of the information specified in this subsection that is omitted from the candidate's dossier.

It is unclear what is considered an "adequate" number of examples, and it may inadvertently pressure faculty to provide more examples than warranted.

The Irvine Division appreciates the opportunity to comment.

Sincerely,

Georg Striedter, Chair
Academic Senate, Irvine Division

Enclosures: CAP, CFW memos

Cc: Arvind Rajaraman, Chair Elect-Secretary
        Jisoo Kim, Executive Director
        Gina Anzivino, Associate Director

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California, Irvine

Academic Senate
Council on Academic Personnel
307 Aldrich Hall
Irvine, CA 92697-1325
(949) 824-7685
www.senate.uci.edu

June 8, 2023

GEORG STRIEDTER,
CHAIR, ACADEMIC SENATE, IRVINE DIVISION

RE: Proposed Revisions to APM-210, Review and Appraisal Committees

At its meetings on May 11 and June 8, 2023 the Council on Academic Personnel (CAP) discussed the Proposed Revisions to APM-210.

While members were pleased to see the revisions that will induce university-wide treatment of mentorship similar to how it is valued and reviewed at UCI, they had some concerns that they hope can be addressed:

1. Some phrases and language may have the unintended interpretation of requiring mentorship instead of highlighting mentorship as another opportunity for teaching-related activities. CAP recommends a careful rewriting to discourage this misinterpretation, as faculty in some disciplines may not have the possibility to mentor students or very limited opportunities. While CAP appreciates the brief discussion towards the bottom of page 5 (Section 210-1-d (1.b)), it might be more effective to state explicitly that mentoring is not required but will be considered as evidence of teaching if included.

2. Some members expressed a concern that item (ii) in Section 210-1-d (1.c), "feedback from current and former students and mentees" (page 6), could encourage faculty to include letters from former students and mentees. CAP members would like to discourage such an interpretation as that would likely induce faculty to cherry-pick evidence and may place mentees in awkward positions with requests. Furthermore, such feedback when included in a case file is rarely helpful. If the inclusion of such letters is not explicitly discouraged, then language should be added to ask that such materials be anonymized or redacted, as it is unclear the students knew their correspondence would be read by others.

3. CAP members recommended the removal or modification of the parenthetical "(... referrals to behavioral &/or health resources...)" in Section 210-1-d (1) (on page 4), as it would likely lead to more violations of student confidentiality or HIPAA concerns in files. Additionally, expectations of social care by faculty as front line members promotes disinvestment in professional staff.

4. CAP members noted that nothing is stated in sections 210-2 and 210-6 for Professors of Clin X and Health Sciences Clinical Professors about evidence of Teaching and Mentoring Effectiveness

University of
California, Irvine

Academic Senate
Council on Academic Personnel
307 Aldrich Hall
Irvine, CA 92697-1325
(949) 824-7685
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and Clinical Teaching Effectiveness (analogous to the details provided for the regular Professors and Lecturers with Security of Employment — part c on page 5-7 and part c on page 22).

5. In Sections 210-1 and 210-3, respectively for Professors and for Lecturers with Security of Employment, there is a statement that "No political test shall ever be considered in the appointment and promotion of any faculty member …" (see, for example, page 9 just before part e and page 15 part a). CAP members indicated that there should be a similar statement in the sections for Professors of Clinical (210-2) and Health Sciences Clinical Professors (210-6).

6. CAP members felt it would be helpful to add language to discourage faculty from listing names of underrepresented students as evidence of their own accomplishments towards inclusive excellence and instead to encourage faculty to describe specific activities they initiated that promoted the success of the mentees and the impact of those activities.

The Council on Academic Personnel appreciates the opportunity to comment.

Sincerely,

Michelle R. Garfinkel, Chair
on behalf of the CAP membership

University of California, Irvine

Academic Senate
Council on Faculty Welfare,
Diversity & Academic Freedom
307 Aldrich Hall
Irvine, CA 92697-1325
(949) 824-7685

May 25, 2023

GEORG STRIEDTER, CHAIR
ACADEMIC SENATE – IRVINE DIVISION

Re: Systemwide Proposed Revisions to APM-210, Review and Appraisal Committees

Systemwide Senate Chair Susan Cochran distributed for review proposed revisions to Section 210 of the Academic Personnel Manual: APM-210, Review and Appraisal Committees. The proposed revisions include the addition of mentoring to criteria and assessment, revisions to evaluation and evidence of teaching and mentoring effectiveness, contributions to diversity, equity, inclusion, and equal opportunity for policy-covered librarians, minor additions of numbering for clarity, and technical revisions for grammatical consistency.

The Council on Faculty Welfare, Diversity, and Academic Freedom (CFW) discussed this issue at its meeting on May 9, 2023, and submits the following comments:

1. Some members questioned why "Lecturer with Security of Employment (LSOE)" is used in the policy, as they were under the impression that the title had changed to "Professor of Teaching."
2. There are many statements throughout the policy indicating department chair responsibilities in writing a candidate letter (ie: It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching and mentoring effectiveness at lower-division, upper-division, and graduate levels of instruction). However, according at UCI, a Chair's letter is optional. The systemwide policy seems to be saying the Chair's letter is required. This should be stated more clearly in the policy.

Sincerely,

Lisa Naugle, Chair
Council on Faculty Welfare, Diversity, and Academic Freedom

C: Jisoo Kim, Executive Director
Academic Senate

Gina Anzivino, Associate Director
Academic Senate

Stephanie Makhlouf, Cabinet Analyst
Academic Senate

July 11, 2023

Susan Cochran
Chair, UC Academic Senate

Re: (Systemwide Senate Review) Proposed Revisions to APM - 210, Review and Appraisal Committees

Dear Chair Cochran,

The divisional Executive Board appreciated the opportunity to review the Proposed Revisions to APM - 210, Review and Appraisal Committees. The Executive Board (EB) reviewed the proposal and divisional committee and council responses at its meeting on June 8, 2023.

Members appreciated the addition of mentoring to the review criteria and evaluation process, noting that this is a domain of faculty labor that contributes greatly to the academic mission but too often goes unrecognized in academic personnel processes. However, some members expressed concerns about how to differentiate between academic/teaching mentoring and "non-scholarly support," and pointed to the attached Committee on Privilege and Tenure (P&T) letter, which states:

> The Committee members were concerned that separating "teaching" mentoring from "nonscholarly support" is an artificial divide. When faculty provide what the policy describes as "nonscholarly support," it is rarely separate from helping students achieve academically, especially for under-resourced students. If faculty are to be recognized for "an academic environment that is open and encouraging to all mentees," it is highly likely that creating that environment will involve "non-scholarly support."

After discussion, EB members voted to approve a motion to endorse the proposed revisions to APM – 210.

Sincerely,

Jessica Cattelino
Chair
UCLA Academic Senate

Encl.

Cc: April de Stefano, Executive Director, UCLA Academic Senate
        Andrea Kasko, Vice Chair/Chair Elect, UCLA Academic Senate
        Shane White, Immediate Past Chair, UCLA Academic Senate

UCLA **Academic Senate**
Committee on Privilege and Tenure

To: Jessica Cattelino, Chair, Academic Senate

From: Sandra Graham, Chair, Committee on Privilege and Tenure

CC: Andrea M. Kasko, Vice Chair/Chair-Elect, Academic Senate
Shane White, Immediate Past Chair, Academic Senate
April de Stefano, Executive Director, Academic Senate
Marian M. Olivas, Principal Policy Analyst, Academic Senate
Members of the Committee on Privilege and Tenure

Date: May 29, 2023

Re: **Revisions to APM-210, "Review and Appraisal Committees"**

At its meeting on May 25, 2023, the Committee on Privilege & Tenure (P&T) discussed the systemwide proposal to revise APM-210. The principal revisions aim to add "mentoring" to the review criteria Teaching and Service. P&T considers the idea to be a generally positive step to get the word "mentoring" into the policy and a recognized part of the evaluation process, but finds that the revisions need refinement in order for them to be effective in guiding review and appraisal committees. P&T members offer the following comments and concerns:

- Several terms are too vague for meaningful criteria – evaluation on the basis of "standards of the discipline."
- At UCLA, CAP and many departments already recognize mentoring as part of teaching. Faculty already document this. Is it adding more burden to have to separately document mentoring? Will there be a penalty for not doing so? This should be clear in the policy that while faculty may include a section on mentoring, the burden for considering mentoring will fall on the review committee.
- There should be clarification that some positions do not offer opportunities for mentoring connected to teaching – at least as described in the document. Perhaps it should be expanded to define mentoring trainees in the research lab and in clinical or other performative work.
- The Committee members were concerned that separating "teaching" mentoring from "non-scholarly support" is an artificial divide. When faculty provide what the policy describes as "non-scholarly support," it is rarely separate from helping students achieve academically, especially for under-resourced students. If faculty are to be recognized for "an academic environment that is open and encouraging to all mentees," it is highly likely that creating that environment will involve "non-scholarly support."
- The policy previously described the bar for tenure as "clear documentation of ability and diligence in the teaching role. In judging the effectiveness of a candidate's teaching, the

committee should consider such points as the following." The revision proposes the bar for tenure as simply "success in teaching and supporting student learning." P&T finds the use of the word "success" as problematic, especially as no definition of success is offered. There is a tension between the traditional definitions of "success" in teaching (numbers of Ph.D students advanced and how quickly, teaching evaluations, etc.) and other benchmarks for successful mentoring and equity efforts. For example, taking on students who may need additional support to complete their academic program often inherently means longer time to graduation and/or fewer "number" graduating.

- There should be a way to evaluate retention efforts as they relate to mentoring that goes beyond counting numbers graduated. Students, as well as faculty, may change mentor-mentee relationships for the wrong reasons.
- Some Committee members commented that the Clinical X and In Residence requirements for mentoring should be better differentiated from the Regular Professor series to account for the unique requirements of those series. Clinical X, in particular, is supposed to be a series for a master teacher.
- There seems to be little description of mentoring Teaching Assistants and Teaching fellows, despite the fact that the roles are always supposed to be apprenticeships under the authority of the Instructor of Record.
- The Committee recommends that the policy indicates that local procedures should be developed with a robust yet rigorous way of evaluating mentoring. Committee members suggest that a uniform and standardized method of assessment of effectiveness could be implemented through, for example, a committee established by each department that would assess the mentoring performance of all of its faculty and identify as well as assess special issues that arise from the background of each of the students involved. CalTech employs such a model.

Thank you for the opportunity to review and comment. If you have any questions, please do not hesitate to contact me at graham@gseis.ucla.edu or via the Committee's analyst, Marian Olivas, at molivas@senate.ucla.edu.

To: Jessica Cattelino, Chair, Academic Senate

From: Chon Noriega, Chair, Council on Academic Personnel

CC: Andrea M. Kasko, Vice Chair/Chair-Elect, Academic Senate
        Shane White, Immediate Past Chair, Academic Senate
        April de Stefano, Executive Director, Academic Senate
        Lori Ishimaru, Senior Policy Analyst, Academic Senate
        Members of the Council on Academic Personnel

Date: June 1, 2023

Re: **(Systemwide Senate Review) Proposed Revisions to APM-210, Review and Appraisal Committees**

At its meeting on May 23, 2023, the Council on Academic Personnel (CAP) discussed proposed revisions to APM-210 (Review and Appraisal Committees). CAP already considers contributions to mentoring in their review of academic personnel actions and generally welcomed the formal inclusion of this concept in APM-210. However, members voiced the following concerns regarding the proposed revisions:

- As specified in 210-1.d.(1), "mentoring" can be classified as either "scholarly activity [that] can be reported under Teaching" or "non-scholarly support… as well as mentoring of faculty and others [that] can be reported separately under Service." It is recommended that distinct terminology is used when describing "scholarly mentoring" and "non-scholarly mentoring," to make these differences clear throughout the APM.
- It is unclear whether teaching criteria and mentoring criteria are to be equally weighted. Mentoring achievements may be more difficult to quantify in smaller departments or specialties.
- The inclusion of mentoring may result in an overemphasis of quantity, rather than quality. It is recommended that any evidence of mentoring effectiveness focuses on achievement and outcomes, rather than simple numbering.
- The proposed language utilizes "buzzwords," such as "evidence-based teaching practices" and "learning outcomes." Trendy topics should not be included in systemwide policy.
- Explicit inclusion of mentoring may impede faculty's academic freedom to their approach towards teaching and scholarship.
- Cautioning against the inclusion of "outcomes" tracking, due to the increase of administrative burden to obtain and maintain.

Members supported the revisions to identify diversity, equity, inclusion, and equal opportunity contributions in APM-210 and ClinCAP's comments on APM-210-6.

Thank you for the opportunity to review and comment. If you have any questions, please do not hesitate to contact me at cnoriega@ucla.edu or via the Council's analyst, Lori Ishimaru, at lishimaru@senate.ucla.edu.

UCLA Academic Senate
Committee on Diversity, Equity & Inclusion

May 31, 2023

Jessica Cattelino, Chair
UCLA Academic Senate

Re: (Systemwide Senate Review) Proposed Revisions to APM - 210, Review and Appraisal Committees

Dear Chair Cattelino,

At its meeting on May 9, 2023, the Committee on Diversity, Equity, and Inclusion (CODEI) discussed the Proposed Revisions to APM - 210, Review and Appraisal Committees. Committee members recognize and support the update of the terminology and expansion of items pertaining to Diversity, Equity, and Inclusion (DEI).

Members also felt that the proposed revisions do not go far enough to connect DEI efforts with Research and Teaching in reviews and appraisals. As written, the proposed revisions place DEI efforts solely into the service category, which in turn would create an additional requirement for scholars. For example, the establishment of a "social justice community engaged research" area in faculty reviews would be a way to address the concerns of the committee.

The committee appreciates the opportunity to review these proposed revisions, and agreed that some changes were made in the right direction. If you have questions, please do not hesitate to contact me at reynaldo@chavez.ucla.edu or via the Committee analyst, Lilia Valdez, at lvaldez@senate.ucla.edu.

Sincerely,

Reynaldo F. Macias
Chair, Committee on Diversity, Equity, and Inclusion

cc: Steven Anderson, Member, Committee on Diversity, Equity and Inclusion
       April de Stefano, Executive Director, Academic Senate
       Shelleen Greene, Member, Committee on Diversity, Equity and Inclusion
       Christine Grella, Member, Committee on Diversity, Equity and Inclusion
       Theodore Hall, Member, Committee on Diversity, Equity and Inclusion
       Smadar Naoz, Member, Committee on Diversity, Equity and Inclusion
       Kyeyoung Park, Member, Committee on Diversity, Equity and Inclusion
       Margot Quinlan, Member, Committee on Diversity, Equity and Inclusion
       Michael A Rodriguez, Member, Committee on Diversity, Equity and Inclusion
       Lilia Valdez, Senior Policy Analyst, Committee on Diversity, Equity and Inclusion

UCLA Academic Senate
Faculty Welfare Committee

May 19, 2023

To: Jessica Cattelino, Chair
        Academic Senate

Re: **(Systemwide Senate Review) Proposed Revisions to APM-210, Review and Appraisal
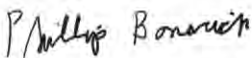   Committees**

Dear Chair Cattelino,

At its meeting on May 9, 2023, the Faculty Welfare Committee (FWC), reviewed and discussed the
Proposed Revisions to APM-210, Review and Appraisal Committees. Members offered the following
comments.

Members were unclear as to the purpose of the revision to APM-210. It was pointed out that valuable
scholars and teachers should be evaluated in part by their contribution to the community of scholars
and teachers to which they belong.   The value of a scholar and mentor should not be judged solely by
their publications and classroom teaching but in addition by their indirect contributions to their
scholarly work and the development of others. The proposed revisions outlined, label this additional
contribution as "mentoring."

The committee agrees that mentoring is a component of the value of a scholar, but is skeptical about
how it is proposed to be assessed. Members voiced great concern about the shifting and vague
meaning associated with mentoring. Members questioned if aiding the social-emotional development of
students should be in the same category as teaching them to be effective scholars. How is professional
generosity to be measured?   "Mentoring" in this statement is subjective and not clearly distinguished
from teaching and service. There was confusion among the members as to the origin and justification of
the proposed revisions which are not well-defined. FWC is not in support of the proposed revisions to
APM-210 and requests a justification detailing the origin of the change and charge.

Thank you for the opportunity to opine. If you have questions, please do not hesitate to contact me at
bonacich@soc.ucla.edu or via the Committee analyst, Renee Rouzan-Kay, at
rrouzankay@senate.ucla.edu.

Sincerely,

Phillip Bonacich, Chair
Faculty Welfare Committee

UCLA Academic Senate
ClinCAP

To: Chon Noriega, Chair, Council on Academic Personnel

From: Gary Mathern, Chair, ClinCAP

CC: Christopher Colwell, Vice Chair, Council on Academic Personnel
        Lori Ishimaru, Senior Policy Analyst, Academic Senate
        Members of ClinCAP

Date: May 16, 2023

Re: **(Systemwide Senate Review) Proposed Revisions to APM - 210, Review and Appraisal Committees**

At its meeting on May 10, 2023, ClinCAP discussed the proposed revisions to APM-210 (Review and Appraisal Committees), specifically APM-210-6 (Instructions to Review Committees That Advise on Actions Concerning the Health Sciences Clinical Professor Series). Members supported the addition of mentoring to criteria and assessment to APM-210-6. In regard to the "Mentoring Effectiveness" section, some members recommended adding language to encourage candidates to include a list of their mentees and their current professional placement, as a metric to measure the candidate's mentoring effectiveness. Some members commented that this information may be appropriate for Senate series faculty, but may be more difficult to obtain for clinical educators.

Thank you for the opportunity to review and comment. If you have any questions, please do not hesitate to contact me at gmathern@ucla.edu or via the Committee's analyst, Lori Ishimaru, at lishimaru@senate.ucla.edu.

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OFFICE OF THE ACADEMIC SENATE
PATTI LIWANG, CHAIR, ACADEMIC SENATE
senatechair@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343

June 15, 2023

To: Susan Cochran, Chair, Academic Council

From: Patti LiWang, Chair, UCM Divisional Council

Re: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees

The proposed revisions to APM 210 (Review and Appraisal Committees) were distributed for comment to the Merced Division Senate Committees and the School Executive Committees. The following committees offered comments for consideration. The committees' comments are appended to this memo.

- Committee on Academic Personnel (CAP)
- Committee on Equity, Diversity, and Inclusion (EDI)
- Graduate Council (GC)
- Committee on Faculty Welfare and Academic Freedom (FWAF)
- Committee on Library & Scholarly Communications (LASC)
- Committee on Rules and Elections (CRE)

CAP had two comments:
- In APM 201-1, under "(c) Evidence of Teaching and Mentoring Effectiveness" (and repeated in later edits), point (iv) lists "evaluative statements from other faculty based on observation of class(es) and course materials". However, point (xiv) lists "evaluation by other faculty members of teaching and mentoring effectiveness", which appears to be a more overarching statement of point (iv). CAP suggests it would be useful to articulate specific types of evaluation in (xiv) that are not already stated.
- In APM 210-3 regarding Lecturers with Security of Employment (Teaching Professors), we note that in section (2) Professional and/or Scholarly Achievement and Activity, "research" is not stated explicitly as a form of scholarly activity that should be considered in review. Although language in this section refers to professional publications, evidence of research activity and accomplishments is not specifically called out. CAP realizes that the current proposed changes to APM 210 do not address this section of the APM. However, CAP hopes that future APM revisions will be undertaken to reflect the expanding roles of Teaching Professors and their diverse activities related to research and scholarship that should be valued in review.

EDI made several valuable suggestions for revisions which are contained in their appended memo. In general, EDI had a concern that removing mentoring from scholarly activity minimizes the impact of mentoring in

considering the weight of various items in a review. Many faculty mentor students on how to conduct scholarly research activities, including collaborating on research and writing, and therefore this mentorship supports and extends scholarly output. EDI's second concern is related to teaching effectiveness. EDI thinks the language on inclusive teaching environments is not specific enough. EDI also consulted with members of the UCM Black Alliance who conveyed their concerns with the proposed revisions and their specific comments are included in the appended EDI memo.

FWAF had two main suggestions which are directed towards revising the guidance to more fully address the diversity, equity, and inclusion aspects of mentoring. In particular, FWAF wished to recognize and mitigate the disproportionate, qualitatively distinctive mentoring labor performed by marginalized and underrepresented faculty, and to value more highly the forms of mentoring that create more inclusive, equitable environments.

- Concern 1: how to recognize disproportionate mentoring burdens for marginalized faculty. FWAF recommends: 1) De-emphasize the division of scholarly and non-scholarly mentoring (and the teaching/service division) and instead allow the faculty undergoing review to characterize their own mentoring work. 2) Explicitly state that evidence of extensive mentoring that supports DEI goals (e.g., mentoring underrepresented students/scholars) may take the place of other service work and official mentoring roles such as "thesis advisor." Caution review committees against criticizing a faculty member for "too much mentoring," in recognition that mentoring among underrepresented scholars is an ethical imperative as well as contributing to the intellectual development of a field.
- Concern 2: quantifying mentoring via "time spent" undervalues DEI-related mentoring work. FWAF recommends that the policy emphasize that "time spent" is only one of multiple ways to characterize mentoring work. Suggest that faculty qualitatively describe the mentoring labor and the impact it has on their overall research/teaching/service profile.

GC had several valuable comments on the proposed revisions to 210-1- d. (1) – Teaching and Mentoring (page 4), 10-1- d. (1) (c) Evidence of Teaching and Mentoring Effectiveness (page 7), and 210-3 – (c) Evidence of Teaching and Mentoring Effectiveness (page 22). GC's comments are contained in the appended memo.

LASC welcomed the opportunity for librarians to address the diversity work that they are already doing into their review documents.

CRE offered the following comments:

One change is surprising and not explained.
- 210-1. d (3) Professional Competence and Activity (on pg. 9) contains the sentence
  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.

  with the text in red now deleted. Engineering is assuredly a profession, recognized by licensure as a Professional Engineer (PE) and in the compensation scales for UC faculty. Engineers can develop extensive portfolios that reflect professional competence through, for example, being recruited for service on boards that investigate industrial accidents, committees that develop standards for testing materials, and panels that accredit degrees.

  Also, there are a few places in the retained original text where it could be useful to capitalize on this opportunity to improve clarity.

- 210-1.b. Maintenance of the Committee's Effectiveness (on pg. 1) contains the sentence
  Under the provisions of Section 160 of the Academic Personnel Manual, the candidate is entitled

to receive upon request from the Chancellor a redacted copy of all confidential academic review records in the review file (without disclosure of the identities of members of the ad hoc review committee).

CRE is unclear whether the candidate asks the Chancellor for the redacted copy, or whether it is the Chancellor who is making the request (on behalf of the candidate). Presumably the former interpretation is intended, but disambiguation would be useful, perhaps by replacing "from" with "through". CRE suggests it would also be helpful to provide an indication of how this role of the Chancellor is delegated – what is the pathway for these requests?

- 210-1.d. Criteria for Appointment, Promotion and Appraisal (on pg. 3) and 210-3.d Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series (on pg. 20)

  This refers to the submission of a presentation of the candidate's activity. CRE inquires if this presentation is the same as the candidate's written personal statement (which is not explicitly referred to in APM 210 but is extensively used in personnel cases), or is it a slide/audio/video presentation (the sense in which the word is used elsewhere in APM 210)?

Divisional Council reviewed the committees' comments via email and supports their various points and suggestions.

The Merced Division thanks you for the opportunity to comment on the proposed revisions.

CC: Divisional Council
        Monica Lin, Executive Director, Systemwide Academic Senate
        Michael LaBriola, Assistant Director, Systemwide Academic Senate
        Senate Office

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ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON ACADEMIC PERSONNEL (CAP)
PEGGY O'DAY, CHAIR
poday@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343

May 19, 2023

To: Patti LiWang, Senate Chair

From: Peggy O'Day, Chair, Committee on Academic Personnel (CAP)

Re: Proposed Revisions to APM 210

CAP reviewed the proposed revisions to APM 210. In general, CAP applauds the proposed expansion of the review criteria related to teaching and mentoring, which should help committees provide equitable review of personnel cases. We offer the specific comments below:

- In APM 201-1, under "(c) Evidence of Teaching and Mentoring Effectiveness" (and repeated in later edits), point (iv) lists "evaluative statements from other faculty based on observation of class(es) and course materials". However, point (xiv) lists "evaluation by other faculty members of teaching and mentoring effectiveness", which appears to be a more overarching statement of point (iv). It would be useful to articulate specific types of evaluation in (xiv) that are not already stated.

- In APM 210-3 regarding Lecturers with Security of Employment (Teaching Professors), we note that in section (2) Professional and/or Scholarly Achievement and Activity, "research" is not stated explicitly as a form of scholarly activity that should be considered in review. Although language in this section refers to professional publications, evidence of research activity and accomplishments is not specifically called out. We realize that the current proposed changes to APM 210 do not address this section of the APM. However, we hope that future APM revisions will be undertaken to reflect the expanding roles of Teaching Professors and their diverse activities related to research and scholarship that should be valued in review.

We appreciate the opportunity to provide comments.

Cc: Senate Office

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ACADEMIC SENATE, MERCED DIVISION   UNIVERSITY OF CALIFORNIA, MERCED
COMMITTEE ON RULES AND ELECTIONS (CRE)

June 2, 2023

To: Patti LiWang, Chair, Divisional Council

From: Carrie Menke, Chair, Committee on Equity, Diversity and Inclusion (EDI)

Re: [Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees](#)

EDI has consulted with the UC Merced Black Alliance on the proposed revisions to APM 210, Review and Appraisal Committees. Mentoring is essential to each of the pillars of the UC system: research, teaching, service, and diversity. EDI welcomes the explicit addition of mentoring into APM 210. While this is a positive step, we do have some concerns about compartmentalizing mentoring. Please see our comments below.

A primary concern of EDI regarding the revisions is that removing mentoring from scholarly activity minimizes the impact of mentoring in mattering for review. Many faculty mentor students on how to conduct scholarly research activities, including collaborating on research and writing, and therefore this mentorship supports and extends scholarly output. Currently, mentoring is discussed in tandem with teaching:

Section 210-1.d. Criteria for Appointment, Promotion, and Appraisal
(1) Teaching and Mentoring (pg. 4) contains the sentence
   "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."

We suggest revising this language as follows (EDI's revisions are proposed in **bold, underlined font**):

   "Mentoring focused on scholarly activity can be reported under Teaching **and/or Research**, **as appropriate,** 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."

A second concern is related to teaching effectiveness. We think the language on inclusive teaching environments is not specific enough. Currently, the proposed revision states:

Section related to Teaching Effectiveness (item (i) pg. 4)

"effectiveness 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;"

It is important that UC faculty understand the various needs of our diverse student body. We suggest an additional area for consideration or the following revision:

"(i): effectiveness in creating an academic environment that is **inclusive**, open, and encouraging to all students, including development of effective strategies for the educational advancement of students in various underrepresented groups **guided by anti-racist pedagogy and curriculum that cultivate students' diverse capabilities**;"

Alternatively, this could be made into another category:

(ix): creation of an inclusive classroom, guided by anti-racist pedagogy and curriculum that cultivates students' diverse capabilities.

And similarly, we would like the language updated for the section related to Mentoring Effectiveness (pg. 6):

"(iii) achievements in creating an academic environment that is **inclusive,** open, and encouraging to all mentees, including development of particularly effective strategies for the educational advancement of mentees in various underrepresented groups, **guided by targeted approaches that cultivate students' diverse capabilities.**"

Finally, members of the UCM Black Alliance had additional concerns.
210-1 Instructions to Review Committees That Advise on Actions Concerning Appointees in the Professor and Corresponding Series
d. Criteria for Appointment, Promotion, and Appraisal (pg. 3)
"The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive."

We think this statement could be problematic. Each case is subject to the discretion of the committee however, how are they to judge what is both sound and productive? Someone could look at the extra work Black women faculty do and determine it is not productive. That determination would be based on personal/subjective reasoning. To be frank, many of the people represented on these committees may not be understanding of, involved in, or expected to do certain types of extra work that faculty of color overwhelmingly do. But if there was more direct wording here and perhaps some language to exemplify what is meant, that could help guide deliberations. Some criteria could be given as to judging what is sound and productive work.

We do also feel that this phrase is interesting: "However, flexibility does not entail a relaxation of high standards."

Our initial thoughts are that this language polarizes extra work and the four pillars instead of viewing them as integrated with and connected to the four pillars for some faculty. We feel that the current language above also communicates the idea that there is a thin line between the "flexibility" being advocated for in regard to extra work and the "relaxation of standards." We think this is dangerous

because it can be weaponized to discredit the recognition of "sound and productive" extra work that does help us to deliver quality student experience as faculty. Recognizing extra work and counting it more in tenure and promotion (with the understanding that one's research and publication output can be affected by the type and amount of extra work) should not be seen as or referred to as relaxing the standard, but we are concerned that this can happen. If this is correct, nowhere else do we see this language that warns not to relax standards in relation to duties associated with faculty so why should it be highlighted in relation to extra work? We do not believe that this needs to be stated.

The conversation on teaching and mentoring really lacks the element of mental and emotional wellness. Many of our students are seriously struggling in that area and so we do dedicate time to cultivating better wellness in them. These endeavors constitute extra work.

It would be good to have an emphatic and positive statement about the value of extra work due to its nature of supporting students, colleagues, and others in the campus community which helps the university to uphold its mission of and reputation for inclusive excellence. We believe the review committee should seriously weigh extra work and look at it as a positive and supportive addition to the four pillars.

Lastly, we are not sure that we agree that the cultivation of student wellness should go under service because if they aren't well, there will be no progress on any of the teaching and mentorship metrics. These things cannot be compartmentalized. They are interdependent.

EDI appreciates the opportunity to comment on these proposed APM revisions.

CC: CRE Members
         Senate Office

ACADEMIC SENATE, MERCED DIVISION   UNIVERSITY OF CALIFORNIA, MERCED
GRADUATE COUNCIL (GC)

June 6, 2023

To: **Patti LiWang, Chair, Academic Senate**

From: **Michael Scheibner, Chair, Graduate Council (GC)**

Re: **AMP 210-Review and Appraisal Committees**

GC reviewed the proposed revisions to **AMP 210 - Review and Appraisal Committees** and offers several comments. All comments are included in the appended DRAFT APM 210 starting on page 4 of this memo and outlined below.

210-1- d. Criteria for Appointment, Promotion, and Appraisal (page 3)
- GC greatly appreciates the inclusion of mentoring.

210-1- d. (1) – Teaching and Mentoring (page 4)
- Second sentence - GC recommends specifying "undergraduate and graduate" in, "This includes both formal coursework teaching and mentoring of **undergraduate and graduate** students…".
- Last sentence – GC recommends adding "mentoring" in, "…success in teaching and supporting student learning and **mentoring**".

210-1- d. (1) (c) Evidence of Teaching and Mentoring Effectiveness (page 7)
(ii) feedback from current and former students and mentees.

- GC shares several concerns with this point. If feedback is obtained from a small number of mentees or from an individual mentee, then:
    a) it risks an outsized emphasis on few/individual voices,
    b) anonymity may be difficult to maintain,
    c) at the graduate student level, the distinction between mentee and employee roles may be difficult for the graduate student, in particular following the strike.

  At the graduate student and postdoc level, the strike marked a mindset shift from the mentor-mentee relationship to more of an employer-employee relationship. Mentoring can take place in both, but one guided more so by academic freedom while the other more so by labor laws and union contracts. In this current transitional phase where the university is determining the new landscape of graduate education, what mentoring is supposed to look like may come with uncertainties on all sides, especially in the case of graduate students who may switch several times between being purely student and partially student and GSR employee on a faculty member's research funds.

GC wonders whether the candidate will have the option to request certain mentees to be included/excluded from providing letters, similar to including/excluding individuals for letters of recommendation, if letters from mentees are requested.

- GC also seeks clarification on whether this refers to student evaluations or another type of written feedback. GC believes it would be useful to separate the two types of feedback in different bullet points: one for student feedback through support letters, and one for student evaluations. Student evaluations seem more reasonable for undergraduate students than for graduate students, who may need to submit a letter with their feedback.

210-1- d. (1) (c) Evidence of Teaching and Mentoring Effectiveness (page 7)
(iv) evaluative statements from other faculty based on observation of class(es) and course materials.

- GC recommends including, "as well as from doctoral committee meetings and research collaborations."
- This point also appears to overlap with point (xiv). GC recommends merging point (iv) with point (xiv).

210-1- d. (1) (c) Evidence of Teaching and Mentoring Effectiveness (page 8)
Between points (viii) and (ix).

- GC is concerned about the removal of, "evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review". An equivalent does not appear to be included in the document, and GC believes this to be an important point.

210-1- d. (1) (c) Evidence of Teaching and Mentoring Effectiveness (page 8)
(xii) number of mentees, type of mentoring, and outcomes of mentees.

- GC believes this point to be redundant. Mentees have been included in bullet point (iii). GC recommends merging point (xii) with point (iii).

210-3 – (c) Evidence of Teaching and Mentoring Effectiveness (page 22)
(ii) Evaluations or comments solicited from students in courses taught since the candidate's last review or student mentees;

- GC recommends including "… **from** student mentees".
- GC wonders whether this is referring to student evaluations or specific feedback requested of certain students. If referring to undergraduate and/or graduate students, GC recommends specifying.

210-3 – (c) Evidence of Teaching and Mentoring Effectiveness (page 23)
(viii) Written testimony from former students and mentees on the impact and effectiveness of the candidate's teaching and mentoringship;

- GC believes this point to be redundant, as it closely relates to point (ii). GC recommends merging point (viii) with point (ii).

GC thanks you for the opportunity to review the proposed revisions to AMP 210-Review and Appraisal Committees.

Cc: Graduate Council
        Senate Office

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

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210-0   Policy

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

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

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

a.   Purpose and Responsibility of the Review Committees

The quality of the faculty of the University of California is maintained primarily through objective and thorough appraisal, by competent faculty members, of each candidate for appointment or promotion. Responsibility for this appraisal falls largely upon the review committees nominated by the Committee on Academic Personnel or equivalent Committee and appointed by the Chancellor or a designated representative. It is the duty of these committees to ascertain the present fitness of each candidate and the likelihood of the candidate's pursuing a productive career. In judging the fitness of the candidate, it is appropriate to consider professional integrity as evidenced by performance of duties. (A useful guide for such consideration is furnished by the *Statement on Professional Ethics* issued by the American Association of University Professors. A copy of this *Statement* is appended to these instructions of ~~210-1~~ 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 from the Chancellor a redacted copy of all confidential academic review records in the review file (without disclosure of the identities of members of the *ad hoc* review committee).

(2)   The whole system of academic review by committees depends for its effectiveness upon each committee's prompt attention to its assignment and its conduct of the

review with all possible dispatch, consistent with judicious and thorough
consideration of the case.

(3) The chair of the review committee has the responsibility of making sure that each
member of the committee has read and understands these instructions.

c. **Procedure**

(1) **General** — Recommendations concerning appointment, promotion, and appraisal
normally originate with the department chair. The letter of recommendation should
provide a comprehensive assessment of the candidate's qualifications together with
detailed evidence to support this evaluation. The letter should also present a report
of the department chair's consultation with the members of the department,
including any dissenting opinions. The letter should not identify individuals who
have provided confidential letters of evaluation except by code. In addition to the
letter of recommendation, the department chair is expected to assemble and submit
to the Chancellor an up-to-date biography and bibliography, together with copies of
research publications or other scholarly or creative work.

(2) **Appointments** — The department chair should include in the documentation
opinions from colleagues in other institutions where the nominee has served and
from other qualified persons having firsthand knowledge of the nominee's
attainments. Extramural opinions are imperative in cases of proposed appointments
to tenure status of persons from outside the University.

(3) **Promotions** — Promotions are based on merit; they are not automatic.
Achievement, as it is demonstrated, should be rewarded by promotion.
Promotions to tenure positions should be based on consideration of comparable
work in the candidate's own field or in closely related fields. The department
and the review committee should consider how the candidate stands in relation
to other people in the field outside the University who might be considered
alternative candidates for the position. The department chair shall supplement
the opinions of colleagues within the department by letters from distinguished
extramural informants. The identity of such letter writers should not be
provided in the departmental letter except by code.

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

If in assessing all obtainable evidence, the candidate fails to meet the criteria
set forth in Section 210-1-d below, the committee should recommend
accordingly. If, on the other hand, there is evidence of unusual achievement

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

d. Criteria for Appointment, Promotion, and Appraisal

The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching and mentoring, (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 mentoring) 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 ~~equal opportunity and diversity~~diversity, equity, inclusion, and equal opportunity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity ~~and equal opportunity~~, equity, inclusion, and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights

inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

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

(1) **Teaching and Mentoring** — 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 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. Under no circumstances will a tenure commitment be made unless there is clear documentation of ~~ability and diligence in the teaching role~~success in teaching and supporting student learning. ~~In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following~~

(a) **Teaching Effectiveness**

Teaching effectiveness should be evaluated in multiple dimensions, and possible areas for committee consideration include (but are not limited to):

(i) effectiveness 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;

(ii) ~~the candidate's command of the subject; continuous growth in~~a strong ~~foundation in and awareness of ongoing developments in~~ current expertise in the subject being taught~~the subject field~~;

(iii) ability to organize material logically and to present it in a manner that effectively promotes student learning in the course;

ability to organize material and to present it with force and logic;

(iv) ~~capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge~~ relate the subject matter in one course to other fields of knowledge;

(v) fostering of student independence and capability to ~~reason~~think critically and to effectively engage in collaborative learning;

(vi) ability to awaken curiosity in students, to encourage high standards, and to inspire advanced students to research and creative work while delivering formal coursework;

(vii) use of evidence-based teaching practices for course design and delivery;

(viii)   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:

(i) extent and skill of the candidate's participation in the general guidance, mentoring, and advising of undergraduate, 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 creative work and research;

(iii) achievements in creating an academic environment that is open and encouraging to all mentees, including development of particularly effective strategies for the educational advancement of mentees in various underrepresented groups.

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).~~; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups.~~

The committee should pay due attention to the variety of demands placed on instructors by the types of teaching 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 ~~redacted~~ 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 and Mentoring Effectiveness

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching and mentoring effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany

each review file. ~~Among significant types of evidence of teaching and mentoring effectiveness are the following~~The following is a broadly defined, non-exclusive list of evidence that may be presented concerning teaching and mentoring excellence:

(i)   ~~(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~~self-reflection by the faculty member of their teaching and mentoring, especially when guided by best practices, including reflection on the student course evaluations;

(ii)   ~~(b) opinions of~~feedback from current and former students and mentees~~students~~; ~~(c) opinions of graduates who have achieved notable professional success since leaving the University;~~

(iii)   ~~(cd)~~ number ~~and caliber~~ of students and mentees guided in research and~~,~~ teaching by the candidate and ~~of those attracted to the campus by the candidate's repute as a teacher~~ the achievement of learning outcomes by those students and mentees;

(iv)   ~~(d)~~ evaluative statements from other faculty based on observation of class(es) and course materials;~~and~~

(v)   ~~(e) development~~ description and associated course materials of new and effective techniques of instruction~~, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction.~~adopted by the candidate;

(vi)   ~~(f)~~ description of new technologies or modalities of instruction and a self-reflective report about their adoption in the course, especially when guided by a research-based inventory of best practices;

(vii)   ~~(g)~~ an analysis of student performance or outcomes of a candidate's courses in consultation with the campus teaching center;

~~(i)~~(viii)   ~~(h)~~ demonstration of the achievement of student learning outcomes and the productivity of students and mentees.

~~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;

(ix)   (b) a quarter-by-quarter or semester-by-semester term-by-term enumeration of the number and types of courses and tutorials taught since the candidate's last review;

> a.   (c) their level;
>
> b.   (d) their enrollments;
>
> c.   (e) the percentage of students represented by student course evaluations for each course;

(x)   (f) brief explanations for abnormal course loads;

(xi)   (g) identification of any new courses taught or of old courses when there was substantial reorganization of approach or content;

(xii)   (h) number of mentees, type of mentoring, and outcomes of mentees;

(xiii)   (i) notice of any awards or formal mentions for distinguished teaching and/or mentoring;

(j) when the faculty member under review wishes, a self-evaluation of the faculty member's teaching and mentoring, including reflection on the student course evaluations; and

(xiv)   (kj) 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 for any of the information specified in this paragraph subsection is not provided, the department chair will include an explanation for that omission in that is omitted from 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.

(1)(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.

(2)(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 and equal opportunity, equity, inclusion, and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars, and students, and faculty.

Certain mentoring activities should 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.

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

e. The Report

(1) The report of the review committee forms the basis for further review by the Committee on Academic Personnel or its equivalent and for action by the Chancellor and by the President. Consequently, the report should include an appraisal of all significant evidence, favorable and unfavorable. It should be specific and analytical and should include the review committee's evaluation of the candidate with respect to each of the qualifications specified above. It should be adequately documented by reference to the supporting material. It should document the vote of the review committee but not identify the voters. It should not provide the identity of individuals who have provided confidential evaluations except by code.

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

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

APPOINTMENT AND PROMOTION ————————————————————————— APM - 210
Review and Appraisal Committees ————————————————————————— APPENDIX A

American Association of University Professors
Policy Documents & Reports

Pages 75-76, 1990

Statement on Professional Ethics

(Endorsed by the Seventy-Third Annual Meeting, June 1987)

The Statement

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

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

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

IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of

their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

V.   As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

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

a. The policies and procedures set forth in APM –– 210-1-a, -b, -c, and -e shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM –– 275 for policies on the Professor of Clinical (*e.g., Medicine*) series.

b. The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in: (1) teaching, and mentoring, (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 (and mentoring), 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 and Mentoring** –– 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 focused on clinical care provision activity 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.

        (a) Teaching Effectiveness

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

(i)   effectiveness 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;the candidate's command of the subject;

(ii) -a strong foundation in and awareness of ongoing developments continuous growth in the subject field;

(iii) -ability to organize material logically and to present it with in a manner that effectively promotes student learningforce and logic; spirit and enthusiasm which vitalize the candidate's learning and teaching;

(iv) capacity to situate the subject matter with relation to other fields of knowledge and inquiry, and to engage students and help them see the relevance of the course material within and beyond the field;

(v) fostering of student independence and capability to think critically and to effectively engage in collaborative learning;

(vi) ability to arouse awaken curiosity in beginning students, to encourage high standards, and to stimulate inspire advanced students to creative work;-

(vii)   familiarity with and adoption of evidence-based teaching practices, including those associated with course design and delivery;

(viii)   whether the candidate has engaged in professional development for teaching, or has been involved in specific departmental or campuswide educational equity or student success initiatives.personal attributes as they affect teaching and students;

(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, 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 creative work and research;

(i)(iii)   achievements in creating an academic environment that is open and encouraging to all mentees, including development of particularly 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 cliche-ridden praise should be disregarded.

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

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

(3) **Creative work** — Many faculty in the health sciences devote a great proportion of their time to the inseparable activities of teaching, 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 equal opportunity 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.

Certain mentoring activities should 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.

210-3 Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series[1]

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 and mentoring 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 mentoring) 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.

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

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

d. The candidates are expected to submit for the review file a presentation of their activity in all three areas of teaching (and mentoring) 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 and Mentoring Excellence**

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

(a) **Teaching Effectiveness**

When evaluating the effectiveness of a candidate's teaching, a committee should consider the following objectives for individuals in this series:-

(i) display evidence of continuous growth and mastery of the subject field;-

(ii) emphasize the connections between the subject and other fields of study;-

(iii) foster an environment that supports student curiosity, independent evaluation of evidence, and capacity to reason; ~~provide guidance, mentoring, and advising to students;~~

(iv) 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;-

(v) contribute to the development and adoption of effective evidence-based pedagogical strategies including instructional units, materials, and resources;-

(vi) incorporate and promote significant curricular revisions informed by current pedagogical knowledge;~~,~~ and

(vii) 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:-

(i) extent and skill of the candidate's participation in the general guidance, mentoring, and advising of undergraduate, graduate/professional students, postdoctoral researchers, and other academic researchers and research staff;-

(ii) ability to awaken curiosity, encourage high standards, and inspire students to creative work;

(iii) achievements in creating an academic environment that is open and encouraging to all mentees, including development of particularly effective strategies for the educational advancement of mentees in underrepresented groups.-

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~~ir~~ 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 and mentoring 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 and mentoring 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 and Mentoring Effectiveness

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

The following is a broadly defined, non-exclusive list of evidence that may be presented concerning teaching and mentoring 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 the candidateSelf-reflection by the faculty member, especially when guided by best practices;

(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, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction or evidence of effective mentoring;

(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 mentoringship;

(ix) Awards or other acknowledgments of excellent teaching and/or mentoring;

(x) A self-evaluation of the candidate's teaching Evaluative statements from other faculty based on observation of class(es) and course materials;

(xi) an analysis of student performance or outcomes of a candidate's courses in consultation with the campus teaching center;

(xii)   Evaluation by other faculty members of teaching and mentoring effectiveness.

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 including mentoring.

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 and mentoring 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 publication;

(c) Accomplished performance, including conducting and directing;

(d) Accomplished artistic or literary creation, including exhibits;

(e) Accepted invitations to present seminars or lectures at other institutions or before professional societies.

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

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

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

(3) University and Public Service

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

Certain mentoring activities should 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 mentee's 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-l, 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 equal opportunity 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 equal opportunity 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, contributions to diversity, equity, inclusion, and equal opportunity 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.

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

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

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

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

a.   Purpose and Responsibility of the Review Committees

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

b.   Maintenance of the Committee's Effectiveness

The chair of the review committee has the responsibility of assuring that these instructions have been read and understood by the members, that *strict confidentiality* is maintained by the committee, and that committee actions are carried out with as much dispatch as is

consistent with thoughtful consideration. These requirements are presented in greater detail in Section 210-1-b.

c.   **Procedure**

   (1) **General** — Recommendations for appointment and promotion normally originate with the department chair who should include in the letter of recommendation a comprehensive assessment of the candidate's qualifications and detailed related evidence, and a report of the appropriate consultation with departmental colleagues, recording the vote and the nature of any dissenting opinions. In addition, the department chair is expected to assemble and submit with the recommendation teaching evaluations, updated biographical information, evidence of the candidate's effectiveness, leadership, and professional growth in all assigned areas of responsibility, and any other items pertinent to the review.

   (2) **Appointments** — The documentation provided with the department chair's recommendation should include opinions from colleagues in other institutions where the candidate has served, and from other qualified persons having direct knowledge of the candidate's attainments. Extramural opinions are imperative in the case of proposed tenured appointments.

   (3) **Promotions** — Promotions are based on merit, and should be recommended only when achievement and the promise of future contributions warrant such action. Both the department and the review committee should consider the candidate's teaching, leadership, professional development and standing in relation to others who might be considered alternative candidates for the position. The department chair should supplement the opinions of departmental colleagues with letters from qualified extramural informants.

   (4) **Assessment of Evidence** — The review committee shall assess the adequacy of the evidence submitted and if deemed inadequate to reach a clear recommendation, the committee chair shall request, through the Chancellor, additional evidence or amplification. All obtainable evidence shall be carefully considered.

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

d.   **Criteria for Appointment and Promotion**

The review committee shall judge the candidate for the proposed rank and duties, considering the record of performance in: (a) teaching, (b) professional achievement and

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

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

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

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

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

~~(2) **Professional Achievement and Activity** — Although published research is not required of those in the supervisor series, any pertinent activity or creative work in this area shall be given due consideration as evidence of professional achievement or leadership.~~

~~In reviewing the candidate's suitability for appointment or promotion, the committee should evaluate the evidence for professional achievement as shown by educational attainment, record of accomplishment, and promise of future growth. No recommendation for tenure should be made unless this evidence clearly~~

demonstrates that the candidate has superior leadership qualities in one or more of the areas of supervising, coaching, or administering programs in physical education, physical activities, recreation or sports. For appointment or promotion to the rank of Supervisor, significant and extramurally recognized distinction is required. It is the responsibility of the department chair to provide evidence that bears on the questions of leadership and of professional achievement and activity. This may include evidence related to educational accomplishment; the institution of effective and innovative programs; competitive sports records; activity in professional organizations; supervision of personnel; administration of activities, sports, or recreation programs; and other appropriate information.

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

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

e. **The Report**

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

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

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

a. The policies and procedures set forth in APM - 210-1 (a), (b), (c), and (e) shall
    govern the committee in the confidential conduct of its review and in the
    preparation of its report. The instructions below apply to review committees for
    actions concerning appointees in the Health Sciences Clinical Professor series. The
    committee should refer to APM - 278 for policy on the Health Sciences Clinical
    Professor series.

b. The review committee shall evaluate the candidate with respect to proposed rank
    and duties, considering the record of the candidate's performance in: (1) teaching
    and mentoring, (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 Ddean or Ddepartment Cchair 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 Cchair 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 ~~D~~department ~~C~~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 and Mentoring

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 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.

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:

(i)   effectiveness 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;~~the candidate's command of the subject;~~

(ii) a strong foundation in and awareness of ongoing developments~~continuous growth~~ in the subject field;

~~ability to organize material and to present it effectively~~

(iii) capacity to situate the subject matter with relation to other fields of knowledge and inquiry, and to engage students and help them see the relevance of the course material within and beyond the field;~~awaken in students an awareness of the potential relationship of the subject to other fields of knowledge;~~

(iv) fostering of student independence and capability to ~~reason~~think critically and to effectively engage in collaborative learning;

(v)   ~~; spirit and enthusiasm which vitalize the candidate's learning and teaching;~~ ability to ~~arouse~~awaken curiosity in beginning students, to encourage high standards, and to ~~stimulate~~ inspire advanced students to research and creative work;

(vi) personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of undergraduate, graduate/professional students, postdoctoral researchers, and other academic researchers and research staff;

(vii) familiarity with and adoption of evidence-based teaching practices, including those associated with course design and delivery; and

(viii) whether the candidate has engaged in professional development for teaching, or has been involved in specific departmental or campuswide educational equity or student success initiatives~~effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students and trainees in various underrepresented groups.~~

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

(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, 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 creative work and research; and

(iii) achievements in creating an academic environment that is open and encouraging to all mentees, including development of particularly 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, and 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 programs, recertification courses or workshops, peer evaluation, or documentation of activity as a role model or mentor.

(2) Professional Competence and Activity

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

For an initial appointment to the rank of Health Sciences Assistant Clinical Professor, the committee should ascertain the present capabilities of the candidate, as well as the likelihood that the candidate will be a competent teacher 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 equal opportunity 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.

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 and mentoring, (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 mentoring

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 and mentoring 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

Date TBD:

- Addition of mentoring to criteria for appointment, promotion, and appraisal.
- Addition of diversity, equity, inclusion, and equal opportunity statements to 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.

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.

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APPOINTMENT AND PROMOTION
Review and Appraisal Committees

*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.

Until the earlier of a date specified by the campus or June 30, 2023, review criteria in this appendix shall apply to individuals appointed in the Lecturer with Security of Employment Series prior to October 1, 2018.

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

a. The policies and procedures set forth above in APM - 210-1-a, -b, -c, and -e, shall govern the committee in the confidential conduct of its review and in the preparation of its report. The committee should refer to APM - 285 both for policies and procedures on appointments in the Lecturer with Security of Employment series.

b. The review committee shall judge the candidate with respect to the proposed rank and duties considering the record of the candidate's performance in (1) teaching, (2) professional achievement and activity, and (3) University and public service.

c. The criteria set forth below are intended to serve as guides for minimum standards by which to judge the candidate, not to set boundaries to exclude other elements of performance that may be considered, as agreed upon by the candidate and the department.

(1) Teaching

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

In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic; capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; ability to arouse curiosity in students and to encourage high standards; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; and effectiveness in creating an academic environment that is open and encouraging to all students. The committee should pay due attention to the variety of demands placed on Lecturers by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching competence has been based. In those exceptional cases of an initial appointment where no such evidence is available, the candidate's potential as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that the report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

DRAFT

APPOINTMENT AND PROMOTION ——————————————————————— APM - 210
Review and Appraisal Committees ——————————————————— APPENDIX B

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

All cases for advancement and promotion normally will include:

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

(2) Professional Achievement and Activity

A demonstrated distinction in the special competencies appropriate to teaching the particular subject is one of the criteria for appointment or promotion. The candidate's professional activities should be scrutinized for evidence of achievement and leadership. Intellectual leadership must be documented by materials demonstrating that the candidate has, through publication (either in traditional forms or in electronic format), creative accomplishments, or other professional activity, made outstanding and recognized contributions to the development of his or her special field and/or of pedagogy.

(3) University and Public Service

DRAFT

The review committee should evaluate both the quantity and the quality of service by the candidate to the department, the campus, the University, and the public, paying particular attention to that service which is directly related to the candidate's professional expertise and achievement.

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

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

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ACADEMIC SENATE, MERCED DIVISION   UNIVERSITY OF CALIFORNIA, MERCED
COMMITTEE ON FACULTY WELFARE AND ACADEMIC FREEDOM   5200 NORTH LAKE ROAD
DAVID JENNINGS, CHAIR   MERCED, CA 95343
djennings3@ucmerced.edu

June 2, 2023

To: Patti LiWang, Chair, Division Council

From: David Jennings, Chair, Committee on Faculty Welfare and Academic Freedom (FWAF)

Re: Proposed Revisions to APM 210

FWAF reviewed the proposed revisions to APM 210 and offers the below comments.

The new review guidance on mentoring seeks to account for a crucial category of academic labor performed by faculty, particularly underrepresented faculty, that in the past has often gone underrecognized and undervalued. The guidance spells out a range of functions that fall under the category of mentoring as well as how to provide evidence of and evaluate mentoring effectiveness. It also connects mentoring with diversity, equity, and inclusion by enumerating the mentoring of underrepresented groups and creating more equitable environments as part of mentoring work. We appreciate all of these contributions of the new guidance.

Our suggestions are directed towards revising the guidance to more fully address the diversity, equity, and inclusion aspects of mentoring. In particular, we wish to recognize and mitigate the disproportionate, qualitatively distinctive mentoring labor performed by marginalized and underrepresented faculty, and to value more highly the forms of mentoring that create more inclusive, equitable environments.

Concern 1: how to recognize disproportionate mentoring burdens for marginalized faculty

The new guidance distributes mentoring across the traditional teaching and service categories by distinguishing mentoring "focused on scholarly activity" (teaching) from "non-scholarly support" (service), with examples of the latter including "life skills, referrals to behavioral and/or health resources, social-emotional development" [210-1(d)(1), p. 3 of markup, for Professor series, and analogous portions of other series]. In practice, however, "scholarly" and "non-scholarly support" are often provided within the same mentoring relationship and are difficult to disaggregate. This is especially true of mentoring by and for marginalized scholars, which frequently includes emotional support and extensive advising about self-care/wellness, basic needs, managing difficult work relationships (often with *other mentors*), academic culture and code-switching, and how to navigate institutional hurdles, due to needs that arise from structural inequities (e.g., harassment, cultural isolation) the mentee experiences *while engaging in scholarship*. Such "non-scholarly support" is a crucial part of scholarly mentoring for marginalized/underrepresented mentees and is provided in conjunction with scholarly mentoring, but risks being valued less during review if it is reported as

service instead of teaching. For faculty who are themselves marginalized, such work is time-consuming and often more mentally taxing because of its personal resonances. For example, faculty of color may be sought out by students and colleagues of color specifically for their specialized understanding of the mentee's needs. They often provide both scholarly and non-scholarly mentoring in an unofficial capacity while a White colleague receives credit as the "advisor"; this prevalent dynamic is known as the "shadow advisor." During review, under the proposed mentoring guidelines, the shadow advisor may be led to report their work, if they report it at all, as service, while the White official advisor receives more valuable credit for teaching. (Note that the shadow advisor also officially advises other mentees; shadow advising work is in addition to that.)

Recommendations

1. De-emphasize the division of scholarly and non-scholarly mentoring (and the teaching/service division) and instead allow the faculty undergoing review to characterize their own mentoring work.
2. Explicitly state that evidence of extensive mentoring that supports DEI goals (e.g., mentoring underrepresented students/scholars) may take the place of other service work and official mentoring roles such as "thesis advisor." Caution review committees against criticizing a faculty member for "too much mentoring," in recognition that mentoring among underrepresented scholars is an ethical imperative as well as contributing to the intellectual development of a field.

Concern 2: quantifying mentoring via "time spent" undervalues DEI-related mentoring work

The new guidance suggests reporting certain types of mentoring as service (rather than teaching) and quantifying them as follows:

[Mentoring activities] 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.

The proposed revision offers "time spent" as one way of measuring mentoring activities. However, quantifying mentoring effectiveness in this way is likely to be unfair to underrepresented faculty. The mentoring provided by marginalized faculty to other marginalized scholars may take a greater emotional toll because it involves more personal support, recalls the mentor's own stressful past experiences, adds to an already disproportionate service burden, and/or requires navigating tricky relationships with colleagues (e.g., in a shadow advising situation in which the official advisor is a senior colleague). The "time-spent" measure undervalues that labor as well as the expertise required to carry it out.

Recommendation

Emphasize that "time spent" is only one of multiple ways to characterize mentoring work. Suggest that faculty qualitatively describe the mentoring labor and the impact it has on their overall research/teaching/service profile.

We appreciate the opportunity to opine.

cc: Senate Office

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ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATIONS
MARIA DEPRANO, CHAIR
mdeprano@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343

May 11, 2023

To: Patti LiWang, Chair, Academic Senate

From: Maria DePrano, Chair, Committee on Library & Scholarly Communications (LASC)
             & LASC Committee Membership

Re: APM – 210, Review and Appraisal Committees

Thank you for the opportunity to review APM-210. We have reviewed the changes from the viewpoint of the library (pp. 26-30), and especially the new paragraph at the top of p. 29 (of the Tracked Changes version).

We welcome the opportunity for librarians to address the diversity work that they are already doing into their review documents

Cc: Senate Office

ACADEMIC SENATE, MERCED DIVISION   UNIVERSITY OF CALIFORNIA, MERCED
COMMITTEE ON RULES AND ELECTIONS (CRE)

May 31, 2023

To: Patti LiWang, Chair, Divisional Council

From: Christopher Viney, Chair, Committee on Rules and Elections (CRE)

Re: [Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees](#)

CRE has reviewed the proposed revisions to the APM-210, Review and Appraisal Committees, and offers the following comments.

The cover letter from systemwide Vice-Provost Haynes provides a helpful summary of, and justification for, the proposed substantive changes to APM 210. The changes themselves for the most part add guidance and clarity to APM 210.

One change is surprising and not explained: 210-1. d (3) **Professional Competence and Activity** (on pg. 9) contains the sentence

> *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.*

With the text in red now deleted. Engineering is assuredly a profession, recognized by licensure as a Professional Engineer (PE) and in the compensation scales for UC faculty. Engineers can develop extensive portfolios that reflect professional competence through, for example, being recruited for service on boards that investigate industrial accidents, committees that develop standards for testing materials, and panels that accredit degrees.

Also, there are a few places in the retained ***original*** text where it could be useful to capitalize on this opportunity to improve clarity.

210-1.b. **Maintenance of the Committee's Effectiveness** (on pg. 1) contains the sentence

> *Under the provisions of Section 160 of the Academic Personnel Manual, the candidate is entitled to receive upon request from the Chancellor a redacted copy of all confidential academic review records in the review file (without disclosure of the identities of members of the ad hoc review committee).*

Here it is not clear whether the candidate asks the Chancellor for the redacted copy, or whether it is the Chancellor who is making the request (on behalf of the candidate).   Presumably the former interpretation is intended, but disambiguation would be useful, perhaps by replacing "from" with "through". It would also be helpful to provide an indication of how this role of the Chancellor is delegated – what is the pathway for these requests?

210-1.d. **Criteria for Appointment, Promotion and Appraisal** (on pg. 3) and 210-3.d **Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series** (on pg. 20) refer to the submission of a presentation of the candidate's activity. Is this presentation the same as the candidate's written personal statement (which is not explicitly referred to in APM 210 but is extensively used in personnel cases), or is it a slide/audio/video presentation (the sense in which the word is used elsewhere in APM 210)?

CRE appreciates the opportunity to comment on these proposed APM revisions.

CC: CRE Members
          Senate Office

UNIVERSITY OF CALIFORNIA, RIVERSIDE

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CHAIR, ACADEMIC SENATE
RIVERSIDE DIVISION
UNIVERSITY OFFICE BUILDING, RM 225

SANG-HEE LEE
PROFESSOR OF ANTHROPOLOGY
RIVERSIDE, CA 92521-0217
TEL: (951) 827-4390
EMAIL: SANG-HEE.LEE@UCR.EDU

July 18, 2023

Susan Cochran, Chair, Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

RE: Proposed Revisions to APM - 210, Review and Appraisal Committees

Dear Susan,

The Riverside Executive Council included the subject proposed policy on their June 26, 2023 agenda. There was overall a broad base of support for the revised APM-210.

I attach the comments from responding tasked committees and call your attention to the concern regarding measurement and evidence of effective mentoring (Committee on Academic Personnel, Committee on Faculty Welfare, College of Humanities, Arts, and Social Sciences faculty executive committee), placement of mentoring in teaching versus service section (Committee on Academic Personnel, Graduate Council), and concern for additional workload to update the UCR online academic review management system *eFilePlus* accordingly (Committee on Faculty Welfare). Concerns were also expressed regarding the intersection of mentoring and DEI efforts and the disproportionate demand and impact of mentorship on under-represented faculty, with a call for a clearer set of guidelines (College of Humanities, Arts, and Social Sciences faculty executive committee).

Sincerely yours,

Sang-Hee Lee
Professor of Anthropology and Chair of the Riverside Division

CC: Monica Lin, Executive Director of the Academic Senate
       Cherysa Cortez, Executive Director of UCR Academic Senate Office

UC RIVERSIDE   *Academic Senate*

COMMITTEE ON ACADEMIC PERSONNEL

June 12, 2023

To: Sang-Hee Lee, Chair
                Riverside Division Academic Senate

From: Jang-Ting Guo, Chair
                Committee on Academic Personnel

Re: [Systemwide Review] Proposed Revisions to *Academic Personnel*
                Manual (APM)-210, Review and Appraisal Committees

In its May 31, 2023 meeting, CAP discussed the proposed revisions to APM-210 with the removal of section 210-5 and Appendix B. The committee is in general agreement with the substantive changes to sections 210-1, 210-2, 210-3, 210-4 and 210-6. Below are our comments and suggestions:

- Several CAP members asked how mentoring effectiveness will be measured and how the associated evidence will be evaluated. Others opined that a broad and open-ended approach to what can be considered mentoring would likely be the most useful.

- Several CAP members expressed concerns about designating some mentoring activities as service rather than as teaching, and wondered whether it would be more efficient to keep all mentoring activities in one place, under teaching.

June 15, 2023

TO: Sang-Hee Lee, Chair
                Riverside Division of the Academic Senate

FROM: John Kim, Chair
                CHASS Executive Committee

RE: Systemwide Review of Proposed Revisions to Academic Personnel Manual
                (APM) Section 210, Review and Appraisal Committees

---

The CHASS Executive Committee has reviewed the proposed policy revisions to the APM Section 210 and would like to provide the following comments:

1. We support the endorsement made by the Council of University Librarians (CoUL) on the addition of contributions to diversity, equity, inclusion, and equal opportunity in the academic personnel process for the Librarian series (210-4).

2. P. 13, 210.2.2b: The language regarding overenthusiasm and cliches may be well intended but it introduces subjective criteria and should be struck.

3. Regarding policy changes to:

210-1 Instructions to Review Committees That Advise on Actions Concerning Appointees in the Professor and Corresponding Series
and
210-3 Instructions to Review Committees That Advise on Actions Concerning the Lecturer with Security of Employment Series

    ·   The change in language from "equal opportunity and diversity" to "diversity, equity, inclusion, and equal opportunity" continues to place the burden of "DEI interventions" on faculty and faculty-student relationships. It does so while failing to address broader structural issues pertaining to administrative and campus accountability in perpetuating inequity.

·   While we commend the incorporation of the proposed mentoring recommendations in both series to acknowledge the multifaceted nature of mentorship as evidence of "superior intellectual attainment," we also express the following concerns:

-- On page 50 (page 6 in tracked draft), under **Mentoring Effectiveness** it states that "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."

We acknowledge that the "variety of demands" placed on instructors vary in their intensity and impact, just as the rewards for mentoring and other extracurricular work are often attributed unevenly among faculty across different stages of their careers. It is crucial to recognize that teaching and mentorship demands disproportionately affect women and nonbinary faculty, particularly women and nonbinary faculty of color. This is, in part, because of the substantial mentorship needs of underrepresented students we have on campus at UC Riverside, in addition to the community service work that underrepresented faculty often undertake.

 Given the extra burden and the difficulty that documenting what are often–and must often be–informal and ongoing forms of mentorship that are commonly performed by underrepresented faculty, as opposed to formal service on Senate committees or in College-level DEI roles, for example, reviewers at all levels, from departments to Academic Personnel Committees should be mandated to pay particular attention to narrative accounts of DEI service in the candidate's self-statement, a document too often overlooked or disregarded.

Preferably, however, contributions to DEI should be added to all reviews as a distinct category alongside Research, Teaching and Service. Given that it is a required qualification for all hires, contributions to DEI in the service of the ongoing desegregation of the university should continue to be reviewed at all stages of advancement, rather than being regarded as merely a threshold requirement.

-- On page 50 (page 6 in tracked draft), **Evidence of Teaching and Mentoring Effectiveness**, there is a lack of clarity regarding how evidence of teaching and mentoring effectiveness will be collected. It is critical to establish a clear set of guidelines that outline a proposed process for gathering additional evidence, such as feedback from current students/mentees. This is particularly important considering that faculty of color, as well as women and nonbinary faculty, often receive lower or more critical student and potentially discriminatory student evaluations.

UC RIVERSIDE

Academic Senate

COMMITTEE ON DIVERSITY, EQUITY, & INCLUSION

June 21, 2023

To:	Sang-Hee Lee, Chair Riverside Division Academic Senate
From:	Katherine Stavropoulos, Chair Committee on Diversity, Equity, & Inclusion
Re:	[Systemwide Review] Proposed Revisions to Academic Personnel Manual (APM): Proposed Revisions to APM - 210, Review and Appraisal Committees

The DEI committee reviewed the proposed Revisions to APM – 210 for Review and Appraisal Committees and was in overall support. The Committee commented on the importance of mentorship and that it be recognized formally, in addition to explicit mention of DEI.

The Committee noted a possible suggestion regarding teaching effectiveness in APM 210-3: Lecturer with Security of Employment Series. The Committee recommends the addition of the following language that is noted in the Professor and Corresponding Series which is important for both Series and the promotion of DEI:

> *(viii) engagement in professional development for teaching, or involvement in specific departmental or campuswide educational equity or student success initiatives.*

UC RIVERSIDE

FACULTY WELFARE

June 20, 2023

To: Sang-Hee Lee, Chair
        Riverside Division

From: Yawen Jiao, Chair
        Committee on Faculty Welfare

**RE: [Systemwide Review] Proposed Revisions to *Academic Personnel Manual
        (APM)*: *APM - 210, Review and Appraisal Committees***

At our June 13, 2023 meeting, the Committee on Faculty Welfare (FW) discussed the
proposed revisions to *Academic Personnel Manual (APM)*: *APM - 210, Review and
Appraisal Committees*. FW appreciates the opportunity to evaluate this systemwide review
item and is in general agreement with the addition of mentoring as an aspect of the teaching
mission. However, we do make mention of the following:

- There is a need to clearly identify specific, tangible metrics that will be used
  to judge the quality and quantity of mentoring. For example, are there specific
  learning/student outcomes that can and/or will be used to measure the
  effectiveness of mentoring?

- Some members expressed concern that "the achievement of student learning
  outcomes" depends on more than the effectiveness of the teaching and
  mentoring of the faculty member, as it also involves the quality of the
  students.

- There is a concern that the proposed changes will create additional work and
  yet another burden for faculty members, department chairs, and staff
  members, as all parties will have to spend considerably more time ensuring
  that e-file submissions for academic actions contain meaningful statements,
  accompanied by evidence, of a candidate's mentoring effectiveness at lower-
  division, upper-division, and graduate levels of instruction.

UC RIVERSIDE   *Academic Senate*

GRADUATE COUNCIL

June 9, 2023

To: Sang-Hee Lee, Chair
        Riverside Division

From: Christiane Weirauch, Chair
        Graduate Council

Re: [Systemwide Review] Proposed Revisions to Academic Personnel Manual
        (APM): Proposed Revisions to APM - 210, Review and Appraisal Committees

Graduate Council reviewed the proposed revisions to APM 210 at their June 8, 2023 meeting. The Council was supportive of the revisions but questioned why mentoring is being linked to service if the trainee is not affiliated with UC ("Certain mentoring activities should 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."). Why would co-advising a UC graduate student count as teaching, but co-advising a graduate student at a different university as service?

UC RIVERSIDE

Academic Senate

May 25, 2023

To: Sang-Hee Lee, Chair
        Riverside Division

From: Susan Laxton, Chair
        Committee on Library & Scholarly Communication

Re: 22-23. SR. Proposed revisions to APM 210 Review and Appraisal Committees

The committee reviewed the proposed changes and had no comments but agreed that mentoring credit should be adjusted and had questions whether the teaching criteria would change as well.

June 21, 2023

To: Sang-Hee Lee, Division Chair of the UCR Division of the Academic Senate and Cherysa Cortez, Executive Director of the UCR Academic Senate

From: Raquel M. Rall, Ph.D., Faculty Chair of the School of Education Executive Committee

Subject: [Systemwide Review] Proposed Revisions to Academic Personnel Manual (APM): Proposed Revisions to APM - 210, Review and Appraisal Committees

The SOE Executive Committee reviewed the [Systemwide Review] Proposed Revisions to Academic Personnel Manual (APM): Proposed Revisions to APM - 210, Review and Appraisal Committees. Comments/feedback were solicited at our executive committee meeting and via email.

The SOE Executive Committee found the revisions to be acceptable and appreciated the proposed additions. No additional comments were noted.

Thank you for the opportunity to provide feedback.

Sincerely,

Raquel M. Rall, Ph.D.
Faculty Executive Committee Chair 2022-2025
School of Education
University of California, Riverside

June 9, 2023

TO: Sang-Hee Lee, Ph.D., Chair, Academic Senate, UCR Division

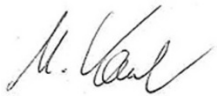FROM: Marcus Kaul, Ph.D., Chair, Faculty Executive Committee, UCR School of Medicine

SUBJECT: Response to [Systemwide Review] Proposed Revisions to Academic Personnel Manual (APM): Proposed Revisions to APM - 210, Review and Appraisal Committees

Dear Sang-Hee,

The SOM Faculty Executive Committee has reviewed the Proposed Revisions to Academic Personnel Manual (APM): Proposed Revisions to APM - 210, Review and Appraisal Committees.

The Committee suggested that the Academic Senate consider mechanisms to acquire feedback from mentees for mentoring. There should be options for mentees to officially comment on their mentors, even if it is something as simple as a Qualtrics survey.

Yours sincerely,

Marcus Kaul, Ph.D.
Chair, Faculty Executive Committee School of Medicine

OFFICE OF THE ACADEMIC SENATE

July 18, 2023

Professor Susan Cochran
Chair, Academic Senate
University of California
VIA EMAIL

Re: Divisional Review of APM 210 Review and Appraisal Committees

Dear Chair Cochran,

The proposed revisions to APM 210 Review and Appraisal Committees were distributed to San Diego
Divisional Senate standing committees and discussed at the June 12, 2023 Divisional Senate Council
meeting. Senate Council endorsed the proposal and offered the following comments for consideration.

Reviewers viewed the incorporation of mentoring and revised teaching effectiveness criteria as a positive
step, as it formally acknowledges existing faculty effort and standardizes information that should be
provided in review files. It was noted that on a local level, it will be important for departments to provide
clear expectations for mentoring as standards can vary widely per discipline. Reviewers suggested that
exceptional mentoring could be acknowledged by being awarded a bonus off-scale salary component
during a faculty member's academic review, and that retroactive recognition of mentoring activities
should also be considered. Reviewers noticed that the new language on diversity, equity, inclusion, and
equal opportunity contributions did not include how these contributions will be evaluated. It is
recommended that this information is included in the policy. In addition, the policy does not delineate
between appointment file requirements for junior and senior faculty. An additional stipulation was
suggested to clarify what is required for junior faculty who are at the start of their career and have not had
the opportunity to be a mentor yet. It may be that a plan for expected future mentoring is required instead.

The responses from the Divisional Committee on Academic Freedom, Committee on Academic
Personnel, Committee on Diversity and Equity, and Graduate Council are attached. Additional comments
were received from a faculty member after Senate Council's discussion and are being attached for
Academic Council's consideration. The campus distribution of the policy was after the Senate's review
and the Senate response was already finalized. The faculty member's comments are included with this
response but they were not discussed at the Senate Council meeting.

Sincerely,

Nancy Postero
Chair
San Diego Divisional Academic Senate

Attachments

ACADEMIC SENATE: SAN DIEGO DIVISION, 0002
UCSD, LA JOLLA, CA 92093-0002
(858) 534-3640
FAX (858) 534-4528

May 16, 2023

NANCY POSTERO, CHAIR
Academic Senate, San Diego Division

SUBJECT: APM 210 Review and Appraisal Committees

The Committee on Academic Freedom (CAF) reviewed the proposed revisions to APM 210 Review and
Appraisal Committees at its May 12, 2023 meeting. Noting no perceived academic freedom issues, CAF
supported the revisions. CAF viewed the incorporation of mentoring and revised teaching effectiveness
criteria as a positive step, as it formally acknowledges existing faculty effort and standardizes information
that should be provided in review files.

                              Sincerely,

                              Daniel Arovas, Chair
                              Committee on Academic Freedom

CC: Lori Hullings
       Nancy Postero

UNIVERSITY OF CALIFORNIA – (Letterhead for Interdepartmental use)

June 01, 2023

NANCY POSTERO
Academic Senate, San Diego Division

SUBJECT: Review of Proposed Revisions to APM 210, Review and Appraisal Committees

The Committee on Academic Personnel (CAP) appreciates the opportunity to provide comments on the proposed revisions to APM 210, Review and Appraisal Committee.

CAP has no objections to the proposed revisions. During the discussion, CAP members emphasized the importance of considering mentoring norms within the discipline as suggested in the revised policy. The committee suggests that departments should include a clear description of expectations for mentoring in their departmental standards, as there is a significant variance in mentoring opportunities available across the University, though the committee recognizes that this concern is more appropriately addressed via a UC San Diego PPM 230-210 (Review and Appraisal Committees) revision rather than in the systemwide version of the policy.

Frank Biess, Chair
Committee on Academic Personnel

Cc: J. Hildebrand
        L. Hullings
         J. Lucius

June 2, 2023

NANCY POSTERO, CHAIR
Academic Senate, San Diego Division

SUBJECT: APM 210 Proposed Revisions

The Committee on Diversity and Equity was pleased with the proposed revisions to APM Section 210 pertaining to incorporating mentorship activities, at multiple levels and arenas, into faculty files. This is a meaningful and long overdue recognition of the importance of mentorship to the education and research mission of the campus. The members of the CDE are particularly pleased that "mentorship activities" are broadly construed to include work in the community and guidance to mentees outside the recognized discipline.

Additional suggestions from the committee include:

1) Acknowledgement of exemplary mentorship with bonuses

2) Retroactive recognition of mentorship activities

<div style="text-align:center">

Sincerely,

Shantanu Sinha, Chair
Committee on Diversity and Equity

</div>

cc: J. Hildebrand

May 10, 2023

NANCY POSTERO
Chair, San Diego Divisional Academic Senate

SUBJECT: Review of the APM 210 Review and Appraisal Committees

Dear Chair Postero,

The Committee on Privilege and Tenure (CPT) reviewed the proposed revisions to APM 210 Review and Appraisal Committees at its May 4, 2023 meeting. CPT endorsed the revisions, noting no obvious issues with how faculty are being evaluated. CPT viewed the clarification of what constitutes mentoring and teaching effectiveness positively.

Sincerely,

Stefan Llewellyn Smith, Chair
Committee on Privilege and Tenure

cc: John Hildebrand, Senate Vice Chair
        Lori Hullings, Senate Executive Director

May 31, 2023

PROFESSOR NANCY POSTERO, Chair
Academic Senate, San Diego Division

SUBJECT: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees

At its May 8, 2023 meeting, the Graduate Council reviewed the proposed revisions to Academic Personnel Manual (APM) Section 210. The Council endorses the revisions and offers the following comments:

- The Council notes that the new language for mentoring is a valuable addition to the policy.
- The Council notes that the new language on contributions to diversity, equity, inclusion, and equal opportunity does not include how these contributions will be evaluated. Members recommend that this information is expanded and included in the policy.

Sincerely,

Timothy Gentner, Chair
Graduate Council

cc: J. Hildebrand
        L. Hullings
        J. Lucius

Lucius, Jenna

From: Academic Senate Office
Sent: Tuesday, June 27, 2023 3:20 PM
To: Lucius, Jenna
Subject: FW: comments on proposed changes to APM210

Categories: Follow up

From: Benjamin Grinstein <bgrinstein.ucsd@gmail.com>
Sent: Tuesday, June 27, 2023 2:03 PM
To: Academic Senate Office <academicsenateoffice@ucsd.edu>
Cc: bgrinstein.ucsd@gmail.com
Subject: comments on proposed changes to APM210

Regarding

Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees

Please find my objections and recommendations. They are not listed in order of importance.

1. The new language of what is required for conferring tenure places an unnecessary higher bar on junior faculty (ability and diligence are replaced by "success in teaching and supporting student learning"). Junior faculty grow into great instructors over many years, much of the growth continuing beyond promotion, and this policy change fails to recognize that. It is problematic. I oppose the change.

2. evaluation dimensions of teaching effectiveness:

   1. By reshuffling the order of evaluation dimensions of teaching effectiveness, the new document emphasizes "(i) effectiveness in creating an academic environment that is open..." while sending to the back of the list "ability to awaken curiosity in students, to encourage high standards, ..." (it only precedes two new, questionable, additions). From experience (serving at CAP and as departmental chair for an aggregate 7 years), the order matters, it send a signal. I oppose the way in which the order has been reshuffled.
   2. "(viii) engagement in professional development for teaching, or involvement in specific departmental or campus wide educational equity or student success initiatives. " do not constitute teaching effectiveness: this should be removed. Neither is "(vii)use of evidence-based teaching practices for course design and delivery"; for poor implementation of these practices can result in lack of teaching effectiveness (it is the implementation that matters).
   3. In a remarkable twist of logic the new wording inserts "collaborative learning" into the entry designed to gauge the teachers ability to foster student's "independence and capability to think critically". I oppose this change: fostering collaborative learning should be removed altogether from the list of evidence of teaching effectiveness, but if it must stay it should be separated from independent thinking and it should be better explained, especially in light of students not understanding the limits that academic integrity places on collaboration)

3. Under "Evidence of Teaching and Mentoring Effectiveness" While the list given is non-exclusive, it is clear that, at least historically, it constitutes the main elements expected in an evaluation. By taking some out, including new ones, and reshuffling the order, the nature of the evaluation process is significantly altered, and in the proposed version, for the worse:

1. What used to top the list has been vanquished: "(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 informants". This is a grave mistake. It should be reinstated, in content and in placement. Just to be sure, there is a new item "(iv)" with similar sounding content, which overlaps with item "(xiv)"; a careful reading shows that the original but proposed to be removed item (a) is significantly more extensive
2. In its stead a self-reflection by the candidate is proposed. This is supposed to be a list of *evidence*, but the proposed item is as subjective as one can get. The personal statement is in any case available, de facto.
3. Item "(v)" comes hand in hand with item (vii) under dimensions, and exhibits exactly the same fault: here the evidence of teaching effectiveness is purported to be the fact that the candidate used a technique, rather than its effective implementation. Either both are removed, or both reworded to emphasize results (in effective teaching, not in adoption of methodology)

4. I find it problematic that "Mentoring" is proposed to be elevated to the same level as classroom instruction. Historically we have included mentoring as an element of instruction, that however is not to replace lecturing. This proposed change will have many detrimental consequences some unforeseen and some that can be easily anticipated. It seems to strongly favor well funded faculty who run large labs with lost of postdocs and students, and that could satisfy the instructional aspect of evaluation solely by mentoring. A correspondingly larger teaching load will fall on those with lesser funding.

In the department of Physics faculty can be classed broadly into 2 categories; experimentalists and theorists. The latter work largely with paper and pen, chalk and an occasional computer, and have very limited extramural funding, if any. Experimentalists, on the other hand, have large grants and hire many students and postdocs. The new policy will invariably lead to very uneven coarse load distributions. A similar outcome is the eventual replacement of a sizeable fraction of ladder rank faculty by teaching faculty, so that the former can dedicate more time to research (without classroom teaching).

And this is but one obvious fallout of this grand change. It should be repealed.

Your sincerely

Benjamin Grinstein

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Benjamin Grinstein
Distinguished Professor of Physics
UCSD
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Office of the Academic Senate
Wayne & Gladys Valley Center for Vision
490 Illinois Street, 5th Floor
San Francisco, CA 94158
Campus Box 0764
tel.: 415/514-2696
academic.senate@ucsf.edu
https://senate.ucsf.edu

Steven W. Cheung, MD, Chair
Steve Hetts, MD, Vice Chair
Thomas Chi, MD, Secretary
Kathy Yang, PharmD, Parliamentarian

July 15, 2023

Susan Cochran
Chair, Academic Council

Re: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees

Dear Susan:

The University of California, San Francisco (UCSF) Academic Senate is pleased to opine on this Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees. Overall, our division is appreciative of amendments concerning the policies and procedures for preparing reports, recommendations, academic reviews, and appraisal committees. The Committee on Academic Personnel (CAP), the Committee on Faculty Welfare (CFW), the Committee on Rules and Jurisdiction (R&J), the School of Medicine Faculty Council (SOMFC), and the Clinical Affairs Committee (CAC) commented on this review.

CAC, CAP, CFW, R&J, and SOMFC support the proposed revisions that recognize the importance of mentoring. CFW acknowledges how difficult it can be to measure and demonstrate effectiveness in teaching and mentoring and would like the policy to acknowledge this challenge.

- **Teaching and Mentoring:** To avoid confusion, CAP, CFW, R&J, and SOMFC believe that grouping all types of mentoring within "Teaching and Mentoring" may be more appropriate. The SOMFC recommends the APM clarify that mentoring categorized as "University Service" alone cannot satisfy the educational requirements for faculty. The SOMFC recommends adding faculty development to the work included in the section describing "Teaching and Mentoring" to include fellow faculty members' mentoring activities.
- **CV Recommendation:** CAP suggests removing the language encouraging faculty to report "mentoring activity focused on non-scholarly support (e.g., life skills, referrals to behavioral and/or health resources, social-emotional development)" on their CVs to avoid violation of individuals' privacy. Instead, CAP recommends these contributions be described anonymously in a Chair's letter or letter of reference.
- **Terminology:** CFW proposes "university-affiliated trainees" be revised to "trainees" to encompass non-university-affiliated trainees. The SOMFC proposes "student" be replaced with "learner" to include residents, fellows, and other trainees. The SOMFC also proposes including "Learner" as a defined term in the policy.
- **New Language:** R&J suggests the following new language found in bold and underlined below:

    Teaching and Mentoring — Clearly demonstrated evidence of high quality in **teaching and mentoring** is an essential criterion for appointment, advancement, or promotion. ~~This~~ **Teaching and mentoring** include~~s~~ both formal coursework teaching and mentoring of students and University-affiliated trainees, including postdoctoral scholars and residents, at all levels. 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. Under no circumstances will a tenure commitment be made unless there is clear documentation of success in teaching **and mentoring** ~~and supporting student learning.~~

Steven W. Cheung, MD, 2021-23 Chair
UCSF Academic Senate

Enclosures (5)
Cc: Margaret Wallhagen, Chair, Committee on Academic Personnel
    Jenny Liu, Chair, Committee on Faculty Welfare
    Spencer Behr, Chair, Committee on Rules and Jurisdiction
    Mia Williams, Chair, School of Medicine Faculty Council
    Matt Tierney, Chair, Clinical Affairs Committee

Communication from the Committee on Academic Personnel
Margaret Wallhagen, RN, PhD, FAAN, Chair

June 12, 2023

TO: Steven Cheung, Chair of the UCSF Division of the Academic Senate

FROM: Margaret Wallhagen, Chair, Committee on Academic Personnel

CC: Todd Giedt, Executive Director of the UCSF Academic Senate Office

RE: Systemwide Review of Revisions to APM - 210, Review and Appraisal Committees: Mentoring

Dear Chair Cheung:

The Committee on Academic Personnel (CAP) writes to comment on the Systemwide Review of Revisions to APM 210, Review and Appraisal Committees: Mentoring. CAP understands that the proposed revisions are intended to codify the inclusion of mentoring in faculty review at the systemwide level. CAP is supportive of these efforts to recognize faculty's contributions to mentoring within the academic review process. Indeed, UCSF's CV module currently provides sections in which faculty can list their contributions to mentoring predoctoral students, postdoctoral fellows and residents, faculty, and visiting faculty. CAP considers these sections of the CV carefully during the review process. However, CAP has concerns with some aspects of the proposed revisions.

First, CAP questions the choice to classify some types of mentoring as teaching and other types of mentoring as service. At UCSF, all types of mentoring are currently listed in the "teaching and mentoring" section of the CV. CAP feels that grouping all mentoring within teaching and mentoring may be more appropriate than classifying some mentoring activities as service for three reasons:

1. Other activities that are categorized as service have impacts on broad groups of people, such as the entire campus or the community in which the campus is based. Some types of service may have a nationwide or global impact. Although mentoring is critical to university functioning, its direct impact is usually limited to the individual mentee. For this reason, CAP members believe teaching and mentoring is a better fit for this kind of work, even if the mentee is based at a different institution or the mentoring does not fall within what is defined as scholarly activity.

2. University service (e.g., Senate committees, Department committees) is critical to the functioning of the university. A major incentive for faculty to perform this type of service is that it is considered favorably in the review process. CAP is concerned that if faculty mentoring is treated as service, faculty will be discouraged from participating in other types of university service because they will be able to fulfill their service obligations through faculty mentoring. Although CAP recognizes the importance of faculty mentoring, CAP worries that it may crowd out other forms of university service that are critically important as well.

3. Grouping all types of mentoring together under one CV heading will streamline the review process for both reviewers and faculty. In CAP's experience, faculty frequently list achievements in multiple CV sections or in incorrect places on the CV. These types of errors increase CAP's workload and create a risk that reviewers may fail to fully understand and recognize faculty

members' accomplishments. Allowing faculty to document mentoring in one section of the CV may avoid some of these issues by keeping this aspect of CV creation as simple as possible.

Second, CAP has concerns with the suggestion that faculty report "mentoring activity focused on non-scholarly support (e.g., life skills, referrals to behavioral and/or health resources, social-emotional development)" on their CVs. CAP agrees that these types of activities are valuable, but CAP questions whether they can be reported at any level of detail without violating individuals' privacy. For this reason, CAP recommends removing the language encouraging faculty to report this type of information on their CVs. Instead, if a faculty member makes truly outstanding contributions in this area, these contributions could potentially be described with full anonymization in a Chair's letter or letter of reference.

Thank you for the opportunity to comment on this important issue. If you have any questions on CAP's comments, please contact me or Academic Senate Analyst Liz Greenwood (liz.greenwood@ucsf.edu).

UCSF Academic Senate

Committee on Faculty Welfare
Jenny Liu, PhD, MPP, MA, Chair

July 12, 2023

Steven Cheung, MD
Division Chair
UCSF Academic Senate

Re: Systemwide Review of Revisions to APM 210 – Review and Appraisal Committees: Mentoring

Dear Chair Cheung:

The Committee on Faculty Welfare (CFW) writes to comment on the proposed [Revisions to APM – 210, Review and Appraisal Committees: Mentoring](#) that is out for systemwide review.

CFW strongly supports the express inclusion of mentoring into the teaching work that faculty do to support the University of California's academic mission. Expanding the academic review category from "Teaching" to "Teaching and Mentoring" is a welcome change.
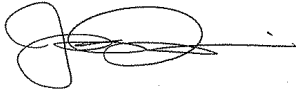
In addition to offering support, CFW writes to raise three issues regarding the proposed revisions. First, CFW writes to acknowledge how difficult it can be to measure and demonstrate effectiveness in teaching and mentoring because the value of teaching and mentoring may not be fully realized for several years. CFW would like the policy to acknowledge this challenge as we continually work to develop better tools for assessing effectiveness in teaching and mentoring.

Second, CFW recommends that the two references to "university-affiliated trainees" be revised to simply state "trainees". While a faculty member's teaching and mentoring work will usually be in support of UC learners, teaching and mentoring work that occasionally extends to learners beyond our university is also relevant to the academic review of faculty.

Third, CFW would also like to join its colleagues on the UCSF Rules and Jurisdiction Committee in recommending that all types of mentoring be included as contributions to "Teaching and Mentoring." CFW believes that this is the most intuitive and easy approach for incorporating mentoring work into reviews. Requiring faculty to divide their mentoring work into a "Teaching and Mentoring" and "University and Public Service" is well-intentioned but confusing. The proposed revisions recognize that all types of mentoring are valued by the University, so CFW recommends that all types of mentoring be reviewed under the "Teaching and Mentoring" category to simplify the process.

Thank you for the opportunity to comment on this review. Please contact me or our Senate analyst Kristie Tappan if you have questions about CFW's comments.

Sincerely,

Jenny Liu, PhD, MPP, MA
Committee on Faculty Welfare Chair

Committee on Rules and Jurisdiction
Spencer Behr, MD, Chair

June 16, 2023

Steven Cheung, MD
Division Chair
UCSF Academic Senate

Re: Proposed Revisions to APM 210, Review and Appraisal Committees, Systemwide Review

Dear Chair Cheung:

The Committee on Rules and Jurisdiction (R&J) writes to comment on the *Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees* that is out for a systemwide review. R&J is broadly supportive of the proposed changes. R&J believes that mentoring is a vital part of faculty work and approves of its inclusion in APM 210.

In addition to its broad support for the proposed policy changes, R&J recommends some revisions. The proposed revisions include the following new language:
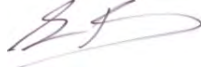
> Teaching and Mentoring — Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. This includes both formal coursework teaching and mentoring of students and University-affiliated trainees, including postdoctoral scholars and residents, at all levels. Mentoring 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. Under no circumstances will a tenure commitment be made unless there is clear documentation of success in teaching and supporting student learning.

R&J recommends that the following sentences be revised as follows. First, "Clearly demonstrated evidence of high quality in teaching **and mentoring** is an essential criterion for appointment, advancement or promotion." Second, "~~This~~ **Teaching and mentoring** include~~s~~ both formal coursework teaching and mentoring of students and University-affiliated trainees, including postdoctoral scholars and residents, at all levels." Third, "Under no circumstances will a tenure commitment be made unless there is clear documentation of success in teaching **and mentoring, ~~and supporting student learning~~**." R&J recommends removing the language "and supporting student learning" because R&J finds it redundant. If a faculty member is successful in teaching and mentoring as defined by the second edit, the faculty member is supporting learning.

R&J also recommends that the language be revised so that mentoring of faculty be reported under "Teaching and Mentoring" and not "University and Public Service." R&J believes that it is both more appropriate and more intuitive to include mentorship of faculty under "Teaching and Mentoring" than under "University and Public Service." R&J believes mentoring faculty is an academic endeavor rather than an act of "University and Public Service."

Thank you for the opportunity to comment on the proposed revisions to APM 210. Please contact me or Senate Analyst Kristie Tappan (kristie.tappan@ucsf.edu) if you have questions about R&J's comments.

Sincerely,

Spencer Behr, MD
Committee on Rules and Jurisdiction Chair

Cc: Todd Giedt, UCSF Academic Senate Executive Director
       Sophia Bahar Root, UCSF Academic Senate Analyst

School of Medicine Faculty Council
Mia Williams, MD, MS, Chair

July 14, 2023

Steven Cheung, M.D.
Division Chair
UCSF Academic Senate

Re: Systemwide Review of Proposed Revisions to APM 210 Regarding Mentoring

Dear Chair Cheung:

The School of Medicine Faculty Council (SOMFC) writes to comment on the proposed *Revisions to APM – 210, Review and Appraisal Committees: Mentoring* that is out for a systemwide review.

The SOMFC is broadly supportive of the proposed revisions and agrees that the work of mentoring should be incorporated into a broader review category titled "Teaching and Mentoring" rather than "Teaching" alone. This is a welcome change that better reflects the work that faculty do and should be recognized for. Mentoring is important and skilled work, and the SOMFC hopes these revisions lead to greater support and training for faculty to be better mentors. The SOMFC offers the following suggestions and comments to further improve the revisions.

Learners: There are several instances where "student" is used in the proposed policy that should be more inclusive. The SOMFC recommends that "student" be replaced with "learner" whenever appropriate to be more inclusive of residents, fellows, and other trainees. The SOMFC also recommends the University consider making "Learner" a defined term in the policy to clarify how it is used and to whom it refers.

Faculty Development: The SOMFC recommends adding faculty development to the work included in the section describing Teaching and Mentoring. Mentoring fellow faculty members, whether at the same or different ranks, is critically beneficial to their individual advancement as well as the mission of the University. Therefore, we propose adding faculty development to the work included in the section describing Teaching and Mentoring to appropriately recognize its importance.

Comments on the Division of Mentoring Work: Last, the SOMFC would like to comment on the division of certain acts of mentorship into "Teaching and Mentoring" and "University Service." SOMFC members had different opinions on whether all mentoring work should be considered under Teaching and Mentoring or whether some mentoring should be considered University Service. While the SOMFC believes it would be more intuitive if all mentoring was reported and considered under Teaching and Mentoring, the SOMFC wants to ensure that there is clear educational work being done by faculty. If mentoring in any form of anyone can meet the

Teaching and Mentoring requirements on its own, the SOMFC believes that would be a disservice to the University's educational mission. As a compromise, the SOMFC recommends that all mentoring be considered part of Teaching and Mentoring, but the APM should state that mentoring that is categorized as University Service in the current draft cannot, on its own, satisfy the educational requirements for faculty. For example, mentoring junior faculty should be considered part of Teaching and Mentoring, but that mentorship alone, without any teaching or mentoring of UC learners would not satisfy education requirements.

Thank you for the opportunity to comment on the proposed revisions to APM 210. Please contact me or Senate analyst Kristie Tappan if you have questions about the SOMFC's comments.

Sincerely,

Mia Williams, MD, MS
Chair of the School of Medicine Faculty Council

cc: Sophia Bahar Root, UCSF Academic Senate Analyst
        Alison Cleaver, UCSF Academic Senate Associate Director
        Todd Giedt, UCSF Academic Senate Executive Director

UCSF Academic Senate

Clinical Affairs Committee
Matt Tierney, MS, NP, FAAN, Chair

July 12, 2023

Steven Cheung, MD
Division Chair
UCSF Academic Senate

Re: APM 210, Review and Appraisal Committees: Mentoring Systemwide Review

Dear Chair Cheung:

The Committee on Clinical Affairs (CAC) writes to comment on the proposed *Revisions to APM 210, Review and Appraisal Committees: Mentoring* that is out for a systemwide review.

CAC supports the proposed revisions, which would explicitly expand the "Teaching" faculty evaluation category to "Teaching and Mentoring." This is a welcome change that recognizes the importance of mentoring. As clinical faculty, the members of CAC especially appreciate greater recognition of teaching outside the classroom. Much of our teaching work involves the teaching and mentoring of dental, nursing, medical, and pharmacy learners outside of classrooms, during patient care. The proposed revisions of APM 210 are more inclusive of the educational work we do.

Thank you for the opportunity to comment on this systemwide review. Please contact me or Senate analyst Kristie Tappan if you have questions about CAC's comments.

Sincerely,

Matt Tierney, MS, NP, FAAN
Clinical Affairs Committee Chair

CC: Todd Giedt, Senate Executive Director
       Alison Cleaver, Senate Associate Director
       Sophia Root, Senate Analyst

July 19, 2023

To: Susan Cochran, Chair
        Academic Senate

From: Susannah Scott, Chair
        Santa Barbara Division   *Susannah L Scott*

Re: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM)
        Section 210, Review and Appraisal Committees

The Santa Barbara Division distributed the Proposed Revisions to Academic Personnel Manual
(APM) Section 210 to the Council on Faculty Welfare, Academic Freedom, and Awards (CFW),
Graduate Council (GC), Committee on Academic Personnel (CAP), Committee on Diversity and
Equity (CDE), Committee on Library, Information, and Instructional Resources (CLIIR), and the
Faculty Executive Committees (FEC) of the College of Letters and Science (L&S), College of
Engineering (ENGR), College of Creative Studies (CCS), Gevirtz Graduate School of Education
(GGSE) and the Bren School (BREN). CAP, CLIIR and the L&S, CCS, GGSE, and BREN FECs
opted not to opine.

While there was some consensus on the idea of adding mentoring to the appointment,
promotion, and appraisal criteria, several groups expressed significant concerns about the
proposed changes to APM 210, particularly with respect to the proposed changes for
evaluation of teaching. The main points are summarized below, with more details in the
attached reviewing group responses.

GC, CDE, and the COE FEC express favorable views on the addition of mentoring to the
appointment, promotion, and appraisal criteria, particularly given the substantial amount of
time and effort that faculty devote to this category of work. However, GC raises concerns
about how mentoring activities will be assessed in the review process. They emphasize the
difficulty in applying "one-size fits all" criteria for evaluating mentoring, given the diverse
mentoring practices and experiences on the campus. Given the personal and highly distributed
nature of most faculty mentoring, it is particularly difficult to imagine how faculty could
document it efficiently and how reviewing agencies could fairly assess its effectiveness. GC
recommends the development of "clear and streamlined guidelines for how mentoring
activities will be evaluated during the review and appraisal process, which would set clear
expectations for faculty and also ease in preparation of case materials."

Both CFW and GC express serious concern about the proposed language in APM 210-D-1-a, under Teaching Effectiveness. They raise a number of questions regarding the individual or body that would determine the appropriate "evidence-based teaching practices" to be used in assessment, and the "professional development for teaching" or "specific departmental or campuswide educational equity or student success initiatives" in which faculty would be expected to participate. Both groups emphasize faculty autonomy in developing pedagogy, and point out the potential dangers of standardized or externally imposed assessment criteria to academic freedom and teaching effectiveness.

CDE requested more information regarding the role of teaching evaluations or student experiences of teaching (SET) in the review process. Specifically, they inquire as to how written teaching evaluations should be weighed against other pieces of evidence of teaching effectiveness.

Finally, CFW suggests that all terms used in APM 210 (including, but not limited to, diversity, equality, equity, inclusion, and student success) be clearly explained in a list of definitions or glossary included in the section.

We thank you for the opportunity to comment.

May 24, 2023

To: Susannah Scott, Divisional Chair
        Academic Senate

From: Michelle O'Malley, Chair
        Graduate Council

Re: **Proposed Revision to Academic Personnel Manual (APM) 210**

At its meeting on March 22, 2023, Graduate Council reviewed the Proposed Revision to Academic Personnel Manual (APM) 210 and has the following comments.

The Council is very concerned about the addition of the use of *evidence-based teaching practices*, and *engagement in professional development* for teaching activities in the review and appraisal process. The Council views this as an overreach and a possible violation of academic freedom.

The Council strongly feels that individual faculty members should have the freedom to develop and implement their own pedagogy. Faculty members are often more aware of the best teaching practices in their respective fields than campus administration and should not be forced to conform to teaching standards with which they do not agree. The Council feels that certain pedagogical methods do not transfer easily across fields, and can also lead to unintended consequences that are detrimental to learning.
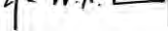
The Council is in favor of mentoring being included in the review and appraisal process. Mentoring is a large amount of work for faculty and should be considered and credited in this process. However, the Council is concerned about how exactly mentoring activities will be quantified and benchmarked in the review process. Faculty have very different mentoring experiences across campus, so there is not a "one-size fits all" criteria for evaluating mentoring. The Council would like to see clear and streamlined guidelines for how mentoring activities will be evaluated during the review and appraisal process, which would set clear expectations for faculty and also ease in preparation of case materials.

CC: Shasta Delp, Executive Director, Academic Senate

July 10, 2023

To: Susannah Scott, Divisional Chair
        Academic Senate

From: John W.I. Lee, Chair
        Council on Faculty Welfare, Academic Freedom and Awards

Re: **Proposed Revisions to Academic Personnel Manual (APM) 210 - Review and Appraisal
        Committees**

At its meeting of June 7, 2023, the Council on Faculty Welfare, Academic Freedom and Awards
(CFW) discussed the proposed revisions to Academic Personnel Manual (APM) 210 - Review and
Appraisal Committees. CFW is particularly concerned about the new sentences numbered (vii) and (vii)
in the lettered section (a) Teaching Effectiveness (page 4 of the red-lined draft). Who will decide which
"evidence-based teaching practices" (sentence vii) are to be used in assessment, especially when there
might be conflicting evidence about goals, methods, and effectiveness? Who will decide which specific
professional development, equity, or student success initiatives (sentence viii) that faculty must engage
with? Requiring faculty to follow externally approved and imposed expectations endangers academic
freedom and potentially impedes teaching effectiveness. In this, CFW concurs with the deep concerns
expressed by Graduate Council in its memo of May 24, 2023 to Academic Senate Chair Susannah Scott.

CFW further suggests that all terms used in this document (including but not limited to diversity,
equality, equity, inclusion, and student success) be clearly explained in a glossary or list of definitions
included as part of APM 210.

CC: Shasta Delp, Executive Director, Academic Senate

June 8, 2023

To: Susannah Scott, Divisional Chair
        Academic Senate

From: Peng Oh, Chair
        Committee on Diversity and Equity

Re: **Proposed Revisions to Academic Personnel Manual (APM) 210 - Review and Appraisal Committees**

At its meeting of June 5, 2023, the Committee on Diversity and Equity (CDE) reviewed the proposed revisions to Academic Personnel Manual (APM) 210 and has the following comments.

The Committee is in favor of including mentoring in the review and appraisal process for faculty. Mentoring is a very large part of a faculty member's workload so it only makes sense to recognize mentoring activities during the review process. The Committee was particularly happy to see language about mentoring other faculty members included.

The Committee would like to see more details on the role written teaching evaluations will play in the review process. For example, how are written teaching evaluations to be weighed against other review metrics? For Lecturers without Security of Employment, written teaching evaluations are often key in if their appointment is continued or not.

CC: Shasta Delp, Executive Director, Academic Senate

June 14, 2023

TO: Susannah Scott
            Divisional Chair, Academic Senate

FROM: Steven DenBaars, Chair
            College of Engineering, Faculty Executive Committee

RE: Proposed Revisions to Academic Personnel Manual (APM) 210 – Review of Appraisal
            Committees

The College of Engineering FEC met on Monday, May 22nd and Monday, June 5th and reviewed the proposal. The committee is generally supportive of the changes. The addition of mentoring and DEI activities is appreciated as well as giving more flexibility to the reviewers to recognize these activities. Committee members highlighted that there are two places for faculty to indicate their mentoring activities, one related to teaching and one related to service.

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Office of the Academic Senate
SANTA CRUZ DIVISION
125 CLARK KERR HALL
(831) 459 - 2086

June 30, 2023

Susan D. Cochran, Chair
Academic Council

RE: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees

Dear Susan,

The Santa Cruz Academic Senate has received your request for comment on the Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees. The Committees on Academic Freedom (CAF), Academic Personnel (CAP), Career Advising (CCA), Faculty Welfare (CFW), Library and Scholarly Communication (COLASC), Teaching (COT), and Graduate Council (GC) have responded.

Overall, CAF, CAP, CCA, CFW, COT, and GC strongly support the addition of mentoring in teaching and service categories. The committees agree that recognition for mentorship labor furthers University goals of diversity, equity, inclusion, and equal opportunity. CAF had minimal comments and stated overall support for the revision. COLASC prefers to withhold comments until the Santa Cruz Division of the Librarians Association of the University of California (LAUC) has responded. Despite support for the acknowledgement of mentorship, some concerns were raised regarding the revisions to guidance on how teaching and mentoring will be evaluated. Several committees called for additional clarification.

General Concerns
The Committee on Faculty Welfare (CFW) had serious concerns about changes to the evaluation of teaching effectiveness, lack of clarity regarding the list of "areas of consideration," and implied increased workload on faculty. The inclusion of an analysis of student performance in courses in consultation with the campus teaching center was particularly concerning. Courses may differ greatly across even one campus and there are many student success factors that are far beyond the instructor's control. CFW states that items 210-1.d(1)(c) (iii), (vii), and (viii) should be removed. While other committees did not specifically call for the removal of these items, CAP, CCA, and GC also requested clarification or corrections to several of them.

CAP was unclear if feedback from current and former students and mentees referred to what UCSC calls "Student' Evaluations of Teaching" (SETs). CAP is concerned that if additional statements from students are needed this could put undue workload on students, and it is already difficult to ensure feedback from students at the end of the term. It was unclear to CAP what the addition of professional "competence" to the "professional activity" category was meant to accomplish. CAP members also found this additional duplicative of existing academic review process criteria.

Both CAP and CCA found it was unclear how to document mentorship of alumni or others outside one's own institution. Should these activities be included? CCA noted that some faculty may have many requests to produce letters of recommendation for former students. Both committees felt it was sometimes unclear if this should be evaluated in the context of teaching and mentoring, or as service. The need for additional guidance on how mentoring should be documented/defined was noted by COT as well.

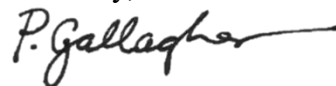GC made several notes of what they interpreted as textual errors.

Recommendations
Clarification and corrections on these points would be beneficial. Additionally, COT recommends that the system and our campus provide support for mentoring efforts. This support could include empowering students to provide feedback on what type of mentorship they are looking for, support for departments to expand mentorship opportunities, and support for faculty peer to peer mentorship.

CFW recommends the list of criteria for judging Teaching Effectiveness should be shortened and the guidance on how to implement it should be clarified. If the list is not shortened, at a minimum CFW asks that clarification be made that the examples in the final paragraph of 210-1.d(1)(c) are not all mandatory but that at least three should be included as documentation of teaching. CFW called for increased structural support if analysis of teaching effectiveness partnered with campus teaching and learning centers is required. This could relieve some burden on faculty, however, CFW notes that frequent updates to courses is not reasonable given other demands on faculty.

On behalf of the Santa Cruz Division, I thank you for the opportunity to provide comment on this revision and hope that the comments prove helpful

Sincerely,

P. Gallagher

Patty Gallagher, Chair
Academic Senate, Santa Cruz Division

encl: Senate Committee Responses (Bundled)

cc: Roger Schoenman, Chair, Committee on Academic Freedom
       Stefano Profumo, Chair, Committee on Academic Personnel
       Steven Ritz, Chair, Committee on Career Advising

June 20, 2023

PATTY GALLAGHER, Chair
Academic Senate, Santa Cruz Division

Re: Review: Proposed Revisions to Academic Personnel Manual Section 210

Dear Patty,

The Committee on Academic Freedom (CAF) has reviewed the proposed revisions to Academic Personnel Manual section 210 and supports the proposed changes.

> Sincerely
> /s/
> Roger Schoenman, Chair
> Committee on Academic Freedom

cc:
    Roger Schoenman, Chair, Committee on Academic Freedom (CAF)
    Stefano Profumo, Chair, Committee on Academic Personnel (CAP)
    David Cuthbert, Chair, Committee on Educational Policy (CEP)
    Steven Ritz, Chair, Committee on Career Advising (CCA)
    Alexander Sher, Chair, Committee on Faculty Welfare (CFW)
    Abraham Stone, Chair, Committee on Library and Scholarly Communication (COLASC)
    Michael Hance, Chair, Committee on Research (COR)
    Catherine Jones, Chair, Committee on Teaching (COT)
    Onuttom Narayan, Chair, Committee on Privilege and Tenure (CPT)
    Andy Fisher, Chair, Graduate Council (GC)

June 26, 2023

Patty Gallagher, Chair
Academic Senate

Re: Systemwide Review of Proposed Revisions to Academic Personnel Manual (APM) Section 210, Review and Appraisal Committees

Dear Patty,

During its meeting of June 15, 2023, the Committee on Academic Personnel (CAP) discussed the proposed revisions to APM – 210, Review and Appraisal Committees.

CAP commended the much-needed addition of mentoring to the evaluation criteria of the teaching category, and generally applauds the proposed revisions to evaluation and evidence of teaching and mentoring effectiveness, contributions to diversity, equity, inclusion, and equal opportunity.

CAP members noted that additional clarification and possible edits should be brought to the discussion of feedback from current and former students and mentees: should statements be solicited and/or encouraged? Is the reference here to what UCSC calls "Students' evaluations of teaching" (SET)?

CAP members questioned the use of, and reference to, professional "*competence*", which augments the previous "professional activity" category: what is meant with this addition?

CAP members questioned the reference to seeking the feedback of "present students" (unless it refers to the above-mentioned SETs), as it may put undue and unfair pressure on such students.

CAP members noted considerable duplication of materials across series of employment.

Finally, CAP members noted that the discussion of mentoring outside one's institution is not clarified appropriately. It is unclear, for instance, if such activities would count for merit and promotion, and whether they should be evaluated in the context of teaching and mentoring, or as service.

Thank you for the opportunity to opine.

Sincerely,

Stefano Profumo, Chair
Committee on Academic Personnel

cc: Roger Schoenman, Chair, Committee on Academic Freedom
        Steven Ritz, Chair, Committee on Career Advising
        David Cuthbert, Committee on Educational Policy
        Alexander Sher, Chair, Committee on Faculty Welfare

June 14, 2023

Patty Gallagher, Chair
Academic Senate

Re: Proposed Revisions to APM - 210, Review and Appraisal Committees

Dea Patty,

The Committee on Career Advising (CCA) has reviewed the Proposed Revisions to APM - 210, Review and Appraisal Committees.

CCA welcomes the inclusion of mentoring in section *210.1* now labeled *"Instructions to Review Committees That Advise on Actions Concerning Appointees in the Professor and Corresponding Series: Teaching and Mentoring."* CCA members support the *revision to 210.1.4 University and Public Service* that now more explicitly acknowledges the service of mentoring other faculty.

CCA observed that mentorship of alumni was not mentioned, nor was the time spent writing letters of recommendation, when significant. CCA recommends at least mentioning these additional contributions where appropriate.

CCA members recognized that mentoring other faculty, including lecturers, does not always fit into the service category alone, specifically when the mentoring is about course curricular contents in some isolated subject areas. Some guidance about how to handle such situations, so that the efforts are not undervalued, would be helpful.

CCA applauds inclusion of mentoring throughout. Thank you for this opportunity to comment.

Sincerely,

Steve Ritz, Chair
Committee on Career Advising

cc: Roger Schoenman, Chair, Committee on Academic Freedom
       Stefano Profumo, Chair, Committee on Academic Personnel
       David Cuthbert, Chair, Committee on Educational Policy

June 20, 2023

Patty Gallagher, Chair
Academic Senate

Re: Systemwide Review – Proposed Revisions to APM - 210, Review and Appraisal Committees

Dear Patty,

The Committee on Faculty Welfare (CFW) considered the proposed revision of APM-210 from the perspective of faculty welfare. Our thoughts are summarized below.

The Committee on Faculty Welfare (CFW) considered proposed modifications to APM-210. Members were supportive of the addition of mentoring to the teaching portion of faculty evaluation. At the same time, members had serious concerns about the changes to the evaluation of Teaching effectiveness. Please see the details below.

Members were very clear that items 201-1.d(1)(c) (iii), (vii), and (viii) are unacceptable, because of the absence of shared standards for grades and learning outcomes across courses even within a single campus and because students' overall performance in a course is affected by multiple factors outside of the faculty's control, such as housing conditions, students' level of preparation for the course, mental and physical health, natural disasters, etc. Inclusion of performative data (grade or learning outcome assessment) into the formal list of teaching effectiveness evidence will have far reaching consequences that include lowering of standards and grade inflation. CFW members strongly believe that items (iii), (vii), and (viii) should be removed.

CFW noted significant expansion of the list of criteria for judging Teaching Effectiveness: 201-1.d(1)(c). This expansion was especially troubling for CFW members in the context of the sentences: "*Under no circumstances will a tenure commitment be made unless there is clear documentation of success in teaching and supporting student learning.*" followed by "*Teaching effectiveness should be evaluated in multiple dimensions, and possible areas for committee consideration include (but are not limited to):*" Members believe that these changes, coupled with the expanded list of "*areas of consideration*" and of the "Evidence of Teaching and Mentoring Effectiveness", (see the paragraph below) creates a situation where both faculty and a reviewing committee (for example CAP) lack clear guidance. This in turn leads to increased workload and unjust outcomes. CFW members agree that the list of "areas of consideration" should be shortened and the guidance on how to use it should be made less ambiguous.

CFW members were also concerned with the overall expansion of the list of pieces of evidence of Teaching and mentoring Effectiveness: 201-1.d(1)(c). This expansion puts pressure on faculty to do more at the time of the increased faculty workload due to the increase in the number of students, lingering effects of the pandemic, and chronic advisory staff shortage and turnover. Such an increase is unsustainable without putting in place a robust support structure first. For example, a

possible support system could be adequate staffing of campus TLC centers that provide faculty with *individualized assessment of their courses* and make suggestions based on research on teaching. Even with such individualized support in place, expecting faculty to *constantly modify* their courses is unrealistic, given their continued commitment to research and service.

The final paragraph of 201-1.d(1)(c) makes the increase in workload and the detrimental effects of items (iii), (vii), and (viii) almost certain. The paragraph can be easily interpreted as requiring all of the information specified in this section for the personnel case to move forward. It has to be modified to clearly state that none of the above items are mandatory, but at least 3 of them have to be included. Number three is close to the number of items in the current list. Such a change will not be required, if the list is significantly reduced, as the CFW members believe it should be.

Thank you for the opportunity to provide feedback.

Sincerely,

Alexander Sher, Chair
Committee on Faculty Welfare

cc: Roger Schoenman, Chair, Committee on Academic Freedom
        Stefano Profumo, Chair, Committee on Academic Personnel
        David Lee Cuthbert, Chair, Committee on Educational Policy
        Andrew Fisher, Chair, Graduate Council
        Abraham Stone, Chair, Committee on Library and Scholarly Communication
        Steven Ritz, Chair, Committee on Career Advising
        Onuttom Narayan, Chair, Committee on Privilege and Tenure
        Michael Hance, Chair, Committee on Research
        Catherine Jones, Chair, Committee on Teaching (COT)
        Matthew Mednick, Executive Director, Academic Senate

June 8, 2023

Patty Gallagher, Chair
Academic Senate

RE: (Systemwide Senate Review) Proposed Revisions to APM - 210, Review and Appraisal Committees

Dear Patty,

The Committee on Library and Scholarly Communication has reviewed the (Systemwide Senate Review) Proposed Revisions to APM - 210, Review and Appraisal Committees. COLASC has no comments currently, but we are interested to see a response from the Santa Cruz Division of the Librarians Association of the University of California (LAUC), and we hope there might be an opportunity for us to make comments at that time.

Sincerely,

Abe Stone, Chair
Committee on Library and Scholarly Communication

Cc: Roger Schoenman, Chair, Committee on Academic Freedom
        Stefano Profumo, Chair, Committee on Academic Personnel
        David Lee Cuthbert, Chair, Committee on Educational Policy
        Andrew Fisher, Chair, Graduate Council
        Steven Ritz, Chair, Committee on Career Advising
        Alexander Sher, Chair, Committee on Faculty Welfare
        Onuttom Narayan, Chair, Committee on Privilege and Tenure
        Michael Hance, Chair, Committee on Research
        Catherine Jones, Chair, Committee on Teaching

June 6, 2023

Patty Gallagher, Chair
Academic Senate, Santa Cruz Division

Re: Systemwide Review: Proposed Revisions to APM 210: Review and Appraisal Committees

Dear Patty,

The Committee on Teaching (COT) has reviewed the Systemwide Review of the Proposed Revisions to APM 210, Review and Appraisal Committees, and the consideration of mentoring in the review process for Professor, Professor of Clinical, Health Science Clinical Professor, and Lecturer with the Security of Employment series. COT is encouraged for this move to recognize and incentivize the important work of formal mentoring as Teaching and informal mentoring as Service, especially as it aligns well with UC's emphasis on equity, inclusion and student success. These revisions also dovetail with efforts by Graduate Council, COT, CITL/TLC, and others to develop ways to support effective mentoring on campus.

While the proposed revision provides an explicit general expectation for mentoring, COT hopes that the system and our campus will provide support for programs to help faculty characterize and cultivate strong, inclusive mentoring. Gathering the insights of students themselves about what kind of mentoring they need and value should be an important component of this process. Similarly, helping departments and programs explore ways to structure mentoring beyond the advisor/student dyad will likely make mentoring systems more robust and resilient. COT hopes that guidance on how mentoring should be documented will continue to develop, as the distinction drawn between teaching and service described here seems potentially confusing. COT's hope is that the proposed revisions to APM 210 will also support faculty in learning from one another and expanding individual mentorship practices.

Sincerely,

Catherine A. Jones

Catherine Jones, Chair
Committee on Teaching

cc: Roger Schoenman, Chair, Committee on Academic Freedom
        Stefano Profumo, Chair, Committee on Academic Personnel
        David Lee Cuthbert, Chair, Committee on Educational Policy
        Andrew Fisher, Chair, Graduate Council
        Abraham Stone, Chair, Committee on Library and Scholarly Communication
        Steven Ritz, Chair, Committee on Career Advising
        Alexander Sher, Chair, Committee on Faculty Welfare
        Onuttom Narayan, Chair, Committee on Privilege and Tenure
        Michael Hance, Chair, Committee on Research

June 13, 2023

Patty Gallagher, Chair
Academic Senate

RE: APM-210: Review and Appraisal Committees

Dear Patty,

At its meeting on 6/1/23, GC discussed proposed changes to the system-wide policy document, Appointment and Promotion: APM-210: Review and Appraisal Committees.

GC welcomes and supports proposed modifications to APM-210 to explicitly recognize labor and achievements associated with mentoring, especially that associated with graduate students. Other proposed changes help to clarify various policies and criteria for evaluation with (a) revised wording and (b) examples of factors that may be considered during review with respect to teaching effectiveness and mentoring effectiveness, and there are new examples of the kinds of evidence that may be included with files that are being reviewed.

We note a couple of errors that should be corrected before the revised text is finalized:

p. 1, ¶ 3, "A copy of this Statement is appended to these instructions of to this policy for purposes of reference."
Perhaps this should read, "A copy of this Statement is appended to this policy for purposes of reference."
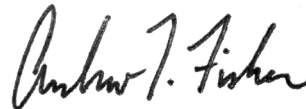
p. 6-7, items (iv) and (xiv) under Evidence of Teaching and Mentoring Effectiveness seem partly redundant and perhaps should be revised and/or combined:

(iv) evaluative statements from other faculty based on observation of class(es) and course materials;
(xiv) evaluation by other faculty members of teaching and mentoring effectiveness.

It may be that (iv) is intended to refer specifically to teaching, and (xiv) is for mentoring, in which case "teaching and" could be removed from the latter.

Sincerely,

Andrew T. Fisher, Chair
Graduate Council

cc: Senate Executive Committee

UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION, DIVERSITY,
AND EQUITY (UCAADE)
Louis DeSipio, Chair
ldesipio@uci.edu

ACADEMIC SENATE
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

July 7, 2023

SUSAN COCHRAN
CHAIR, ACADEMIC COUNCIL

RE: UCAADE Comments on Systemwide Review of Revisions to Academic Personnel Manual Section 210, Review and Appraisal Committees: Mentoring

Dear Susan,

UCAADE appreciates the opportunity to comment on the above policy proposal. The addition of mentoring to the teaching and service portions of the APM reflects actual experience of many faculty, especially faculty of color and younger faculty, who are often sought out for mentoring of students. Mentoring that is not focused on scholarly activity, including mentoring other faculty, is appropriately reported under service. This captures much of the previously uncounted labor performed by faculty.

UCAADE notes with approval the inclusion of "diversity, equity, inclusion, and equal opportunity" in areas of contribution noted for advancement. These changes provide a wider lens through which to evaluate faculty as they perform the three parts of their work: teaching, service, and research, and this committee hopes that these changes will increase the regard given to mentoring by those evaluating UC faculty.

We support the revisions.

Sincerely,

Louis DeSipio
Chair, UCAADE

cc: UCAADE

UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)   Assembly of the Academic Senate
Francis Dunn, Chair   1111 Franklin Street, 12th Floor
fuzzy@ucsb.edu   Oakland, CA 94607-5200
                                                                                       Phone: (510) 987-9466

May 12, 2023

SUSAN COCHRAN, CHAIR
ACADEMIC COUNCIL

RE: PROPOSED REVISIONS TO APM 210

Dear Susan,

The University Committee on Academic Personnel (UCAP) discussed the proposed revisions to APM 210 during our videoconference on May 10th and the committee has no objections to these changes.

UCAP appreciates the opportunity to comment on this matter. Please don't hesitate to contact me if you have any questions.

Sincerely,

Francis Dunn, Chair
UCAP

University Committee on Rules and Jurisdiction
Mijung Park, Chair
Mijung.Park@ucsf.edu

University of California
Academic Senate
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

July 15, 2023

SUSAN COCHRAN, CHAIR
ACADEMIC COUNCIL

Re: Proposed Revisions to APM 210

Dear Susan:

The University Committee on Rules and Jurisdiction (UCRJ) discussed the proposed revisions to APM section 210 to include new language concerning the consideration of mentoring in the review process for the Professor, Professor of Clinical (e.g., Medicine), Health Sciences Clinical Professor, and Lecturer with Security of Employment series.

First, we have concerns about the proposed revision in 210-1.d (1) that would change "teaching" to "teaching and mentoring." This change introduces the possibility of advancing or promoting faculty without any formal teaching responsibilities. Merely engaging in mentoring trainees would be sufficient to meet this new criterion, which UCRJ finds unacceptable for this APM series. One issue is that the new language immediately redefines "teaching" as "teaching and mentoring," which lacks coherence in the context of the other proposed changes. We recommend including language that mandates or prioritizes teaching, while considering mentoring as a separate supporting activity within this criterion. Sections 210-2.b (1) and 210-3.d (1) for Clinical Professors and LSOEs, respectively, already employ this unambiguous language without qualifiers.

Second, the proposed changes create an imbalance among the three pillars of review: teaching, research, and service. Currently, the APM dedicates 1.5 pages of criteria to teaching, 1 page to research or professional activity, and 0.5 page to service. These concise sections effectively outline the criteria without being excessively prescriptive. However, in the proposed version, we would have 5 pages solely dedicated to teaching, alongside an expanded focus on mentoring in the service section.

UCRJ suggests condensing the 5 pages of expanded bullet points, which provide explicit detail on evaluating teaching, into a single paragraph with the removal of several points. For instance, some points (210-1.d.(1).(a).(vii-viii)) do not primarily address success in teaching, but rather success in engaging with course designers and administrative initiatives. The use of six nested levels of clauses in the proposed text accentuates the impracticality of this highly prescriptive approach.

In summary, while the inclusion of scholarly mentoring as a supporting teaching activity is a commendable objective, the expanded list of criteria proposed here is excessively prescriptive for the APM.

Please do not hesitate to contact me if you have questions.

Sincerely,

Mijung Park, Chair
University Committee on Rules and Jurisdiction

Cc: UCRJ
       Monica Lin, Academic Senate Executive Director

UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)   Assembly of the Academic Senate
Terry Dalton, Chair   1111 Franklin Street, 12th Floor
tdalton@uci.edu   Oakland, CA 94607-5200

July 19, 2023

SUSAN COCHRAN, CHAIR
ACADEMIC COUNCIL

RE: Proposed Revisions to APM 210, Review and Appraisal Committees: Mentoring

Dear Susan,

The University Committee on Faculty Welfare (UCFW) has discussed the proposed revisions to APM 210, Review and Appraisal Committees: Mentoring, and we have several comments. Overall, UCFW is supportive of the recognition of mentoring in reviews, but we cannot support the proposal as currently submitted.

First, the document must make explicit that mentoring submissions are not required. Many on the committee noted that an enumerated list becomes a mandatory checklist, not an optional selection. The imposition of new *de facto* requirements, on faculty or deans, would be unwelcome, especially as mentoring opportunities are not evenly distributed by discipline and some departments actively assign mentees. Any lack of documented mentorship could be misused, especially given the *14* categories.

Second, we note that several sections, notably iii, vii, and viii under Evidence of Teaching and Mentoring Effectiveness, conflate instruction-related learning outcomes with teaching and mentoring efficacy. Students' and mentees' performance is affected by multiple factors with many of them outside of the faculty member's control. Formal inclusion of performance data (grades or learning assessment) into personnel action can lead to lowering of teaching standards and grade inflation. The impacts of mentoring can take time to manifest, especially for junior faculty. Based on the above, items iii, vii, and viii should be removed from the list. Furthermore, mentorship often occurs outside of or beyond course work. Indeed, the absence of an institutional definition of "mentoring/mentorship" will lead to inconsistent evaluation and application.

Clear caveats and definitions must be developed before further consideration.

Sincerely,

John Heraty, UCFW Vice Chair

Copy: UCFW
          Monica Lin, Executive Director, Academic Senate
          James Steintrager, Academic Council Vice Chair